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About ID4D

The World Bank Group’s Identification for Development (ID4D) Initiative uses global knowledge and expertise across sectors to help countries realize the transformational potential of digital identification systems to achieve the Sustainable Development Goals. It operates across the World Bank Group with global practices and units working on digital development, social protection, health, financial inclusion, governance, gender, and legal, among others.

The mission of ID4D is to enable all people to access services and exercise their rights by increasing the number of people who have an official form of identification. ID4D makes this happen through its three pillars of work: thought leadership and analytics to generate evidence and fill knowledge gaps; global platforms and convening to amplify good practices, collaborate, and raise awareness; and country and regional action to provide financial and technical assistance for the implementation of robust, inclusive, and responsible digital identification systems that are integrated with civil registration.

The work of ID4D is made possible with support from the World Bank Group, Bill & Melinda Gates Foundation, the UK Government, the Australian Government and the Omidyar Network.

To find out more about ID4D, visit id4d.worldbank.org. To participate in the conversation on social media, use the hashtag #ID4D.
Acknowledgments

This Toolkit was prepared by Rohini Prabha Pande, with comments and input from Victoria Esquivel-Korsiak and Julia Clark as part of the Identification for Development (ID4D) Initiative, under the supervision of Vyjayanti Desai. This Toolkit took as its starting point an earlier draft of a research guide provided by Savita Bailur (Caribou Digital). It was made possible through the generous support of the partners of the ID4D Multi-Donor Trust Fund.

This Guide draws heavily from the following material, as well as other sources referenced in the bibliography:


- **Pande, Rohini Prabha and Rajan, Radha. 2014.** “Qualitative data collection manual for Component III of project ‘A Price too High to Bear’.” ICRW, Family Care International and the Centers for Disease Control.

About this Toolkit

This Toolkit is intended to help World Bank teams, country practitioners, and researchers plan qualitative studies related to people’s experiences with identification or “ID” — including ID systems and processes, identity documents and credentials, and authentication.

Understanding how people access and use identity credentials and services in their daily lives is an essential step toward building ID systems that are responsive and inclusive. When well designed and executed, qualitative research that collects data on people’s ID-related experiences, perspectives, and needs in a variety of contexts can therefore provide critical information for those involving in planning, designing, or implementing ID systems to further development goals. For this reason, the World Bank and many of its partner organizations have begun to scale up qualitative studies on ID to inform operational work and contribute to global knowledge on this subject.

This Toolkit contributes to this effort by synthesizing core methods, tools, and good practices derived from a large social science literature and practical experience conducting qualitative research for a range of topics across the global South. It also highlights key issues and lessons learned from previous studies on ID, and provides examples of ID-specific discussion guides, activities, forms, and other tools used by World Bank researchers and other organizations in the field. To the best of our knowledge, this is the first resource to comprehensively adapt qualitative methods specifically to the ID context.

By reducing the startup cost of planning a qualitative study on ID, we hope this Toolkit will:

- Facilitate and streamline the inclusion of qualitative research into the planning and implementation of ID projects and systems.
- Ensure that these studies are well designed, use rigorous methods, and follow commonly accepted ethical principles.
- Serve as a public good for researchers that allow them to better leverage resources and lessons learned in previous studies and to develop a more coherent body of knowledge.

As such, the Toolkit is intended to be a living document; as new qualitative studies on ID are conducted, good practices and examples of tools, exercises, and training materials will therefore be periodically added.
The Toolkit is divided into three parts to address the needs of different audiences:

<table>
<thead>
<tr>
<th>PART I. Qualitative Research on ID: Benefits, Methods, and Logistics</th>
<th>Provides an overview of qualitative research methods and what they can tell us about ID systems. Part 1 describes how qualitative studies on people’s experience with identification can be an integral source of information for ID system design and summarizes what they typically involve in terms of methods, fieldwork, and resources. This section will be most useful to readers—such as World Bank Task Team Leaders and country officials—who are thinking of incorporating qualitative studies into a project. However, researchers themselves are also advised to read Part I to better understand what motivates qualitative studies on ID.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PART II. Good Practices for Conducting Qualitative Research</td>
<td>Goes into detail on the steps to conduct qualitative research, including design, planning, and data collection and analysis. Part II is written to be most useful for those who are going to design, oversee, and carry out the research. This includes research coordinators, field supervisors, other researchers engaged in the study, and—as relevant—moderators and notetakers. Although this section of the Toolkit contains some ID-specific content, much of the material is generally applicable for researchers conducting qualitative studies on people’s experiences with and use of technology more broadly, as well as other subjects.</td>
</tr>
<tr>
<td>PART III. Sample Tools and Forms</td>
<td>Provides example tools and forms from previous qualitative studies on ID. This includes examples of many of the forms, tools, and questionnaires discussed in Parts I and II, and will be most useful for study managers and field coordinators, as well as other researchers. A bibliography also follows this section and includes a list of key references and resources that may be useful.</td>
</tr>
</tbody>
</table>
PART I.
QUALITATIVE RESEARCH ON ID: BENEFITS, METHODS, AND LOGISTICS

This section provides an overview of qualitative research and how it can be applied to gain important insights on people’s access to and use of ID systems and credentials. It is targeted to readers—such as World Bank Task Team Leaders and ID practitioners—who would like to better understand the structure and purpose of conducting qualitative research related to ID, but who do not need or have the time to dive into implementation details. However, researchers themselves are also advised to read Part I to better understand what motivates qualitative studies on ID.

Read this section if you want to learn:

- Why qualitative research can provide helpful information for designing and implementing an ID program or system
- The basic types of qualitative data collection strategies and differences from quantitative methods
- Typical resources and requirements for completing a qualitative study, including contracting third-party researchers
1. A PEOPLE-CENTRIC VIEW OF ID

Ensuring access to identification for all is a key enabler for accelerating progress toward achieving the 2030 Agenda for Sustainable Development. For people who face difficulties proving who they are in their daily lives, obtaining identification through a new or more inclusive ID system has the potential to provide tangible benefits across a range of areas, such as financial inclusion, health services, social protection for the poorest and most vulnerable, and child protection. Furthermore, having an “official” ID can be a source of pride and empowerment (World Bank 2018a).

For an ID system to be successful, it must respond to real needs, be trusted by the population, and adopt specific measures to mitigate exclusion and privacy risks. Unless people are put at the center of ID systems—as emphasized in the Principles on Identification (see Box 1)—design and implementation choices may be unintentionally exclusionary, erect barriers to access, create incentives and opportunities for fraud, put people’s privacy and trust at risk, and/or decrease the utility or desirability of the system. Exclusion and vulnerability are particular concerns for marginalized groups—such as women and girls, rural dwellers, low-income households, nomadic communities, people with disabilities, refugees, stateless persons, etc.—who are the most likely to face difficulties enrolling in and using ID systems and services.¹

To ensure that ID systems are able to reach everyone and build trust, practitioners must first understand people’s perspectives on identification—information that qualitative research can help provide. The ID4D Practitioner’s Guide emphasizes the importance of two-way public consultation that begins in the planning stage and continues throughout an ID project.² Research that explores people’s behavior, attitudes, and knowledge of existing ID systems or potential design solutions can be a vital part of this engagement. When conducted at various points throughout planning and implementation, such research can help calibrate project design and ensure that the system is responsive to evolving demands. Furthermore, developing a deeper understanding of people’s experiences with ID across a variety of country contexts will contribute to global knowledge on this topic.


1. A People-Centric View of ID

PART I. QUALITATIVE RESEARCH ON ID: BENEFITS, METHODS, AND LOGISTICS

Box 1: Principles on Identification

The 10 Principles on Identification for Sustainable Development emphasize the importance of inclusion (universal coverage and accessibility), sound design (robust, secure, responsive, and sustainable), and governance (building trust by protecting privacy and user rights) when building ID systems to serve a diverse set of development goals.

Implementing these Principles in practice requires adopting a people-centric approach to ID:

- To ensure inclusivity, ID practitioners must first understand the legal, procedural, social, economic, and technological barriers that people face to accessing and using identity credentials.
- To ensure responsive design, ID practitioner’s must first understand how people currently use identity credentials in their daily lives and how they might hope to use them in the future.
- To build effective measures that protects people’s data and privacy by design, practitioners must first understand people’s concerns and expectations about the collection and use of their data, and what measures would help them better exercise oversight and control.

For more on the Principles, see http://id4d.worldbank.org/principles.
2. INSIGHTS FROM QUALITATIVE STUDIES ON ID

While specific research questions will vary by context, there are five broad themes where qualitative research can provide valuable insights for ID practitioners and researchers:

1. **Process and experience**: What do we know about how people use existing ID systems? How do people obtain and use IDs? What are their attitudes and behaviors toward IDs in general (e.g., trust in government, privacy, meaning of ID, etc.)? What are narrative experiences (positive or negative) with past or current ID systems?

2. **Value proposition and impact**: Why do people want specific IDs? What is the value for them? What types of services do people access with IDs or need IDs in order to access?

3. **Knowledge and influences**: What kind of knowledge and resources exist on accessing ID systems (current and planned), including knowledge of procedures, requirements, rights, upcoming plans, etc.? Who influences an individual to obtain an ID (or not), and where do they obtain knowledge on ID processes?

4. **Barriers and challenges**: What are the barriers to adoption, especially for vulnerable or marginalized groups, such as women, LGBT+ groups, children, ethnic and religious minorities, nomadic populations, refugees, migrants, and displaced persons? Have people faced routine discrimination in registration processes? What are the direct and indirect costs that can make it difficult to obtain an ID?

5. **Future needs and solutions**: What future needs will people have regarding ID systems and services? What are ideal solutions for these needs, as defined by people themselves?

In addition to these general questions, qualitative methods and human-centered design approaches can also provide important feedback on specific areas of implementation or help crowdsource new solutions, such as:

1. **Preferences on specific designs**: If practitioners are considering different enrollment strategies or technologies, they can also pilot or get feedback on these options (e.g., whether people prefer to authenticate their identity via mobile or a smart card).

2. **Incentives/disincentives**: Practitioners may also ask specific questions related to people’s incentives to enroll in order to better calibrate rollout and implementation strategies. For example, given people’s attitudes and prior experiences, researchers may ask what changes or features would make participation more or less likely.

Importantly, qualitative research can be instrumental in identifying the causes and consequences of vulnerability and marginalization in ID processes—an essential step to developing more inclusive systems. Qualitative data collection can be essential for understanding the specific needs and unique barriers, discrimination, or disincentives that certain groups face through carefully designed studies. This requires work to identify groups that are vulnerable and marginalized in a particular context, structuring discussion groups appropriately, and designing instruments and analysis in a way that surfaces the nature of marginalization and how it affects access to identification. Figure 1
provides an illustrative schematic of this process, and Part II provides a more detailed description of how to focus research on issues of marginalization and vulnerability.

**Figure 1: Incorporating context-specific marginalization into ID-related studies**

- **Identify groups**
  - Identify and learn about marginalized and vulnerable populations for your context
- **Conduct research**
  - Use information to design research, create appropriate instruments, and train researchers to understand marginalization issues
- **Complete analysis**
  - Use data gathered to learn how marginalization affects access to and use of IDs
- **Improve design**
  - Design more responsive ID systems and related measures to improve inclusion

Qualitative methods are particularly well suited for research on ID that requires:

- Understanding people's own perspectives of the incentives and barriers that they face to access or use an ID
- Understanding that there is not one but *many different* human experiences with identification and being able to extrapolate from them to inform policy and programs
- Understanding the particular experiences of vulnerable groups, and how these might differ from those of the general population, so that solutions for these groups can be tailored accordingly.
3. KEY QUALITATIVE METHODS TO USE IN ID RESEARCH

Qualitative and quantitative data collection and analysis use different methods that serve different objectives and yield different types of information—the choice between them will depend on the goal of the study and the particular research questions. While both can provide useful insights to inform our understanding of identification and the design of ID systems, this Toolkit focuses solely on qualitative research. However, readers are encouraged to consider mixed-methods approaches that use both qualitative and quantitative tools to provide a complimentary evidence base for policymaking. Table 1 provides a summary of key differences between qualitative and quantitative methods.

<table>
<thead>
<tr>
<th><strong>Table 1: A comparison of qualitative and quantitative research</strong></th>
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<tbody>
<tr>
<td><strong>Qualitative research</strong></td>
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<tr>
<td><strong>Objectives</strong></td>
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<tr>
<td>• To provide in-depth understanding</td>
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<td>• To get people’s own perceptions and other information on</td>
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<td>reasons and motivations</td>
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<td></td>
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<tr>
<td><strong>Questions asked</strong></td>
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<tr>
<td><strong>Type of sample</strong></td>
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<td>Small numbers; typically non-representative of all cases;</td>
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<tr>
<td>purposive, non-random</td>
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<tr>
<td><strong>Data collection</strong></td>
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<tr>
<td>philosophy</td>
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<tr>
<td>Explores and discovers in each interview or discussion</td>
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<tr>
<td><strong>Data collection methods</strong></td>
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<tr>
<td>Semi-structured or unstructured; one-on-one interviews and</td>
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<td>small group discussions</td>
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<td><strong>Nature of data and analysis</strong></td>
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<td>Words; nonstatistical analysis</td>
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<tr>
<td><strong>What it tells us</strong></td>
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<tr>
<td>Provides insight into the <em>context, meaning, and dynamics</em></td>
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<td>of behaviors, experiences, and opinions</td>
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*Note: (CC IITA)
Strengths of qualitative methods for ID-related research

Because qualitative research is exploratory, interpersonal, and flexible, it is ideal for surfacing in-depth, localized information and for understanding how and why something happened. These qualities are particularly relevant for developing a deep understanding of the dynamics of people’s access to and use of ID systems because:

- **ID experiences are personal and subjective:** Each person has a “story” to tell about ID, and qualitative methods allow flexibility in eliciting these experiences. The narratives related during qualitative data collection are powerful and can help to understand why some people chose to register for the ID while others with the same awareness and understanding make a different choice, and how they feel having (or not having) an ID impacts their lives (or not). Capturing such experiences quantitatively (e.g., in a survey) may give an idea of the scale (e.g., adoption of ID) but not the depth, nuance, or narrative of these experiences, which is essential for designing better ID systems.

- **Stories around IDs can be emotional and sensitive, particularly for marginalized groups:** Identification can be a sensitive or emotional topic, particular for marginalized or vulnerable groups who fear discrimination or persecution related to their identity or the information they may disclose to a researcher. With well-trained researchers, qualitative methods build rapport and bring informality, intimacy, and trust into a safe space in a way that encourages marginalized individuals to speak their minds. For example, in focus groups on IDs with transgender people, stories may emerge about frustrations, such as the inability to change their names or gender on identity documents. This kind of information, while critical, would not be easily shared by respondents or collected by enumerators in the context of a survey.

- **The flexible, open-ended nature of qualitative data collection allows for unexpected and nuanced information to surface.** Initially, researchers may not know all the different conceptions and misconceptions that drive people to enroll for and use IDs. Qualitative methods allow researchers the freedom to explore all such ideas in an open-ended way. One way additional pertinent information can surface is when respondents provide unexpected answers to probes in a qualitative guide. For instance, in a qualitative study undertaken for Nigeria’s National Identification Project by the World Bank, researchers found that some people were reluctant to get the national ID because they thought registering was akin to getting the ‘mark of the devil’. In addition, because of the conversational nature of qualitative data gathering, respondents may offer facts, ideas, opinions or other information that does not align with a particular question or prompt in a qualitative guide but that is pertinent to study objectives. Qualitative research recognizes the value of these unexpected bits of information and provides the flexibility to add new questions or modify existing ones to follow up on any such unexpected interesting comments by participants.

- **Qualitative methods provide a platform to elicit solutions:** Different categories of people will have different constraints or barriers to accessing and/or using an ID. Intersectionality of identities creates another layer of specificity in people’s experiences. Open-ended conversations guided by well-trained qualitative researchers can enable a program to get information from people themselves about what types of ID systems and implementations would be the most useful—and likely to be accepted—in their particular circumstances (men/women, nomadic/settled, urban/rural, and so on).
Though different from quantitative research, qualitative research is also a scientific method:

- Through qualitative research, researchers seek answers to questions about a given research problem or topic from the perspectives of the local population it involves.
- Qualitative research systematically uses a predefined set of procedures to collect evidence relevant to a specific research question(s).
- Qualitative research produces findings that are not determined in advance.
- Findings are applicable beyond the immediate boundaries of the study, even if not generalizable to the whole population.

Core qualitative methods

There are several appropriate methods for collecting qualitative data to gain insights into people’s experiences with, and perceptions of identification. The four most common methods used in qualitative studies are:

1. **Focus group discussions (FGD):** Facilitated, semi-structured group conversations used to collect data on the cultural, social, or other norms of a group and to generate a range of perspectives about issues of concern to the groups or subgroups represented.

2. **In-depth interviews (IDI):** Semi-structured, one-on-one conversations with people, appropriate for collecting data on individuals’ own histories, perspectives, and experiences, particularly when sensitive topics are being explored.

3. **Key informant interviews (KII):** In-depth interviews with experts in some aspect of the ID system—e.g., officials, front-line workers, community leaders, NGOs, etc.—who are well positioned to speak about specific touch points of the ID system or the experiences of particular groups.

4. **Participant observation:** Direct observation of people participating in some ID-related process or transaction appropriate for collecting data on behaviors in their usual contexts (e.g., registering for or collecting an ID, engaging in a transaction that requires identification, etc.).

In addition, there are multiple participatory research tools that can be used either separately or incorporated into any of the three principal qualitative methods listed above. These tools include, but are not limited to:

- Journey maps
- Card sorting
- Problem (or solution) ranking
- Photo or written journals or diaries
- Persona exercises
- Case studies

Figure 3 summarizes important considerations for choosing between these methods, which are described in more detail in Part II, Tables 2, 3, 4, and 5.
Participant selection

Even though respondents in qualitative research are typically not randomly selected in the same way as quantitative research, the methods can be more or less objective or representative. For example, a “snowball” method of sampling for FGDs or IDIs—e.g., where a field worker selects asks an individual to invite other people they know to participate—is likely to result in participants who know each other or share common networks and experiences. Although potentially more time consuming, methods of sampling that involve public “calls for participants” or individually selected people are likely to result in a more “random” group of participants with more varied experiences.

Researchers must think carefully about a program designs, research aims, and time and financial constraints when considering different method(s) and sampling strategies. The choice of methods and sampling strategies should be based on these considerations and ensuring the privacy and confidentiality of participants rather than researcher convenience. The pros and cons of different sampling methods are discussed in more detail in Part II, Section 1.
Ethical considerations

Following ethical guidelines and respecting participant’s rights is a critical part of legitimate research and particularly important in ID-related studies. In any qualitative study, researchers are asking very personal questions and going in-depth into the lives, experiences, thoughts, emotions, and preferences of respondents who are generously willing to share their stories and time. In return, researchers have a duty to ensure that they conduct research as ethically as possible. Research related to ID may be particularly sensitive as these documents often moderate the relationship people have with the government and service providers and can be powerful symbols of rights, belonging, or exclusion.

Most research studies will go through some sort of peer review and ethical approval (e.g., by an academic review board or similar institution). Each ethical approval process has its own specific understanding of research ethics. However, there are three main ethical principles that should be adhered to in every study that involves people as research subjects:

1. **Respect.** Respect and protect the rights and dignity of participants.
2. **Beneficence.** Make positive contributions to people’s welfare and do no harm.
3. **Justice.** Treat people fairly when selecting participants and conducting data collection.

Participants’ right to informed consent and confidentiality is embodied in these principles and must be adhered to throughout a study. Participants’ must participate willingly in the study after having been adequately informed about the research. Even after a respondent has initially agreed to the interview, researchers must follow the informed consent procedures. If informed consent is not obtained, or if the consent process is deemed to be unacceptable, an ethical review board may shut down the study. Throughout the consent process, data collection, data management, and analysis, strict confidentiality must be maintained.

Part II, Section 2 discusses research ethic in more detail, and Part III, Section 3 provides an example consent form.
4. RESEARCH PROCESS

The essential steps to conduct qualitative research include defining study aims and design, hiring and training implementers, sampling with care, fieldwork preparation, fieldwork itself, data organization and management, analysis, and report writing. Figure 3 summarizes the steps into three distinct phases, and Part II provides details on each for those responsible for designing, fielding, and presenting results from a qualitative study.

Figure 3. Summary of steps to implement a qualitative study

<table>
<thead>
<tr>
<th>Design study</th>
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<tbody>
<tr>
<td>Formulate main question(s) to answer</td>
<td>Decide on methods, size, costs</td>
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</table>

<table>
<thead>
<tr>
<th>Prepare for fieldwork</th>
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<tbody>
<tr>
<td>Hire and appropriately train all levels of staff for implementation</td>
<td>Ensure appropriate sampling, especially of women and marginalized groups</td>
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<table>
<thead>
<tr>
<th>Collect, analyze, and present data</th>
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<tr>
<td>Conduct fieldwork</td>
<td>Organize and manage data appropriately</td>
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Budget and timeline

There is no one-size-fits-all approach to qualitative research with end users of ID systems, and thus no prespecified range of costs or time applicable to all studies. In fact, in many cases the available budget will be a significant deciding factor for the size and structure of a qualitative study, given the core questions and timeline. At a minimum, a small yet rigorously conducted and analyzed qualitative study could be expected to take 2-3 months for training, data collection, and analysis, plus the time required by the lead organization’s system to hire project staff. Large national studies (such as an ongoing study in Nigeria) that seek to include participants from all relevant geographic areas, minority, ethnic and other relevant groups, and urban and rural areas can take up to one year.

Figure 4 provides a summary of the main types of costs associated with qualitative research as well as the main factors that are likely to affect those costs. The specific kinds of tools, personnel and other inputs required for different methods -- and that would define the kinds of costs incurred by different methods -- are summarized in Part II, Section 1.
Cost categories

- Staffing of core team and field researchers
- Travel, accommodation, and food at field sites
- Rental of neutral space for group discussions
- Audio and video equipment
- Materials (printed forms and guides, packaging, etc)
- Transcription and/or translation services
- Analysis software
- Remuneration and/or refreshments (if appropriate) for mobilizers and participants

Main cost determinants

- Contextual factors:
  - Availability of local vs. international research teams
  - Local wage levels for field researchers
  - In-country transportation infrastructure
  - Security situation at field sites

- Design factors:
  - Methods used
  - Sample size
  - Timeline
  - Types and language of analysis and deliverables

Outsourcing qualitative research

Rather than designing and conducting research in-house, the organization leading an ID system design requiring such research—including WB teams and country officials—often commission one or more academic institutions, research organizations, or other in-country and/or international firms to implement a qualitative study as part of ID system design or implementation. This process requires defining the desired scope of the envisioned study in order to issue a request for proposals (RFP) and/or terms of reference (TOR). In order to write these documents and effectively oversee the procurement of a suitable implementing partner, the lead organization should first, at a minimum:

- Outline key research aims and questions.
- Specify any particular populations of interest (e.g., women, rural dwellers, cross-border traders, urban youth, a linguistic minority, etc.) or geographic locations that should be covered by the study.
- Estimate the budget available for the study.
- Determine required deliverables (e.g., initial study design, fieldwork plan and instruments, intermediate and final reports, presentation, recommendations, photos, etc.).
- Decide on desired timeline for study and deliverables, including optimal/suboptimal times for fieldwork (e.g., considering seasons, holidays, etc.).

To select an appropriate organization to undertake a qualitative study and effectively oversee this contract, lead organizations are encouraged to review proposals and deliverables in light of the methodological and ethical standards and good practices outlined in Part II of this toolkit. An example TOR for a qualitative study on ID is also provided in Part III, Section 1.
PART II.
GOOD PRACTICES FOR CONDUCTING QUALITATIVE RESEARCH

This section goes into detail on the steps involved with planning, conducting, and analyzing qualitative research on ID. It is intended to be most useful for those involved with designing and overseeing the research as well as those who are going to participate in and carry out the research. This includes research coordinators, field supervisors, other researchers engaged in the study, and—as relevant—moderators and notetakers.

Read this section if you want to learn rigorous and field-tested strategies for:

- Selecting appropriate qualitative methods and sampling strategies
- Addressing marginalization and vulnerability in data collection and analysis
- Conducting ethical research
- Recruiting and training staff
- Preparing materials and guides for fieldwork
- Leading discussion groups and interviews
- Organizing and managing data
- Analyzing and presenting results
1. DESIGNING A QUALITATIVE STUDY ON ID

Define broad research questions

The first step in designing a qualitative study is to have clear research questions. In most cases, the proposal for the study will have formulated key research questions but, if not, this is the first task for team leaders to undertake. All other steps will follow from the research questions to be asked, and seek to answer them in the most rigorous way possible.

Select appropriate core methods

Part I provided an overview of the four key methods—focus group discussions, key informant interviews, in-depth interviews, and direct participant observation—and other participatory tools and methods commonly used in qualitative research. However, not all methods are equally appropriate for all research questions and contexts. This section provides a deeper overview of the characteristics of each of these methods, including their logistics, core benefits and drawbacks, and a comparison of their relative demands on budget and human resources.

Focus Group Discussions (FGDs)

It is often advisable to conduct focus groups early in the fieldwork of a study and use the mobilizing activities conducted for FGDs as an opportunity to recruit key informants (either people present in these discussions or those that respondents, now familiar with the study, might suggest). Initial focus groups can also quickly identify important themes, groups, or communities that can help better target interviews and other more time-intensive research activities, as well as preliminary program design (Table 2). Part III, Section 4 provides examples of focus group guides for research on IDs.

<table>
<thead>
<tr>
<th>Table 2: Basic characteristics of FGDs</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is an FGD?</td>
</tr>
<tr>
<td>Focus group discussions or FGDs are one of the most common, useful methods in qualitative research, and a key ingredient in end-user studies on ID. They are most effective when comprised of small groups (6–8 respondents), as more voices may be difficult to hear and manage. Groups are best structured to be homogenous across one or more key criteria, depending on the research question or contextual norms, such as:</td>
</tr>
<tr>
<td>• Separated by gender: if cultural norms make it difficult or prohibitive to have men and women sitting together;</td>
</tr>
<tr>
<td>• Separated by age: if norms of respect mean that young people would not speak in the presence of older community members;</td>
</tr>
<tr>
<td>• Focus on vulnerable populations such as persons with disabilities, LGBT people, minority ethnic or religious groups, displaced persons or refugees, stateless persons, migrants or migratory populations, etc.</td>
</tr>
</tbody>
</table>
### How are FGDs conducted?

Typically two trained fieldworkers conduct an FGD: a moderator and a notetaker. They can be specialized in each role or be trained to perform both roles so they can switch as needed in the field.

- *The moderator* is responsible for leading the focus group discussion, posing the questions in the focus group question guide, keeping the discussion on track, and encouraging all participants to contribute.

- *The notetaker* is responsible for taking notes of the discussion according to criteria specified by the study team. The notetaker may also be responsible for tasks related to audio recording.

### How long does an FGD last?

FGDs can be as short as a half hour, but should be no longer than one hour. Respondents get fatigued beyond an hour and discussion lags.

### How many FGDs can be conducted in one day?

At least one, maybe two or three focus groups of around an hour each can be conducted in a day. The final count depends on distance between communities, transport, and other logistics, and time allocated for data collection. No more than three FGDs should be done in one day, however, because of moderator and notetaker fatigue.

### What are the benefits of FGDs?

- FGDs are best suited to elicit experiences from as many people as possible, efficiently and cost-effectively.
- They are relatively low cost compared to other qualitative methods and useful for eliciting broad perceptions and experiences.
- The group dynamic offers an opportunity to generate discussion and interaction between respondents that individual interviews would not allow. Such interactions, in turn, can reveal concerns or facts about the topic(s) in question that may not be in the discussion guide but may be relevant nonetheless.

### What are the disadvantages of FGDs?

- FGDs are not appropriate for very personal or sensitive topics that people may not want to discuss, or which are inappropriate or insensitive to discuss, in public.
- By the nature of a group dynamic, FGDs can result in groupthink (everyone agreeing despite differences); also, the possibility of social bias—i.e., participants moderating their responses to be more socially acceptable—is likely to be higher for an FGD than an interview because people are surrounded by their peers. This is also known as the “Hawthorne Effect” (people modifying their answers knowing they are being observed by others).

### What resources are needed to conduct an FGD and what are the costs?

<table>
<thead>
<tr>
<th>Main resources to cost:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Possible compensation to recruitment intermediary and/or partner (e.g., nongovernmental organizations (NGOs) and community-based organizations (CBOs))</td>
</tr>
<tr>
<td>Payment for venue/space (ensuring as neutral a space as possible so respondents do not become influenced)</td>
</tr>
<tr>
<td>Refreshments and transport</td>
</tr>
<tr>
<td>Translation and transcription of FGD</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional costs:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respondent compensation (if appropriate)</td>
</tr>
<tr>
<td>Photos, video, and multimedia (with consent)</td>
</tr>
</tbody>
</table>
In-Depth Interviews (IDIs)

Study questions may necessitate interviews with individuals to better understand their experience with ID. The most common reasons to choose IDIs rather than FGDs are that the information sought is too personal, sensitive, or emotional to ethically discuss in a group, and/or the study needs to reach particular kinds of people who are too scattered to organize into one group. Moreover, while FGDs would typically elicit broad responses to questions of general dynamics around awareness, use, and attitudes toward IDs in a community, IDIs elicit more in-depth individual experiences. As such, they are an important method to combine with FGDs. Table 3 summarizes some key characteristics of IDIs and Part III, Section 4 provides an example of typical questions that can be asked in an IDI for ID-related studies.

Table 3: Basic characteristics of IDIs

<table>
<thead>
<tr>
<th>What is an IDI?</th>
<th>An IDI is a semi-structured interview conducted with a single person, following (but not reading out from) a guide.</th>
</tr>
</thead>
<tbody>
<tr>
<td>How should an IDI be conducted?</td>
<td>An IDI aims to elicit personal information, experiences, and views from the interviewee. Thus, an IDI should involve only the person being interviewed and one trained interviewer. The interview should take place in a private space to ensure confidentiality. If the interview is disturbed by someone entering the space, or if privacy cannot be ensured, the interviewer should be trained to stop, either permanently or temporarily, as the situation demands.</td>
</tr>
<tr>
<td>How long should an IDI last?</td>
<td>As with an FGD, an IDI should be no longer than one hour so as to avoid interviewee and interviewer fatigue. However, IDIs are typically shorter, and last anywhere from 20–45 minutes.</td>
</tr>
<tr>
<td>How many IDIs can be done in a day?</td>
<td>Anywhere from 1–3 IDIs can typically be done by an interviewer in one day. The number depends on the length and complexity of the IDI guide, the difficulty of locating interviewees and other logistical issues, as well as the sensitivity of the interviewee type or IDI focus. For example, if the IDIs are focused on particularly vulnerable populations (such as sexual minorities) and their experiences, no more than 2 IDIs should be conducted in one day to avoid interviewer trauma and fatigue.</td>
</tr>
<tr>
<td>What are the benefits of doing an IDI?</td>
<td>IDIs provide in-depth personal perspectives on ID registration processes, barriers, use, and impact. They are appropriate for sensitive topics or populations (for instance, a transgender person’s experience with trying to get an ID).</td>
</tr>
<tr>
<td>What are some disadvantages of doing an IDI?</td>
<td>IDIs are more time-consuming and expensive per-person interviewed compared to FGDs. Information and experiences garnered by an IDI may also be less generalizable than FGD data.</td>
</tr>
</tbody>
</table>
| What resources are needed to conduct an IDI and what are the costs? | **Main resources to cost:**  
  • Travel of researcher to respondent  
  • Translation and transcription of interviews  

**Additional costs:**  
  • Respondent compensation (if appropriate)  
  • Photos and videos (with consent). |
Key Informant Interviews (KII)

“Key informants” are individuals who—by virtue of their profession or community role—are experts in some aspect of the ID systems and/or well positioned to speak about specific ID-related touch points or the experiences of particular groups. These can be ID system experts, government officials, community leaders, members of civil society, employees of ID or civil registration agencies (e.g., enrollment officers), and employees of service providers that are part of the ID ecosystem (e.g., mobile operators, banks). Interviews with these individuals are specialized to ask focused questions tapping into the “key” information each can provide by virtue of his or her professional or community position. Whether or not a particular study needs KIIs will depend on the research scope and questions (Table 4). Part III, Section 5 also provides some examples of KII guides.

<table>
<thead>
<tr>
<th>What is a KII?</th>
<th>Individual interview with an expert who can give his or her opinion on the ID system based on their expertise, typically from an operational or policy perspective.</th>
</tr>
</thead>
<tbody>
<tr>
<td>How should a KII be conducted?</td>
<td>KIIs may not be as sensitive as IDIs, but they should still be conducted in privacy, with the interviewer and key informant only. This level of privacy and confidentiality will enable the key informant to be comfortable enough to give views of what is really happening on the ground rather than just the official position.</td>
</tr>
<tr>
<td>How long should a KII last?</td>
<td>Like IDIs, KIIs are typically shorter than FGDs, and last anywhere from 20–45 minutes.</td>
</tr>
<tr>
<td>How many KIIs can be done in a day?</td>
<td>Anywhere from 1–3 KIIs can typically be done by a single interviewer in one day. The number depends on the length and complexity of the KII guide, the difficulty of locating interviewees, and other logistical issues, as well as the sensitivity of the interviewee type or KII focus.</td>
</tr>
<tr>
<td>What are the benefits of a KII?</td>
<td>A KII, by virtue of the characteristics of key informants, is useful to get a process-and outcome-oriented perspective on identification from those who oversee implementation, represent particular communities of interest, or interact with ID systems on a regular basis; it can also be used to get high-level policy or design input or reactions.</td>
</tr>
<tr>
<td>What are the disadvantages of KIIs?</td>
<td>Like an IDI, KIIs can be time-consuming and not cost effective per person interviewed. KIIs can also include extra coordination to be able to get time from senior officials and other experts. Since KIIs tend to reflect an &quot;expert’s&quot; position from a high level, findings would need to be corroborated with findings from FGDs and/or IDIs.</td>
</tr>
</tbody>
</table>
| What resources are needed to conduct a KII and what are the costs? | **Main resources to cost:**  
  - Travel of researcher to respondent  
  - Translation and transcription of interviews  
  **Additional costs:**  
  - Respondent compensation (if appropriate)  
  - Audio and video recording (with consent)  
  Note: Telephone or Skype interviews may be more affordable and easier to schedule than meeting in person, but in-country and face-to-face KIIs are always valuable when feasible. |
Direct observation of participants and/or processes

Direct observation can provide important information on ID-related processes and interactions (e.g., registration, vetting, credential collection, authentication, grievance redressal, etc.) in real time, rather than relying on respondents’ recollections after the fact (Table 5).

### Table 5: Basic characteristics of direct observation

| What is direct observation? | Direct observation can be used to determine, as an ID-related activity unfolds, the nature of the process, how all parties behave, and what the experience was like for people. |
| How should direct observation be conducted? | Direct observations are conducted at a location where an ID-based activity occurs (e.g., obtaining a national ID or presenting a national ID when purchasing a SIM card). So as to minimize the bias that results from participants knowing they are being observed, the observer should be as discreet as possible, positioning her/himself out of a direct line-of-sight and remaining silent during the process being observed. |
| How long should a direct observation take? | The length of time of such a direct observation depends almost entirely on how long the process being observed takes. It also depends on whether the observer seeks to observe the entire process or only a predetermined portion or time segment. Thus, before deciding on or setting up a process or participant observation, researchers should find out how long a typical process takes in their geographic area of study. |
| What are the benefits of direct observation? | Direct observation provides a relatively unbiased, first-hand observation of the process or transaction of interest, as opposed to being narrated through individual interviews or group discussions where respondents are relying on memory in retrospect. |
| What are the disadvantages of direct observation? | Direct observation can result in a bias where people or officials are aware of being observed and thus behave differently than they would on a 'usual' day. Direct observation can be hectic if the location is crowded or disorganized. Also, in public centers, there will likely be a need to clear this with staff (who will need to check with supervisors); this can delay the process and create additional bureaucratic hassles for the program. |
| What resources are needed to for direct observation and what are the costs? | **Main resources to cost:**  
  - Travel of researcher to observation site.  
  - Respondent compensation (if appropriate).  
  - Any translation of observation notes (if needed) |
Participatory methods to enrich FGDs, IDIs and KIIIs

In addition to the above methods, there are multiple participatory research tools that can be used either separately or incorporated into an FGD, IDI, or KII. These include, but are not limited to:

- **Journey maps** detail an individual’s journey of registering for or using an ID. These maps provide immense detail about steps, costs, and barriers at each step of these processes. However, this method should be used judiciously and ideally combined with IDIs or FGDs, as it can be very costly and time-consuming.

- **Card sorting** is an interactive method where participants sort information listed on cards in order of their priorities or preferences. Examples are the relevance of different IDs, different registration processes, etc. While very useful as part of an FGD, this method may not be suitable with illiterate or low-literacy populations unless key concepts can be conveyed with illustrations rather than words.

- **Problem (or solution) ranking** is used to get FGD participants’ views on the relative importance of particular problems or solutions. During a discussion of problems/solutions, the notetaker writes each problem/solution mentioned on a card. At the end of the discussion, participants are invited to rank the cards in order of importance. A second discussion can then discuss the reasons for the ranking. As with card sorting, ranking exercises may not be suitable with illiterate or low-literacy populations unless problems/solutions discussed can be conveyed with illustrations rather than words.

- **Persona exercises** are extremely useful in engaging FGD participants and getting frank views about an ID system. The core idea is that researchers use a picture of a ‘persona’ who looks like the FGD participants to discuss relevant ID issues, instead of asking participants to talk about their personal experiences.

- **Case studies** can be used to increase understanding and trigger conversations about marginalization and its effect on ID experiences, and can allow for focused discussion on marginalization, as part of an IDI, KII, or FGD.

- **Diaries or journals** are a creative method fully controlled by participants. Participating individuals keep a diary, collage, or journal about their thoughts, experiences, and barriers to registration and other aspects of IDs relevant to them. At the same time, however, diaries and journals place a high time burden on respondents and are possible only with relatively literate populations. This method is best used instead of or in addition to—but not as a part of—FGDs, KIIIs, or IDIs.

Figure 5 summarizes key characteristics and pros and cons of each and suggests which core qualitative methods each can be used with. Examples of particular tools are provided in Part III, Section 7.
### Journey maps
- Details an individual's journey to obtain an ID
- Respondents map their journey using flipcharts, sticks on the ground, etc.
- Creative, visual, interactive method
- Can be time-consuming, requires more time to build rapport
- Can be done in 1–2 hours
- Best used with an IDI, as it seeks individual experience

### Card sorting
- Provides respondent priorities and preferences regarding the ID system
- Researcher shares prepared cards with information, and respondents sort them in terms of preference
- Examples: relevance of different IDs, technology options, registration process options
- Fosters conversation on targeted issues of interest
- Can be time-consuming and expensive to produce cards, especially if need multiple languages
- Can be done in 1–2 hours
- Best suited to FGDs but not illiterate populations

### Persona exercises
- Allows individuals to distance themselves from the process while providing their thoughts
- Researcher uses a photograph to create a persona of a man or woman familiar to the respondents whose ID registration journey guides discussion
- Can generate more frank information than asking respondents directly
- Should be structured to take no more than 30 minutes
- Best suited to an FGD

### Case studies
- Used to increase understanding and trigger conversation about marginalization and its effect on ID experiences
- Researchers develop case studies of individuals with particular marginalized characteristics
- The discussion focuses on specific registration experience of this person
- Allows for focused discussion on an otherwise potentially sensitive subject
- Can be used in FGDs, KIIs, or IDIs

### Diaries and journals
- Respondents keep a diary or collages of ID transactions or processes; write a letter to an ID official detailing concerns
- Creative and visual method
- Places a high burden of time on respondents
- ID processes may occur so infrequently that this method generates very few points of data
- Not at all suited to illiterate populations
- Best done separate from IDIs, FGDs, or KIIs

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**Figure 5: Summary of select participatory tools**
Focus on marginalized and vulnerable groups

Identifying and addressing marginalization is critical for research on ID because marginalized groups are typically the least likely to have proof of identity and also the most likely to benefit from the rights, legal protections, and access to services it can provide. Qualitative research is particularly well-suited to surfacing mechanisms through which particular groups may be excluded from ID systems, and thus identifying potential activities or design choices that can promote inclusivity. This requires attention throughout the research process, including by identifying populations at risk, calibrating research questions and the selection of methods, and collecting data and conducting analysis in a way that accounts for the intersectionality of identities and experiences.

Marginalization or exclusion can be defined as a ‘condition’ or ‘process’ that excludes certain groups or individuals from fully benefitting from or participating in social, economic, spatial, political, cultural, and religious aspects of life that are enjoyed by others in their society because of certain ascribed characteristics related to gender, race, caste, class, tribe, religion, or ethnicity (World Bank 2017, Alakhunova et al., 2015). Other non-intrinsic characteristics may also create marginalization, such as region of residence, income, political beliefs, literacy level, and so on. While the concept of ‘vulnerability’ is somewhat differently defined by different social science disciplines, broadly speaking, marginalized or excluded individuals or groups are vulnerable to poor outcomes on a range of social and economic aspects of life, be it education, health, employment, housing, political power, and so on (Alwang et al., 2001). See also the UNESCO discussion of social exclusion: http://www.unesco.org/new/en/social-and-human-sciences/themes/international-migration/glossary/exclusion/.

Identify populations at risk of marginalization from (or by) ID systems

In order to identify and address marginalization in context, research on the broad themes listed above can be modified to capture in particular the experiences, needs, constraints, attitudes, and facilitators for vulnerable and/or marginalized groups in their area of program implementation.

To do so, researchers can take the following steps:

- **Determine the main axes of marginalization in the study locality.** Box 2 provides some examples of ascribed or characteristics that frequently trigger marginalization. However, each region and each target population can have multiple and different axes of marginalization, and these often intersect. Therefore, it is important to identify these axes contextually. For example, are all

Box 2: Axes of marginalization—some examples

- Gender
- Area of residence
- Urban/rural residence
- Age
- Socioeconomic status
- Group identity: caste, religion, tribe, ethnicity, skin color, race, etc.
- Sexual minorities such as LGBTIQ individuals or groups
- Refugee status
- Stateless individuals
- Internal displacement
- Migrants
- Disability
migrants in your area of operation equally marginalized? Or does the research area have rural, nomadic, female migrants who are more marginalized and who might need different interventions to increase their access to IDs than other migrant groups?

- **Map whether relevant marginalized groups or individuals are geographically concentrated.** Some types of marginalization may be scattered across a country (such as marginalization arising from disability) while others may represent groups that are geographically clustered (such as nomadic herders or internally displaced people in camps). Locating where marginalized populations live is critical to reaching them with research and programs.

The above information is often already available from prior research or programs. Start with colleagues in social development, other country experts, and other colleagues who may already have conducted research or developed social programs for marginalized groups. Typically, researchers will not have to start from scratch, and there is no need to reinvent the wheel in trying to identify marginalization and vulnerability!

**Target research questions to explore marginalization**

The pathways by which marginalization affects people’s access to services, including IDs, will vary depending on the reason for marginalization. Consequently, understanding these pathways is critical to ensuring that research questions are appropriately structured to get data on how particular marginalized groups in a specific area may be excluded from IDs. This analysis can then be used to define what actions or design choices could be used to promote inclusive access to IDs and identity-related services in a way is acceptable to the group(s) in question (Table 6).

**Table 6: Examples of research questions to understand marginalization and IDs**

<table>
<thead>
<tr>
<th>Axis of marginalization</th>
<th>Marginalized group</th>
<th>Pathway for marginalization</th>
<th>Possible research questions linking pathways to access to IDs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gender</td>
<td>Women</td>
<td>• Patriarchal gender system</td>
<td>• Do women need to get permission to register for an ID? Whose permission?</td>
</tr>
<tr>
<td></td>
<td>Adolescent girls</td>
<td>• Restrictive social norms</td>
<td>• What mobility and financial constraints do women and girls face because of patriarchal social norms, and how do these limit access to an ID?</td>
</tr>
<tr>
<td></td>
<td>Child brides</td>
<td>• Limited mobility and decision making</td>
<td>• What are community and household perceptions about the importance of IDs for women and girls?</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Lack of knowledge and access</td>
<td></td>
</tr>
<tr>
<td>Axis of marginalization</td>
<td>Marginalized group</td>
<td>Pathway for marginalization</td>
<td>Possible research questions linking pathways to access to IDs</td>
</tr>
<tr>
<td>-------------------------</td>
<td>--------------------</td>
<td>-----------------------------</td>
<td>----------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Area of residence & socioeconomic status | Poor households, Rural individuals | • Long distances to apply for ID  
• High direct and indirect cost of obtaining an ID  
• Lack of knowledge and access  
• Less likely to have birth certificates or other documents needed to apply | • What do people in low-income households and/or rural areas know about the current ID system?  
• What investment of time and costs does it take to reach registration or transaction points and how much of a barrier is time and cost? |
| Group identity | Ethnic or racial minorities, Lower castes, Nomadic groups, Economic migrants | • Discrimination by majority groups  
• Outside the formal system  
• Lack of knowledge and access  
• Less likely to have birth certificates or other documents needed to apply | • How are ethnic minorities or lower caste individuals treated at registration centers?  
• What are community perceptions about the rights of ethnic minorities or lower caste individuals in relation to having a national ID?  
• Do nomadic pastoralists/economic migrants know about the ID? What do they know?  
• Do they think an ID is useful in their lives? |
| Gender and sexual minorities | LGBT+ people, groups or networks | • Face legal discrimination or exclusion  
• Face discrimination by heterosexual majority  
• Outside the formal system  
• Lack of knowledge and access | • What laws threaten gender and sexual minorities and how do these deter such individuals from seeking an ID?  
• How are people treated at registration centers if their gender or sexual identity is known?  
• What are peoples’ experiences with how their gender is recorded in ID systems or shown on ID cards, especially in situations where an individual changes gender or sex relative to prior recording (e.g., on a birth certificate)? |
| Legal status | Stateless individuals, People at risk of statelessness | • Lack of any identifying documentation | • What is the experience of stateless people in trying to get a national ID?  
• What do stateless people know about how to get an ID given their stateless situation? |
Address intersectional identities

“Identity” is a complex concept: a person’s identity is typically comprised of membership in multiple social groups or categories, such as, gender, race, an economic group, and so on. This intersection of multiple identities for a person or group can result in an accumulation or dissipation of marginalization and vulnerability. For instance, in many low-income countries, the proportion of registered women is lower than that of registered men. There may also be an ethnicity gap wherein minorities are less likely to be registered than individuals from majority communities. The separate marginalization occurring from each of these identities—gender and ethnic group membership—may be compounded when combined, such that women from ethnic minority groups may be even less likely to be registered than any other combination (i.e., men from ethnic minorities, or women or men from ethnic majorities). With regard to gender, for example:

- All women or all men do not have the same advantage or disadvantage. Thus, ID studies need to look deeper into other identities or circumstances rather than create categories for ‘men’ or ‘women’ as a whole;
- Marginalization accumulates across disadvantaging identities to create a double or triple disadvantage;
- All else being equal, women are likely to be more disadvantaged and marginalized than men in societies that follow any level of patriarchal norms.

It is therefore critical to disaggregate as much as possible when identifying marginalization and vulnerability.

Determine sampling strategies

Each of the above methods and focus on particular groups requires different strategies for sampling participants. Appropriate sampling strategies should be determined during the design phase of the study while the actual identification of participants may be executed during fieldwork preparation (e.g., identifying certain KIIs), and/or during data collection.

Discussion groups

FGD participants can be chosen using a ‘snowball’ method or by walking through the community and choosing participants individually. Individual, independent selection is preferable to the snowball method in most cases because it is more random and therefore more likely to result in a sample where participants and their experiences are more “independent” from each other.

There are multiple ways to use a ‘snowball’ method, but in all of them, the participants are chosen by a person or organization that already knows them and chooses them purposefully:

- The moderator or mobilizer identifies an initial individual of the required type (e.g., particular age, gender, or with other identifiers) who agrees to participate. The initial individual can be someone at random or a key individual in the community such as the chief or other leader.
- This first individual is asked to identify and invite others they know who may have the required characteristics (e.g., gender, age, other identifiers).
1. Designing a Qualitative Study on ID

- Alternatively, the moderator or mobilizer may request a local community-based organization (CBO) to help identify prospective participants. A CBO would likely invite participants whom they know based on their work in the community.

This approach is relatively easy one (similar to a “convenience sample” in a quantitative survey). However, it is less scientific, because it often results in a group of individuals who may all know each other or be in similar networks. This familiarity can result in different FGD dynamics and also means that their experiences might be similar to each other and thus even less widely representative or generalizable than is typically the case.

The individual selection method is therefore more advisable, albeit more time-consuming. This method allows for some randomness and thus more representativeness than the snowball method. In this method, the moderator or mobilizer selects each participant individually, as follows:

- The moderator or mobilizer identifies an initial individual of the required type (e.g., particular age, gender, or with other identifiers) who agrees to participate;
- Then the mobilizer or moderator walks around the village or community, randomly approaches others who seem to satisfy the criteria of required participants, explains the research, confirms that they are eligible as per the study criteria, and asks each eligible person approached, in turn, about their willingness to participate;
- This process is repeated until the moderator or mobilizer has the requisite number of individuals for the FGD, plus an extra 2–3 in case of dropouts.
- Individuals can also be randomly selected by recruiting through a “call for participants,” and/or advertisements on local television, radio, or newspapers.

In-depth interviews

Respondents for in-depth interviews are typically selected in two ways:

- Respondents can be identified during either the recruitment for an FGD or as a result of FGD findings. In this case, certain individuals are found to be of particular interest or have had particular experiences, or specific findings or comments during an FGD point to the need to get further information about particular individuals.
- Moderators or mobilizers recruit individuals directly from a community. This can be done through word-of-mouth or via local community organizations that work with the types of individual(s) in question.

Given the sensitivity and personal nature of the information that can be elicited in an IDI, the method chosen should be based on ensuring privacy and confidentiality rather than researcher convenience.

Key-informant interviews

Key informants are directly recruited. Researchers are likely to have identified the type of key informants needed for the particular kind of information required for the research questions. The only additional criteria for selecting key informants are the availability and willingness of the potential informants to talk to the researchers. Since key informant information is based on the person’s
characteristics, it is not meant to be generalizable and hence the kinds of concerns that arise around snowballing for FGD recruitment do not apply.

**Direct observation**

Choosing a particular person, registration center, or transaction point to observe requires careful thought to achieve as representative an experience as possible. Researchers need to consider:

- What information is a direct observation being conducted to collect, or what question will this observation help answer?
- Given this, should the observation be of a particular type of individual (a woman/man, minority/majority ethnicity, older/younger, etc.), activity (e.g., registration, authentication to receive a payment, etc.), and/or locality (rural/urban, large/small, etc.)?

Based on this determination, the researcher then needs to select the physical location for direct observation, keeping in mind specificity versus generalization of findings, permission, convenience for the researcher, the rights and privacy of those observed, and any other logistical or ethical criteria applicable to the study area.
2. Conducting Ethical Research

A researcher conducting qualitative research might find themselves in situations that are stressful, aggravating, or exhausting. Researchers may be tempted to take shortcuts. However, researchers must keep in mind that, while it is natural to look for shortcuts to alleviate this pressure, they MUST respect research ethics as firm guiding principles of any study.

Rights and responsibilities during data collection

As detailed in the Belmont Report, there are three primary principles that must be followed to ensure the rights of research participants or “subjects”:

1) The principle of respect. Research must respect and protect the rights and the dignity of participants. This means researchers should not identify any research participants by name or share personal details of their stories with friends and family members, or with anyone else outside of the study context and study report.

2) The principle of beneficence. Research must make positive contributions toward people’s welfare. It must maximize benefits and minimize possible harms, i.e., DO NO HARM!

3) The principle of justice. Research must treat people fairly, the benefits and risks of research must be fairly distributed among people, and subjects must be fairly chosen. No group should be systematically selected or excluded from research for any reason other than that of research design.

These principles have practical implications for how researchers engage with participants, the rights of the field team collecting data, and how to observe cultural and gender norms while collecting data.

Rights of research participants

Research participants—that is, members of FGDs, people interviewed as part of IDIs or KIs, and people observed or intercepted during direct observation—have the right to:

- Refuse to participate or to stop participating at any time;
- Have their information kept confidential;
- Be free of any pressure when considering whether to participate;
- Know about the purpose of the study;
- Understand what the discussion/interview will be like before starting (e.g., how long it will take);

---

- Be informed about any potential risks or discomforts before starting (e.g., discussing sensitive issues or giving their time without compensation);
- Ask questions, both before agreeing to participate and during the discussion/interview; and
- Be physically safe on the way to, during, and after the discussion/interview.

The moderator or interviewer explains these rights to participants during the informed consent process, discussed below. During discussion and interviews, both the moderator and the notetaker ensure that these rights are maintained.

Rights of the field team collecting data

While they must protect participants’ rights, researchers—particularly those in the field collecting data—also have rights during data collection, including:

- The right to be safe: if at any point during a trip to a locality or household researchers feel physically threatened and cannot diffuse the situation, they should feel comfortable to end the discussion and leave;
- The right to mutual respect by colleagues: field researchers’ colleagues will periodically provide constructive feedback, but if the field staff feel that their team members are not respecting the their work, they should report such conduct via whatever mechanism the study sets up to redress grievances; and
- The right to be healthy: if a researcher is feeling unwell, they must notify the Field Coordinator who will try to either put someone else in their place or reschedule the research to be conducted.

Observing gender and cultural norms

An important part of the ethics of implementing qualitative work is to understand and accept that researchers’ cultural, gender-related, and other beliefs and norms may be very different from those of the participants. Researchers do not have to accept the participants’ norms—however, during the time that the data are being collected, they do have to respect these norms and structure the FGD, IDI, KII, or direct observation accordingly. Since every context will have its own gender and cultural norms, researchers need to understand and observe gender and cultural norms as needed before starting to collect data for their study.

Consent and confidentiality

Maintaining informed consent and confidentiality are key aspects of respecting participants’ rights and conducting a legitimate study. Respondents must participate willingly in the study after having been adequately informed about the research. Even after a person has initially agreed to the discussion/interview, researchers must follow the informed consent procedures. If informed consent is not obtained, or if the consent process is deemed to be unacceptable, an ethical review board may terminate the study. Appendix x provides an example of a consent form. As noted above, confidentiality is another critical element of a legitimate study. Throughout the consent process, data collection, and data management and analysis, strict confidentiality must be maintained.
2. Conducting Ethical Research

PART II. GOOD PRACTICES FOR CONDUCTING QUALITATIVE RESEARCH

Informed consent

Informed consent is the process of informing participants about key facts of the study and what their participation would involve. Consent is especially important in ID-related research because of the sensitivity of the topic and the populations included in research. A consent form should always accompany research instruments (see Part III for an example consent form). Ideally, an Ethics Review Board should approve the consent form.

As with all fieldwork on the ground, the way consent is communicated is at least as important as the consent form itself. Often the focus is misplaced on obtaining a signature on a consent form, rather than clearly explaining the project and obtaining informed consent. Many participants may not be literate or may not feel comfortable signing the form, in which case verbal consent is acceptable so long as the respondent has fully understood everything. Ideally, researchers should decide before they start a study whether, given the context, it would be better to structure consent processes to have written consent or verbal consent.

Throughout the consent conversation researchers should re-iterate that their aim is to communicate participants’ experiences and not to identify or expose them as individuals. Consent for audio or photographs should be taken separately from consent for a discussion or interview. Box 3 provides some key points to keep in mind when considering taking photographs along with the research.

<table>
<thead>
<tr>
<th>Box 3: Checklist for consent to take photographs</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ First ask if the participant consents to participate in the discussion or interview;</td>
</tr>
<tr>
<td>✓ Only if the participant agrees to participate, then ask if the participant would consent to the researchers taking photographs;</td>
</tr>
<tr>
<td>✓ If the participant consents to photographs, ask whether they would be comfortable with having their photos shared and note their consent (or lack thereof);</td>
</tr>
<tr>
<td>✓ Ask consenting participants how they would like their photos taken. In research conducted by Caribou Digital in Syria, for example, one mother suggested a photo of her from the back with her baby’s legs showing;</td>
</tr>
<tr>
<td>✓ Sometimes a participant may consent to group photos if they are taken such that individuals are not identifiable. Explain to participants that photo apps can be used for blurring faces; however, the researcher must make sure that the blurring cannot be reversed;</td>
</tr>
<tr>
<td>✓ Never take photos of ID cards or other documents where personal identifiable information can be seen. The safest method to portray identification is to take photos from a distance and never take photos of personally identifiable information.</td>
</tr>
</tbody>
</table>

Maintaining confidentiality

The information that will be collected in a qualitative study is personal; therefore, it is important that it remains strictly confidential. To ensure confidentiality, researchers should adhere to the following good practices, especially in FGDs where maintaining confidentiality is most challenging, but also in IDIs or KIIs:
✓ Allow respondents to use first names or relationships (aunt, uncle, etc.) during the interview, but not last names.

✓ Do not write or print any (first or last) names of the respondents on any notes or forms. Instead, use pseudonyms or numbers to identify particular respondents in field notes.

✓ Before starting the audio recording, remind participants that no last names should be used during the discussion so as to protect everyone’s confidentiality. If a participant inadvertently uses a last name, remind them again.

✓ Assure participants that the study team will not use any last names, addresses, or other identifiers either during or after the discussion.

✓ In FGDs, acknowledge that you cannot promise that other participants in the discussion will maintain confidentiality, but that everyone will be requested to do so.

✓ If conducting FGDs, it is vital to stress at the beginning and end of the discussion that participants should respect each other’s anonymity and not repeat anything—including names—to anyone outside of the discussion.

✓ Only assigned moderators and notetakers should be allowed to take notes, photos, and/or video during FGDs, IDIs, or KII.

✓ Unauthorized persons and nonparticipants should not be allowed to be present during the discussion or interview, see any field notes or transcripts, or listen to audio recordings.

✓ Researchers themselves should not discuss any information collected with anyone who is not engaged in the study, nor should they show their field notes or completed transcripts or audio recordings to anyone who is not authorized.

✓ In any discussion of information is collected with other study implementers, researchers should be careful to keep the identity of individual respondents confidential; any discussions should be of anonymized data.

✓ Researchers should not leave study materials and equipment in an unsecured location where unauthorized persons may have access to them. The field notes, audio recordings, and transcripts should all be stored in a locked container identified by the Field Coordinator. Any digital data collected in the field should be protected by a password, encryption system, and/or other measures.

✓ Researchers should be careful to never discard pages of any study document. If there is a problem with any part of a document during fieldwork, researchers can write “CANCELLED” across the page and use a new one, and then hand all documents back to the Field Coordinator, including those that are unused or partially used, or spoiled.

✓ Researchers in the field need to immediately report the loss of any study materials and/or equipment to the Field Coordinator.

Once data collection is completed, researchers need to ensure that data are stored and evaluated in such a way as to maintain confidentiality of discussion participants and their households.
Additional research ethics for ID studies

In addition to the basic principles of respect, beneficence, and justice, and the overall rights of participants and field researchers, each ID study needs to think about additional ethical issues that are likely to be important while conducting qualitative research, specifically around identification and identity-related questions. The close link in many countries between identity documents and nationality determination means that people who are undocumented, at risk of statelessness, or otherwise vulnerable because of their formal identity (or lack thereof) may be particularly sensitive to questions related to their identity documents, particularly if they are uncertain of the intent or origin of the researchers and fear persecution. Further, the use of certain identity documents for security purposes and by police, for instance at checkpoints, may similarly raise sensitivities and fears around IDs that a study needs to consider when structuring questions. Also related, past histories or experiences of discrimination related to group identities such as religion or ethnicity that are associated with, or have involved identity documents, may raise sensitivities and make people fearful or otherwise uncomfortable. At the same time as keeping these sensitivities in mind, field implementers also need to keep ID-specific do’s and don’ts in mind, particularly in terms of how they conduct themselves and portray the research (Figure 6).

Figure 6: Additional ethics for ID studies

<table>
<thead>
<tr>
<th>Participant sensitivities to consider</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Link between ID documents and national determination: risk for undocumented or stateless people</td>
</tr>
<tr>
<td>• Use of ID documents for security purposes</td>
</tr>
<tr>
<td>• Past histories of discrimination based on national ID</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Field staff do’s and don’ts to be aware of</th>
</tr>
</thead>
<tbody>
<tr>
<td>• DO identify whether or not you are an ID registration official</td>
</tr>
<tr>
<td>• DO NOT give incorrect information about the ID program</td>
</tr>
<tr>
<td>• DO NOT promise IDs or services based on IDs</td>
</tr>
<tr>
<td>• DO NOT use the research as a vehicle to persuade people to register</td>
</tr>
</tbody>
</table>
3. HIRING AND TRAINING FIELD STAFF

Hiring the right people with the appropriate qualifications, and then training them intensively, are critical for good data quality. Recruited staff, particularly those collecting data or supervising any aspect of data collection and management, needs to be well trained on their roles, responsibilities, and core materials. Furthermore, responsibilities must be clearly delineated so that everyone at all levels is clear about who is accountable for what part of the process. Finally, all staff need to be trained to work together as a team.

Core staff for qualitative data collection

Each study will have its own combination of staff. However, there are certain key staff that all qualitative studies need to have in order to ensure smooth planning, implementation, quality control, and management. These are: lead researchers, trainers, a field coordinator, data managers, moderators, and notetakers. The lead researchers can also be the trainers; similarly, notetakers and moderators may switch roles, and also mobilize and set up for discussions. The exact configuration needs to be determined by mapping each step of collecting qualitative data to a person or persons who will be responsible for it. Typical roles and responsibilities are described in Table 7.

<table>
<thead>
<tr>
<th>Role</th>
<th>Typical staffing</th>
<th>Key responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mobilizer</td>
<td>Typically a member of a community-based organization or an individual from the study area contracted by the research team. They report to moderators and notetakers.</td>
<td>• Responsible for initial approach to communities</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Mobilize individuals who can be potential research participants</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Ensure setup (along with moderators and notetakers) is complete before participants arrive</td>
</tr>
<tr>
<td>Moderators</td>
<td>Either staff of the research organization or hired for this study. They report to the field coordinator.</td>
<td>• Lead and moderate FGDs and/or conduct KIIs, IDIs, or direct observations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Participate in post-data collection debriefs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Transcribe audio recordings in local language</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Translate transcripts from local language to preferred language of organization implementing ID program (English? Spanish? French? Other?)</td>
</tr>
<tr>
<td>Notetakers</td>
<td></td>
<td>• Take field notes during each discussion (in IDIs, KIIs, or direct observations, the moderator can also be the notetaker)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Manage audio recording during each discussion</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Expand field notes after each discussion</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Participate in post-data collection debriefs</td>
</tr>
</tbody>
</table>
3. Hiring and Training Field Staff

<table>
<thead>
<tr>
<th>Field coordinator</th>
<th>Key member of the core research team who typically reports to the lead researcher.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Coordinate all qualitative research activities</td>
</tr>
<tr>
<td></td>
<td>• Lead the post-fieldwork debriefs and write up debrief notes</td>
</tr>
<tr>
<td></td>
<td>• Oversee management and storage of data</td>
</tr>
<tr>
<td></td>
<td>• Conduct quality check of transcriptions and translations of audio</td>
</tr>
<tr>
<td></td>
<td>• Send electronic data to lead researcher as compiled</td>
</tr>
<tr>
<td></td>
<td>• Serve as the main contact person for lead researcher</td>
</tr>
<tr>
<td>Data manager</td>
<td>Typically staff of the research organization who reports to the lead researcher.</td>
</tr>
<tr>
<td></td>
<td>• Responsible for correct and complete storage of collected data</td>
</tr>
<tr>
<td></td>
<td>• Responsible for monitoring any incoming or outgoing data</td>
</tr>
<tr>
<td></td>
<td>• Responsible, with field coordinator, for all other aspects of data management</td>
</tr>
<tr>
<td>Lead researcher and trainer</td>
<td>Key member of core research team. Typically senior staff of the research organization.</td>
</tr>
<tr>
<td></td>
<td>• Train the rest of the team in qualitative data collection</td>
</tr>
<tr>
<td></td>
<td>• Read all expanded field notes, debrief notes, and translated audio transcripts as they are completed and sent</td>
</tr>
<tr>
<td></td>
<td>• Establish a regular check-in schedule with the field team to monitor any problems, unexpected information, etc., that occurs</td>
</tr>
<tr>
<td></td>
<td>• Work with field coordinator in managing data as needed, and with brainstorming alternative plans if issues arise during the data collection, transcription, and translation process</td>
</tr>
</tbody>
</table>

Ideal number of field teams in a study

The ideal number of teams depends on the context, study size, and budget. Typically, one pair of moderators and notetakers would conduct a maximum of up to two FGDs and one IDI, or KII per day, or one direct participant observation per day (depending on the process). Thus, the number of such pairs to be hired and trained depends on the number of planned FGDs, IDIs, KIIs, and/or direct participant observations, the time duration available for the data collection, and the budget allocated to field teams. Similar considerations need to be applied to the number of field coordinators. However, if there is more than one field coordinator, there still needs to be one lead coordinator to whom everyone reports. This can be a Field Lead or the Lead Researcher, depending on the structure of the study. Most studies have one dedicated data manager.

Training moderators and notetakers: Basic concepts

Since moderators and notetakers collect the data and are the face of the study to communities, focusing time, thought and resources to their training is particularly central. There are a number of training manuals available online and among organizations that conduct qualitative research. However, there are some essential elements that any training for moderators and notetakers should include. Some of these are generally important for moderators and notetakers in qualitative research, while others are specific to conducting qualitative research on ID (see Part III, Section 2 for an example of a training agenda for moderators and enumerators conducting a qualitative study.
on IDs in Nigeria). Similarly, some of these are important for both moderators and notetakers, while others are specific to the tasks of moderators or notetakers (Figure 7). However, all field researchers should be trained in all of these components, since moderators and notetakers may switch roles in the field if necessary.

**Figure 7: Essential training components for moderators and notetakers**

<table>
<thead>
<tr>
<th>Both moderators and note-takers</th>
<th>For moderators in particular</th>
<th>For note-takers in particular</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Do’s and don’ts related to ID system for which data are being collected</td>
<td>• Establishing positive dynamics</td>
<td>• Managing the audio recording</td>
</tr>
<tr>
<td>• Understanding gender and vulnerabilities in context</td>
<td>• Managing and leading the discussion</td>
<td>• Taking good field notes</td>
</tr>
<tr>
<td>• Familiarity with discussion/interview guide</td>
<td>• Using probes</td>
<td>• Expanding field notes</td>
</tr>
<tr>
<td>• Familiarity with consent forms and procedures</td>
<td>• Addressing problems that arise during the discussion</td>
<td></td>
</tr>
<tr>
<td>• Working effectively as a team member</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Addressing own value judgements</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Understanding do’s and don’ts related to the ID system for which data are being collected**

Both moderators and notetakers need to fully understand the ID system that is the focus of research. This includes both pedagogic and ethical elements:

- **Do learn about the ID system for which the study is being conducted:** The moderator and notetaker must learn about the existing and/or planned ID system(s) and documents that are the subject of the study. This is because participants may well take advantage of the researchers’ presence to ask about the ID system, especially in an area of low awareness. If researchers do not have adequate knowledge, they can lose the trust, respect, and interest of potential participants.

- **Do not use the data collection exercise as an opportunity to teach or motivate:** At the same time, moderators and notetakers must remain impartial regarding registration or use of IDs. The data collection process must not be used to proselytize for or against a particular ID or registration process.

- **Do ensure privacy of IDs:** In case some respondents pull out their ID, for instance in the middle of an FGD or during a process documentation, be careful to maintain the confidentiality of the information on identity documents or numbers in any records.
Understanding gender and vulnerabilities in context

Training must include a clear understanding of the contextual specificities of gender inequalities in the area in which the research is being undertaken. For instance: what are the norms about men’s roles and women’s roles and how do these impact women’s ability to access IDs? What decision-making power do women have? What are the constraints on women’s ability? And so on. Similarly, moderators and notetakers should be trained to fully understand and identify which groups or individuals are marginalized in the context in which research is being conducted. Finally, training needs to include an understanding of how gender and other vulnerabilities intersect in the context of the research area. Part III, Section 2 provides some illustrative exercises on gender, marginalization, and their intersection that can be adapted for different contexts.

Becoming thoroughly familiar with materials, protocols, and procedures

Discussion Guide. Field researcher training MUST provide enough time and discussion so that the moderator and notetaker are familiar enough with the discussion/interview guide that they do not need to actively refer to it for every question. To do so, both moderators and notetakers should:

- Review the guide before every discussion/interview/process observation;
- Make sure to understand the purpose behind every question rather than just the wording of the question so that questions can be rephrased as needed, and the moderator and notetaker can gauge when participants have adequately addressed the intent of a question; and
- Practice moderating with their colleagues in the local language(s) in which the relevant guide(s) will be implemented—both moderators and notetakers should practice in case the notetaker has to take the place of the moderator in any field session for any reason.

This level of familiarity with the discussion guide is essential for the moderator to:

- Conduct the discussion as a relaxed conversation;
- Be more engaged with the discussion and more attuned to group dynamics during the discussion; and
- Be more effective at changing the order or phrasing of questions.

This level of familiarity with the discussion guide will allow the notetaker to:

- Easily identify, track, and indicate in their notes the question to which a particular response being noted corresponds; this is critical because sometimes the discussion may not follow the order of the questions as they are listed in the guide;
- Identify essential elements of a response and note any outstanding quotes that could be useful for immediate analysis post-discussion; and
- Effectively take the place of the moderator if needed.

Consent forms and procedures. Training should explain the content and intent of the consent form(s) to be used so that the moderator is ready to address any questions participants may have about:
The content or purpose of the informed consent forms;
The terminology and language used in the forms;
Whom to contact for further information; and
Any part of the research study.

Working effectively as a team member

Typically, a moderator and the notetaker will form the core field team even when there is also a mobilizer and/or a field supervisor and thus MUST be trained to work as a team. It is critical that the moderator and notetaker practice together, work together, and interact throughout the data collection process. If a moderator does not moderate well, responses will be inadequate and notes unhelpful; if a notetaker does not take good notes, a well-moderated discussion will still not contribute fully to the set of qualitative data collected. Table 9 provides some examples of what training in this context needs to include so that moderators and notetakers can learn to work together to collect data in an FGD.

Table 8: Interactions between moderators and notetakers in an FGD

| How to prepare and work together for fieldwork: |
| 1. Practice moderating and notetaking together in a mock FGD |
| 2. Help each other to make sure all materials are in order before the FGD |
| 3. Work together to set up the discussion site in the field |
| 4. Fill in each other’s gaps, if necessary, in post-FGD debriefs |
| 5. Work together to ensure that participants’ rights under the informed consent process are protected at all times, including confidentiality of any IDs discussed or shown |
| 6. Notetakers can discretely help the moderator think of questions or remind him/her that a topic has not yet been covered |
| 7. Moderators can discretely indicate to notetakers instances or responses of particular importance of which to take note |

| Moderator roles that notetakers might need to assume: |
| • Moderating the discussion for part or all of a session |
| • Helping to clarify a question that participants do not seem to understand |
| • Pacifying respondents who are unduly upset, aggressive, or disruptive |

| Notetaker roles that moderators might need to assume: |
| • Taking notes if the notetaker needs to take a participant outside or deal with an interruption from outside |
| • Expanding field notes if the moderator has written the original notes |

Training should to emphasize the importance of the moderator and notetaker working together in a non-hierarchical way such that:

- Moderators and notetakers plan the discussion together as both will provide important detail in any post-data collection debriefing. The notetaker may see or remember details of the conversation that a moderator missed. Together, the two researchers can inform the research in a more complete way.
Moderators have an agreement about how the moderator will signal the notetaker for particular points to emphasize in the notes, such as any particular quote(s) or comments that should be noted, or to remind the notetaker of anything in particular or suggest something during the course of the discussion.

How to manage audio equipment

The audio equipment may seem like the most straightforward part of conducting qualitative research, but it is often the aspect that fails and thus moderators and notetakers must be comfortable managing this equipment. Also, it can be tricky for notetakers to manage the audio recording, monitor it to make sure it is functioning adequately through the session, and take their own field notes at the same time. Thus, being trained in how to operate, manage, and troubleshoot the audio equipment is as important as any other aspect of notetaker training; moderators should ideally also be familiar with the equipment in case they ever have to step in for the notetaker. Field researchers should be trained to prepare the audio equipment (including making sure to have at hand all the batteries that will be required) and practice using it to the best of their ability the day before every qualitative data exercise so as to minimize the possibility of disruption from malfunction during data collection.

Notetakers in particular need to be trained in the following before going into the field:

- How to use the microphone and its range, and to test the microphone before going into the field;
- The notetaker should be very familiar with the conventions for naming audio files; and
- How to test the entire equipment before heading out to the field: recording something, replaying it, deleting it, and performing all other functions that may be needed in the field.

Notetakers also need to be trained to monitor the following during data collection:

- To be aware of and note any blinking light or other visual signal that can quickly identify whether the device is recording or whether it has paused;
- If the audio equipment stops working during the discussion, notetakers should know that they have to:
  - Alert the moderator to briefly pause the discussion;
  - Determine whether the batteries need to be changed or it is possible to otherwise fix the device;
  - If it is not possible to fix the device, quickly signal to the moderator to continue the discussion;
  - Include in their field notes when in the discussion and at what time he/she noticed the recording had stopped; and
  - When you return to the office that evening, immediately alert the field supervisor or coordinator so that an alternative device can be obtained for the following day’s discussion(s).
Training moderators and notetakers: Managing and Leading an FGD, IDI, or KII

The moderator is the one responsible to both manage and lead the FGD, IDI, or KII. The way that the moderator does so directly influences the quality of the information generated.

How to establish and encourage positive dynamics

Creating a positive atmosphere for participants is critical to get the richest, most accurate data, and all moderators and notetakers need to be trained how to do so. In FGDs, the moderator is the prime person responsible for creating positive group dynamics while establishing ground rules to enable a smooth discussion or interview, but participants will also observe the notetakers. Thus, training must include input and tips for how moderators and notetakers should behave in order to create a positive and respectful atmosphere. First and foremost, moderators and notetakers should be dressed in a manner appropriate to, and fitting with, how women and men dress in the areas in which they will conduct research. Figure 8 summarizes other essential aspects of establishing and encouraging positive dynamics during a discussion and/or interview that training should impart.

Figure 8: Establishing and encouraging positive dynamics in the field

<table>
<thead>
<tr>
<th>Foster a relaxed positive atmosphere</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Be cordial at all times</td>
</tr>
<tr>
<td>• Do not patronize or talk down to participants</td>
</tr>
<tr>
<td>• Encourage everyone to talk</td>
</tr>
<tr>
<td>• Equalize participation</td>
</tr>
<tr>
<td>• Observe body language and adjust moderating techniques accordingly</td>
</tr>
<tr>
<td>• Respond to participants’ questions and expectations</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Maintain mutual respect during data collection</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Enforce ground rules to build trust</td>
</tr>
<tr>
<td>• Ensure that no participant is criticized or berated for their responses</td>
</tr>
<tr>
<td>• Remind participants to give everyone a chance to talk</td>
</tr>
<tr>
<td>• Remind participants to respect confidentiality</td>
</tr>
</tbody>
</table>

How to effectively lead a discussion or interview

Four tactics are crucial in effective management and leadership of qualitative data collection:

1. Keep instructions simple and clear, but not condescending.
2. Manage the timing and pace at which the data collection flows so that it remains at a good comfort level for participants, the moderator, and the notetaker (if there is one, for instance, for an FGD).
3. Ask questions clearly and effectively.
4. Manage an ebb and/or uncomfortable situation where participants seem reluctant to speak.

All moderators should be intensively trained in these four tactics. Table 10 provides pointers on what the training should comprise in each of these. In most studies, notetakers and moderators have to be ready to switch roles thus it is recommended that both, moderators and notetakers, be trained to effectively manage and lead an FGD, IDI or KII.

**Table 9: Tips for managing and leading an FGD, IDI, or KII**

| How do I keep instructions clear and simple? | • Speak slowly and clearly, but not condescendingly  
• Look at people when you speak to them  
• Use your hands (if appropriate) to emphasize points |
|---------------------------------------------|--------------------------------------------------|
| How do I manage the timing and pace of the FGD, IDI, or KII that I am moderating? | • Arrive on time, including time to set up  
• Be respectful of the time that participants have agreed to commit and try not to go longer than the allotted time  
• Watch participants’ body language to gauge level of interest and pace the discussion or interview accordingly |
| What are the best ways to ask questions and lead? | • Use words that are clear, simple, easily understood  
• Ask only one question at a time  
• If a question or theme doesn’t generate interest, you can move on and come back to it later  
• Do not ask leading questions: a leading question is a yes/no question  
  - Leading question: Is a national ID useful?  
  - Unbiased, open-ended question: What do you think about a national ID?  
• Avoid reacting to responses  
• Do respond to responses, for instance with nodding or an ‘okay’  
• Encourage participants and solicit responses: be a good listener, give people time to think, rephrase questions as needed, for example. |
| How do I manage an ebb or uncomfortable pause in which people seem reluctant to speak? | • Watch body language and participant interaction to check:  
  - If you have unintentionally insulted someone or said something culturally inappropriate: if this seems to be the case, ask politely if something is wrong and apologize as needed  
  - If the ebb or discomfort seems to be arising from boredom: in this case, change the order of questions, or do a quick energizer tailored to the age and composition of the group  
• If such a situation arises after about an hour or more, the FGD may simply have been going on for too long and you may need to just wrap up even if you have not covered all topics. Ask participants if they would like to wrap up and follow their lead. |
How to use probes effectively in FGDs, IDIs and KII

Probing refers to any follow-up that seeks to clarify or expand on participant responses and is essential to get full information and nuances from participants in IDIs, KII, and FGD. Probing is not applicable to process observation, by design.

Whether, how many, and what specific kind of probes a moderator uses will depend on the question, the moderator’s training and skill, and the dynamic of the group. Good probing requires the moderator to be thoroughly familiar with the ID system(s) in question, as well as the discussion guide to know when to probe, when not to, and what to probe for. Thus, practice is critical, as is the ability to listen carefully to participant responses, engage with participants, and be patient when asking questions. Figure 9 gives some examples of probing questions, actions, and expressions.

In general, in an IDI, KII, or FGD, a moderator can use probes when:

- A participant’s response is either brief and/or unclear;
- If a participant or group appears to be waiting for a reaction before continuing; and
- If the moderator senses that a person has more information on a question but, for whatever reason, is hesitant to speak and needs to be encouraged.

Figure 9: Examples of probing techniques

However, to enable a discussion to continue smoothly, a moderator should not use probes in excess, and should advance to the next question when:

- Responses start getting repetitive or lacking in substance; or
- If a participant becomes annoyed or upset about the moderator lingering too long on a particular topic. For example, in a discussion about whether women have equal rights to IDs as men, it is good to probe if the group initially agrees that this is the case; they may be saying what the moderator wants to hear. But if the initial probes result in an unchanged conclusion,
then continuing to probe could offend respondents who may think you consider them to be gender discriminatory.

The moderator also needs to adjust the type of probe used based on his/her knowledge of what is culturally appropriate for:

- The study area in general;
- The particular participant—for example, it may be acceptable to use a gesture or a nod for a young participant but a different verbal technique for a head of household; or
- The mood of the discussion—for example, if participants become angry about bad behavior by a registration official and the mood becomes threatening.

### How to address problems that occur during a discussion

In order to keep the discussion going, moderators may need to address two types of problems: (1) those arising from participant emotions or negative interactions between participants in an FGD, and (2) those arising from interruptions to a discussion (Table 13). The sooner and more effectively the moderator can defuse problems, with assistance from the notetaker as needed, the better the data collection process will go.

#### Table 10: Addressing problems that arise during an interview or discussion

<table>
<thead>
<tr>
<th>Problems arising from participant emotions or negative interactions</th>
<th>Action</th>
</tr>
</thead>
</table>
| A participant is talkative and dominates the discussion             | • Thank the person for his/her contributions and turn to ask others for their thoughts;  
|                                                                    | • Encourage the person to make only one point by stepping in and inviting others to comment on the one point before another point is made; and  
|                                                                    | • Use body language, for example turning slightly away from the person, decreasing eye contact, turning toward or looking at someone else, etc. |
| A participant is aggressive and prone to interrupt                  | • Remind the group of the ground rules of politeness and not interrupting;  
|                                                                    | • Decrease high levels of aggression or anger by being calm and asking the aggrieved person why they feel that way and then engaging the group in the resulting discussion; and  
|                                                                    | • Soften a high level of emotion by verbally acknowledging the sensitivity of particular topics. |
| A participant starts to cry                                          | • Decide whether you want to call attention to that person. If you do, then:  
|                                                                    | • If the cause seems to be because of an FGD’s group dynamic, remind people of the ground rules of mutual respect;  
|                                                                    | • In an FGD: request the notetaker to discreetly take that person aside and try to resolve the issue if the moderator considers it inappropriate to resolve it in the group;  
|                                                                    | • In an IDI or KII: stop the interview immediately, pause to allow the person to collect themselves, and, if appropriate, gently ask the reason for distress; or  
|                                                                    | • Decide if the interview or discussion can be continued or needs to be stopped. |
How to take good field notes

Field notes are critical because they are the only documentation available for immediate review and analysis of the themes arising from discussions even while data collection is ongoing. Also, if the audio equipment fails, field notes will be the only documentation that the research team will have. Notes are also important to capture nonverbal responses, which an audio recording cannot capture. While the specifics of how each notetaker organizes their notes and the shorthand he or she uses should be up to that person’s writing style and preferences, there are three essential criteria for good field notes in which all notetakers should be trained (Table 11):

1. Recording essential identifiers at the start and throughout the notes
2. Taking notes strategically
3. Being discreet

---

4 Energizers are activities used at the start of an FGD to create a collegial environment, and can also be used during the FGD to rekindle flagging energy or attention, to increase participant engagement, or to break any tension. Energizers need to be very carefully chosen, however, to be appropriate for the cultural context, age, and other characteristics of the group in the FGD. For examples of some energizers, see: https://pdf.usaid.gov/pdf_docs/PA00K6VP.pdf or http://resources.jhpiego.org/system/files/resources/icebreak3.pdf. Many other examples are also available online.
3. Hiring and Training Field Staff

### Table 11: Essential criteria for taking field notes

<table>
<thead>
<tr>
<th>What identifiers are essential to record and where in the notes should these be recorded?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Record basic identifiers at the top of the notes. These include:</td>
</tr>
<tr>
<td>• Any identifier or name of the location (village, city, etc.)</td>
</tr>
<tr>
<td>• Any participant identifier (Who is being interviewed for an IDI or KII? What is the characteristic and how many are there in an FGD?) DO NOT record ID numbers or other personal characteristics (other than sex, age, and marital status)</td>
</tr>
<tr>
<td>• The date, start, and end times of the data collection</td>
</tr>
<tr>
<td>• Record the following, as pertinent, throughout your notes to aid analysis:</td>
</tr>
<tr>
<td>• In an FGD, record some anonymized identifier for each participant so that researchers know who said what; for example P1, P2, P3 and so on. DO NOT use ID numbers for this identifier.</td>
</tr>
<tr>
<td>• Record the question number or key words of a probe to which an answer or discussion corresponds</td>
</tr>
<tr>
<td>• Clearly differentiate between participant responses and notetaker’s own observations (for example by putting initials in front of own observations)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How can notes be most strategically taken, given it is not possible to record everything in real time in the field?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Aim to write down enough, using words that will help in expanding notes later or helping transcribers if the audio is unclear or malfunctions.</td>
</tr>
<tr>
<td>• Write down keywords and phrases that will trigger your memory when expanding your field notes later</td>
</tr>
<tr>
<td>• Capture nonverbal reactions and body language</td>
</tr>
<tr>
<td>• Include any verbatim quotes that are particularly striking for immediate analysis</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How can I be discreet in taking notes so that participants are not uncomfortable?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Dress appropriately and in a way so that you don’t stand out</td>
</tr>
<tr>
<td>• Sit a little away from the participants (e.g., behind a group or off to the side of a key informant) so that you are not part of the discussion and in direct eye contact with the participant(s)</td>
</tr>
<tr>
<td>• Do not actively express observations or reactions as far as possible through verbal or nonverbal actions</td>
</tr>
<tr>
<td>• Do not participate in the discussion unless the moderator asks you to, or if the moderator is incapacitated.</td>
</tr>
</tbody>
</table>

### How to expand field notes after data collection

Field notes taken in the field will typically be abbreviated. It is good practice to expand field notes as soon as possible after a data collection exercise while the information and dynamics of that particular exercise are still fresh in the notetaker’s mind. Notetaker training should emphasize the importance of this immediacy in expanding field notes; notetakers can be given the following tips to organize how and when they expand their field notes:

1. **Schedule a specific time**: Notetakers will need to be reminded that it takes a lot of discipline to expand field notes right after a possibly long and exhausting data collection exercise but that it is crucial to do so. The best way to ensure that it gets done is to schedule specific hours in the day set aside to expand field notes.
2. **Use a pre-set form for expanded notes:** Having a form in which all notetakers expand their field notes makes it easier to do so for the notetakers and more systematic to analyze for researchers. Part III, Section 8 in this Toolkit provides an example of such a form. Notetaker training should include practicing expanding field notes in whichever version of the form is chosen for a particular study.

3. **Expand notes into a descriptive narrative:** It is important to convey to notetakers that the expanded notes must have the following characteristics:
   - All abbreviations and acronyms must be spelled out;
   - Any verbatim quotes should be included in full and in italics to differentiate them from the rest of the notes;
   - The notetaker’s own observations should be fully expanded and clearly differentiated from the report of what was said by participants;
   - The notetaker should include a summary on what he/she learned that was surprising, different, important to consider going forward, and so on; these reflections are often important in improving the quality of data collection.
   - **Save, review, and send expanded notes:** Notetakers should be trained to save notes using predetermined naming conventions (see previous section); they should be encouraged to review their notes; and then must send their notes to the field supervisor before any debriefing session is conducted.

### How to manage own value judgements

A **critical part of moderator and notetaker training is the explicit recognition of one’s own value judgments, how they may influence the process of collecting data in the field, and how to address and prevent bias.** Sometimes when we go into the field as researchers, we have preconceived values and judgments about the “accuracy” and “value” of respondents’ perceptions. We may think that, because we are more educated or because we know more about the study, we are in the position to “correctly” interpret study participants’ responses. However, this is not true. Below are some ways in which moderators and notetakers should be trained to guard against their judgments coming in the way of faithfully recording participant responses.

**Qualitative researchers must be careful not to display their personal attitudes when conducting discussions and taking notes.**

- Try not to make facial expressions that show disapproval or surprise in reaction to a respondent’s comments. For example, if a respondent says he/she doesn’t see the value of a national ID and the moderator or notetaker is surprised, the moderator or notetaker must not show that surprise.
- Lean forward and pay attention to each respondent when he/she speaks throughout the discussion.
- Encourage open discussion with your body language and your attitude.

We can only gather accurate data on respondents’ behavior and perceptions if we are willing and able to curb our own values, to listen to respondents, to respect the value of their words and their experiences, and to record exactly what respondents are telling us.
REMEmBER: If a respondent interprets a researcher’s reactions as judgmental or negative, he/she may be less inclined to share experiences, thus detracting from the richness of the qualitative study.

Although you may personally disagree with a respondent’s comments or you may think you would have approached a situation differently, it is important to recognize that in qualitative research the respondent is an expert in his or her own life.

- Only the respondent knows why he/she acted in a certain way or how he/she feels.
- Regardless of his/her income, education level, gender, or other personal characteristics, each respondent’s comments are equally valuable to the study.
- So as researchers, moderators and notetakers must create an environment that encourages open discussion of thoughts and feelings.

REMEmBER: Moderators and notetakers are not there to offer advice or talk about how they would have reacted to a situation—their purpose is to understand the respondent’s reasoning and thoughts, not to change the respondent’s opinion or actions.

Moderators can ask questions to probe or clarify what a respondent says, but never assume a respondent is lying to them.

- Discussion participants volunteered to talk to the moderator, so they have no reason to make up stories or hide information.
- Sometimes respondents do not remember all of the details of a situation. For instance, respondents may not immediately be able to tell the moderator how long it took them to get to an ID registration center. Perhaps they went long enough ago that they don’t remember.
- Similarly, if a moderator doesn’t understand what a participant is trying to convey, he/she should not assume that the participant is being vague to mislead or to avoid answering the question. Instead, the moderator should politely ask follow-up questions to clarify a respondent’s comments when they are unclear. Also, probing for details and asking respondents to reflect on each other’s comments will help get more detail.
- Finally, even if the researchers suspect someone is not telling the truth about a particular issue, their job is to record the response faithfully, not call out a participant or accuse them of lying.

REMEmBER: Respondents volunteered to participate in the discussion so they are likely willing to share their experiences, but they might need prompting to discuss what researchers are interested in researching.

Although respondents may sometimes stray from the specific topics a moderator asks about, it is valuable to let them discuss those aspects of participating (or not) in an ID system that has had the biggest impact on them.

- The respondents may bring up concerns or experiences with identification that the moderator and other researchers planning this study did not think about, or that are not included in the guide. Let the respondents continue their discussion as such issues are likely to be valuable to them and, as such, important to document.
- At the same time, the moderator should be trained to decide when a discussion or interview is getting repetitive and politely steer participants back to the topics in the discussion or interview guide.
Moderators should set expectations at the start of a discussion that they may interrupt participants to gently steer the conversation back to discussion topics if participants start to get too far off-track.

Thank respondents for any information that they are willing to share.

REMEMBER: This may not be an easy topic for them to talk about. For example, LGBT+ participants may have had a traumatic experience trying to get their gender accurately recorded or changed in an ID system. Also, respondents are sacrificing time from other work to participate in this discussion. Moderators should be trained to respect and appreciate this fact.

At the culmination of training, moderators and notetakers should be able to demonstrate particular skills and attributes. These are summarized in Box 4.

**Box 4: Essential attributes of a good moderator and a good notetaker**

**Eight attributes of a good moderator**

1. Is well prepared for the discussion before going into the field
2. Works as a team member
3. Establishes and encourages positive group dynamics
4. Keeps instructions clear and simple
5. Manages the discussion’s timing and pacing
6. Asks questions effectively and leads the discussion
7. Uses probes effectively
8. Effectively addresses any problems that arise during the discussion

**Four attributes of a good notetaker**

1. Is well prepared for the discussion before going into the field
2. Has an efficient yet discreet system for taking detailed notes
3. Manages the audio recording effectively and efficiently
4. Is capable of expanding field notes into rich descriptions

*Source: Pande and Rajan. 2014.*
4. DATA COLLECTION AND DOCUMENTATION

Implementing the study in the field comprises three broad stages. First, in addition to hiring and training, a series of preparatory steps need to be taken, primarily concerning the tools, guides and logistics that fieldwork will require. Implementing data collection in the field is also a systematic process. Finally, data management and organization include multiple aspects. Figure 10 summarizes these stages and what each comprises, and the rest of this chapter provides input, instructions, suggestions, conventions, and forms that can be used in implementation.

Preparing to implement

The scientific nature of qualitative research derives from creating and following defined procedures for data collection, management, and analysis. Every qualitative study develops its own specific set of such procedures. These include both, the instruments with which research will be conducted and data collected, and the tools and processes to manage fieldwork and data and analysis. Before going into the field, a research team should have draft versions of data collection guides to field-test, prepare all materials needed before and after data collection, and ensure that researchers going into the field understand all forms and procedures used for data collection and management. This section describes some of the relatively standard ways to organize, plan, and prepare for data collection.
Research protocols and guides

Lead researchers should develop draft research instruments to be field-tested before data collection starts. Each study team has a different partnership with implementing research organizations to develop research guides. In some cases, the lead organization develops the guides and locally hired research firms implement data collection; in others, all parties collaborate in designing instruments. However, it is advisable, at the very least, to share draft instruments with local researchers to get their input on contextual feasibility and validity. Consent language and procedures also need to be drafted in advance. Both, field instruments and consent language and processes can be field tested together and then modified accordingly.

Examples of some research guides and consent forms can be found in Part III. Based on these guides, the scope of the study, and the budget, the research team will then need to develop a set of specific tools and forms to organize data collection, facilitate adherence to research guides and consent processes, and manage the typically vast amounts of data collected.

Tools for organizing data collection

Each data collection exercise typically generates a lot of material that needs to be organized and tracked. This can include audio recordings, audio equipment, signed consent forms, moderator notes, notetaker notes, and any material that may have been used for visual aids such as pens, papers, or charts, for example. After a discussion takes place, notes hurriedly taken during discussion are typically expanded and fully written out, and debrief sessions may take place.

In addition to forms used in fieldwork, there are typically forms for logistics and data management. Qualitative data collection can range from an informal, small series of conversations to a large endeavor covering multiple methods, populations, and geographic regions. In some particularly large studies, upward of 100 FGDs may be conducted, for example. It is therefore critical to be extremely systematic and organized in conducting such large studies before, during, and after the fieldwork, typically until all transcripts have been translated (if needed) and coding is complete.

Table 12 provides summarized common forms used to monitor and organize complex data collection. Each of these forms is one example of how to structure a particular aspect of fieldwork monitoring and management and can be modified as needed depending on the complexity of the data collection exercise, the time and finances available, and/or the capacity of the implementing firm or agency. More details on each are provided below, and Part III, Section 8 provides examples of each type of form.

<table>
<thead>
<tr>
<th>Type of form</th>
<th>What it will be used for</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Forms for fieldwork</strong></td>
<td></td>
</tr>
<tr>
<td>Label</td>
<td>Stuck to the top of each packet to label what’s inside and about which FGD/IDI/KII</td>
</tr>
<tr>
<td>Instruments</td>
<td>Paper copies of the instruments to be used in guiding an FGD/IDI/KII or a direct observation</td>
</tr>
</tbody>
</table>

Table 12: Critical forms to organize qualitative data collection
### Type of form

<table>
<thead>
<tr>
<th>Type of form</th>
<th>What it will be used for</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consent forms</td>
<td>All consent forms and other related information (such as phone numbers if a respondent has a complaint)</td>
</tr>
<tr>
<td>Audio/video file management form</td>
<td>To write down, for each FGD/IDI/KII, the name of the audio file as recorded on the device, and the name of the audio file saved on the computer named as per study conventions, so that the team knows which audio file corresponds to which FGD/IDI/KII</td>
</tr>
<tr>
<td>Field notes</td>
<td>Suggested format for notes to be taken during discussion</td>
</tr>
<tr>
<td>Expanded field notes</td>
<td>Structured format that all notetakers have to use to expand their field notes after each discussion, as soon as possible.</td>
</tr>
<tr>
<td>Debrief notes</td>
<td>Format for notes of the debrief session for each FGD/IDI/KII that is conducted as soon as possible after the FGD/IDI/KII, filled in by the field coordinator</td>
</tr>
<tr>
<td>Checklist</td>
<td>A field checklist to ensure that the team has everything before they set out for the data collection</td>
</tr>
<tr>
<td><strong>Forms to manage data and logistics</strong></td>
<td></td>
</tr>
<tr>
<td>Field plan</td>
<td>Detailed schedule for each day, prepared the day before</td>
</tr>
<tr>
<td>Data management tracking form</td>
<td>Form to keep track of who is doing what on which transcript, and piece of data management and on which day. Field coordinator will keep and update during the course of the study</td>
</tr>
</tbody>
</table>

### Forms and materials to bring to the field

One way to manage large amount of material needed during fieldwork is to organize one large, sturdy packet per FGD, IDI, KII, or participant observation. This packet—which will include all forms, materials, audio, and video devices to be used in that data collection exercise—will be assembled before each exercise and collected by the supervisor upon completion or at the end of the day. This way, researchers can make sure that everything related to a single FGD, IDI, KII, or participant observation exercise is all in one place.

The following types of forms and materials—blank at the start of the FGD and filled in before the packet is returned to the supervisor—are recommended. Each study will likely modify the exact content of each of these types of forms; this Toolkit provides some examples.

1. **Packet/envelope label:** There should be a pre-created label for each packet (see example in Part III, Section 8).

2. **Checklist:** Each packet should have a checklist as a reminder of what needs to be organized before, during, and after each data collection exercise to make sure that the team has everything they need before they set off, and everyone knows what they have to do after the discussion (see example in Part III, Section 8).

3. **Audio/video recording device:** The audio and/or video recording device used in a data collection exercise should be returned to the field coordinator following that exercise, so that...
audio and video recordings of the data collection exercise can be immediately retrieved from the device and saved in a central file management system.

4. **Audio/video file management form:** To ensure that the field coordinator and research team communicate clearly about which audio/video files correspond to which data collection exercise, this form will link each file named as per the conventions of the recording device used to the file name and per the study’s naming conventions (see below and example in Part III, Section 8).

5. **Field notes taken during FGD:** During an FGD, IDI, or KII, it is impossible for moderators and notetakers to take detailed notes. Rather, they will likely take abbreviated notes. Having a structure for these notes (see example in Part III, Section 8) may help moderators and notetakers; however, moderators and notetakers should also be allowed to use other ways of writing notes during the data collection if they prefer.

6. **Expanded field notes:** As soon as is feasible at the end of each data collection exercise, each notetaker should expand their field notes more fully, using something like Part III, Section 8, that will provide a single structured, systematic way for all notetakers to expand field notes.

7. **Debrief notes:** It is critical to have a debrief following every data collection exercise or at the end of every day of data collection because it will allow all fieldworkers and supervisors to go over any problems, unexpected findings, etc., while that day’s experience is still fresh in their minds. Typically, a Field Coordinator leads this session and completes debrief notes (which can be organized as in Part III, Section 8). Post-fieldwork debriefs are discussed further in the next sub-section.

8. **Pens, paper, and any other materials:** This includes materials to be taken to the site and brought back from the site, such as any completed charts, photographs of participatory activities, etc.

The expanded field notes and debrief notes can be done by hand or electronically, but ideally a hard copy should also be put in the field packet so that when someone is transcribing the audio recording, they can have a hard copy of the notes at hand to refer to as needed.

**Forms to organize and manage logistics and data**

Additional forms do not need to go into the fieldwork packet but are instead used by supervisors and coordinators to manage the process of qualitative data collection. These include:

1. **Field plan:** The field plan is the detailed schedule for a particular day and should be prepared the previous evening. It can be an informal document or conversation and should include 1–2 hours after each data collection exercise for expanding field notes.

2. **Data management tracking form:** Since each data collection exercise may produce multiple pieces of data (notes, audio recordings, charts, etc.), the field coordinator will need to have some systematic way to track who is doing what task and what data has been produced at any given time. A Data Management Tracking Sheet can keep track of who is working on what aspect of data management (e.g., data collection, transcribing, translation, etc.) for each data collection exercise in the field. The Field Coordinator is typically responsible to update this sheet as necessary; it should be saved electronically, if possible, in a central file system where other electronic data are stored, as determined by the Field Coordinator.
4. Data Collection and Documentation

Systematizing file naming convention

The data collected through all the notes and forms described above will typically eventually be typed into a computer and saved electronically. To organize the vast amount of data one study usually collects through a combination of FGDs, IDIs, KIIs, and/or process documentation, it is important to establish and follow a set of standards or conventions for naming all of the documents that will be stored electronically. These conventions will allow researchers to quickly scan document titles to find the exact piece of data they are looking for. Though the exact types of files will vary depending on the type of study, typically naming conventions apply to the following types of files once they are digitized:

- Audio recordings
- Expanded field notes and debrief information
- FGD, IDI, or KII transcripts
- FGD, IDI, or KII translated transcripts

Each file name should include the following categories of information:

- Type of file
- Geographic area in which the study was conducted: this can have any amount of detail considered important such as zone, state, local administrative divisions, village name, etc.
- Key participant characteristics used to organize the data collection exercise:
  - Age, sex, marital status, or particular minority group status, for example, for an FGD or IDI;
  - Type of key informant for a KII
- Date of the data collection exercise
- The moderator or supervisor’s initials

Table 12 illustrates these filing conventions using an example of focus group discussions on the national ID conducted in Nigeria by the World Bank and a field partner organization.

<table>
<thead>
<tr>
<th>Information categories</th>
<th>Name</th>
<th>Convention</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of file</td>
<td>Audio</td>
<td>AUD</td>
</tr>
<tr>
<td></td>
<td>Video</td>
<td>VID</td>
</tr>
<tr>
<td></td>
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<td>FN</td>
</tr>
<tr>
<td></td>
<td>Completed debrief note</td>
<td>DB</td>
</tr>
<tr>
<td></td>
<td>Completed transcript</td>
<td>TRN</td>
</tr>
<tr>
<td></td>
<td>Completed translation</td>
<td>TRL</td>
</tr>
</tbody>
</table>
### Geopolitical zone
- North Central/Middle Belt (NC)
- North East (NE)
- North West (NW)
- South East (SE)
- South South (SS)
- South West (SW)

### State
- Benue (BEN)
- Adamawa (ADA)
- Kaduna (KAD)

### Local government area (LGA)
- Apa (APA)
- Lamurde (LAM)
- Kaduna North (KDN)

### Ward/town/village name or code
- Ugbokpo (UGB)

### Sex of participants
- Male (M) or Female (F)

### Age group of participants
- 16–28 (16to28) or older (28plus)

### Any minority status of participants
- For example, IDP, adolescents (adol), child brides (childbride), people with disabilities (pwd), etc.

### Date of the FGD
- dd/mm/yy

### Contact person’s initials
- • For audio files: initials of the discussion moderator.
- • For all other documents: document author’s initials.

The file name below would describe an audio recording of an FGD conducted in the North Central geopolitical zone, Benue state, Apa LGA, Ugbokpo town, with IDP women ages 16–28 years. The discussion took place on May 30, 2019, and was moderated by a researcher with the initials “EA.”

*File name: AUD-NC-BEN-APA-UGB-F-16to28-IDP-300519-EA*

(Type of file-geopolitical zone name-state name-LGA name-town name-sex of participants-age group of participants-minority status-date-contact person’s initials)

## Final preparation and planning checklists

Once all the training, data management forms, naming conventions, and the like have been finalized and organized, it is time to manage the final preparation and planning. This preparation and planning before going to the field site to conduct a discussion or interview is crucial to the success of data collection efforts. Part III, Section 8 has a sample of a checklist that can be used before heading out to each data collection exercise.
4. Data Collection and Documentation

Final preparations should include the following:

✓ **Logistics**: arrangements for:
  - Transportation of staff to field site;
  - Private and quiet setting for the group discussion, KII or IDI;
  - Transportation of participants to the data collection site, if needed;
  - Refreshments for participants; and
  - Scheduling of the debriefing session.

✓ **Checklist of materials**: To make sure everything needed for the data collection exercise is in place, both in terms of equipment and the contents of the packet of forms, etc.

✓ **Own appearance**: It is very important to establish rapport and a feeling of trust with participants. Researchers going into the field want participants to know that the researchers coming from the outside will respect them and their feelings. To this end, the initial impression field staff make on the participants—and indeed to the whole village—is critical. Field researchers need to be mindful of this and dress appropriately in attire that is comfortable, and at the same time, culturally appropriate. In particular:
  - Do not have expensive shoes or other accessories;
  - Do not wear expensive jewelry;
  - Cover skin (e.g., knees, shoulders) as appropriate locally; and
  - Do not wear uncomfortable shoes.

✓ **Audio equipment**: Make sure the audio equipment is prepared and tested before going to the field. Ideally, field researchers should test the equipment and have it ready the evening before leaving for the field.

NOW DATA COLLECTION IS READY TO START!!

Implementing in the field

The fieldwork is considered to have begun as soon as the research team enters the village, town, or community where data will be collected. There are two parts to getting started with FGDs, IDIs, and KIIs: organizing the logistics on-site and getting consent from potential participants.

Following are some tips for how to approach potential participants and prepare the discussion site so as to set the appropriate tone for the discussion to follow.

**Approach and setup**

**Approaching the community where the fieldwork will be done**: As a team approaches a community, community members might want to know who these newcomers are, where they are going, and what they are doing in their community. The field team has to be careful to be respectful and greet...
others in a way appropriate to the setting, but give nonparticipants as little information as possible so as to protect participants’ confidentiality.

Choosing the venue in which to conduct the discussion or interview: It is advisable that the research team send a community mobilizer a day or two in advance to choose a venue that is available on the day of the FGD, KII or IDI and that is appropriate for the research. In choosing a venue, the following steps need to be kept in mind:

- The mobilizer should first approach the chief or other leader of the village, introduce him/herself, brief the leader about the study, and request the use of a venue for the duration.
- The venue for an FGD, IDI, or KII should preferably be away from any distraction such as farm animals if in a rural area, or a main road if in an urban area, so that outside noise is kept to a minimum.
- If the venue is indoors, check that windows and doors can be either securely left open or closed. This is because the room should be ventilated comfortably; also, the sound of windows and doors swinging open and shut with the breeze can reduce audio quality.
- If the venue is outdoors, try and find a space as private as possible so as to maintain participant confidentiality.
- If it is culturally appropriate to sit on chairs, ensure that there will be enough chairs (8-10 for an FGD; 1-2 for KIIs or IDIs) for the day of the discussion or interview. If it is, instead, culturally appropriate to sit on the floor, ensure there is a rug or any other floor seating that is appropriate.
- Arrange for refreshments that will be served, if relevant.

Setting up the venue on the day of the discussion or interview: On the day of the discussion or interview, the team of moderators, note-takers and the community mobilizer must arrive well enough in advance of the scheduled discussion or interview to ensure the venue is adequately set up.

- If the venue is indoors, check that windows and doors in the room are either securely open or closed, as is appropriate given privacy requirements but also weather and physical comfort of those inside the venue.
- If the venue is outdoors, and if an FGD is being conducted, arrange seating so that it is as private as possible so as to maintain participant confidentiality.
- Whether indoors or outdoors, if FGD participants are going to sit on chairs, organize the chairs in a circle or semicircle, so that everyone will be able to see and talk with each other.
- Arrange in the center of the circle created for an FGD any materials to be used in and FGD, such as chart paper, mapping tools, writing implements, etc.. This will indicate that these materials are for the use of everyone gathered in the room.
- Set up audio equipment so that it does not shake or fall, preferably on a sturdy table or, if the data collection is being conducted seated on the ground, then in a stable space. Place a few sheets of paper under the equipment so that it is cushioned and is less likely to pick up the sound of vibrations and slight movements. Also try to keep the audio equipment far from a window so that it does not pick up noises from the outside.
4. Data Collection and Documentation

- Verify before the discussion starts that the equipment is working properly—that unwanted features such as pause or voice activation are turned off, and that extra batteries and any other accessories you may need are easily accessible.
- Do a short test to determine if there are echoes in the room and to what distance the microphone will be able to pick up sounds. Seat participants accordingly.
- Be patient while doing all this, even if it takes more time than planned.

Waiting for, greeting, and seating participants to be interviewed:

- Make sure you arrive before those you are to interview.
- Be polite and patient as you wait for your participant(s) and greet them politely.
- Check again with participants if this is a convenient time for them.
- If in a discussion, invite participants to be seated while you wait for others to arrive. However, once you have the requisite number of participants, don’t continue to wait but start. Those who arrived on time don’t need to have their time wasted.

Getting informed consent from potential participants

Moderators and notetakers can either get informed consent at the time that they arrive at a venue or the research team can send a community mobilizer a day or two in advance. This community mobilizer can select the sample to be included in the discussion if an FGD, or make an appointment with the individual to be interviewed if an IDI or KII, as well as take informed consent and choose a venue (see section above). Whichever path is followed, certain processes need to be kept in mind to get truly informed consent (Box 5).

**Box 5: Key processes to follow in getting informed consent**

Make sure before you start that you have some privacy.

- Read the consent form in a relaxed, friendly manner—do not be too official or remote as that may create an atmosphere of anxiety and fear among respondents about what they may be asked to do.
- Stress again that anyone is free to decline to participate. If they consent to participate, they are free to leave a discussion or terminate an interview at any point if they change their minds. Remind them that not participating will have no negative consequence for them or for anyone else who may or may not want to get an ID in the future.
- If conducting group consent before an individual consent for an FGD, allow time for questions in the group setting before taking individuals into a separate space for individual consent.
- If consent is signed, each individual should sign two copies of the consent form. Researchers put one copy into the data packet for the data collection exercise in question, and the other copy should be offered to the individual participant to keep if they so desire.
Setting ground rules

Laying ground rules is the research team’s opportunity to make clear which behaviors are acceptable and which are not during the discussion. Taking the time to establish ground rules at the start of a discussion is very important to ensure as smooth a discussion as possible. It will also make the job of the moderator and notetaker easier. At the same time, it is important to take participants’ views into account to some extent while setting ground rules so that researchers do not inadvertently set up a power relationship between researcher and participant that can be detrimental to honest discussion. Some illustrative ground rules that are often followed in qualitative fieldwork include:

- Turn off your cell phone and ask anyone else with a cell phone to turn it off.
- Reiterate that the purpose of the exercise is to hear the thoughts and opinions of participant(s).
- Emphasize that there are no wrong answers, that participants’ opinions are of interest, and that it is fine that these opinions might differ among different participants.
- In an FGD, ask respondents to speak one at a time: emphasize that everyone will get a turn but, because the notetaker is taking notes and because the FGD is being audio-recorded, it will be important for respondents to try to speak one at a time.
- Remind participants that, by signing the consent form, they have agreed not to discuss anything about the content of the FGD once they leave the focus group site.
  - Instruct participants not to use last/family names during the discussion. This helps to protect confidentiality. Respondents can, however, use first names.
  - Request them not to divulge to anyone outside of the discussion any particulars about names of participants or who said what during the discussion.
  - Remind them that the research team will not disclose anything concerning their participation in the study with anyone other than the research team.
- Ask participants to treat each other with respect. This means that they should not do anything that would cause embarrassment or discomfort to others in the group, such as name-calling, criticizing someone else’s responses, etc.
- Note that participants are welcome to leave the discussion if, for example, they need to use the toilet or attend to a child outside. However, participants should alert the moderator if they need to leave, and they should try to leave only one at a time.
- Establish that the moderator may interrupt the participants if something is unclear, if people start to talk at the same time, or if someone is not respectful of the others or disrupts the discussion process in any way.

Conducting discussions and interviews

Conducting the qualitative data collection should go smoothly if all the preparation and training described in earlier modules of this Toolkit are followed. The quality of the data collected depends on the quality of the moderator’s and notetaker’s work, their interaction, and their management of the audio equipment on the one hand and the participant dynamics on the other hand.
4. Data Collection and Documentation

DRAFT FOR CONSULTATION
FEBRUARY 2020

Post-fieldwork debrief

The post-fieldwork debrief is a critically important part of qualitative research. It involves a session where all notetakers and moderators who are part of the data collection team meet with the Field Coordinator and, if appropriate, the Data Manager, to recap and review the day’s data collection. This debrief serves multiple purposes, including clarifying information gathered in a data collection exercise; identifying missing information or problem areas; and providing constructive feedback to field teams that can be incorporated into the implementation of subsequent data collection (Figure 11). If possible, conducting the debrief on the same day as the discussion, after the notetaker has completed the expanded field notes, works best because it allows the team to add to and refine the recap of participant responses for each topic. A debriefing session typically lasts for 15–30 minutes.

It is critical to have debriefs after every day’s data collection, or every IDI, KII, and/or FGD, whichever is more applicable, for the same reasons as it is critical to expand field notes soon after each discussion: moderators and notetakers are most likely to remember details and least likely to forget critical information the sooner they debrief after a data collection exercise.

Figure 11: Purpose of post-fieldwork debriefing

<table>
<thead>
<tr>
<th>To clarify information</th>
<th>To think about and add in any missing information</th>
<th>To provide the full team a forum in which to discuss and brainstorm</th>
</tr>
</thead>
<tbody>
<tr>
<td>To write any additional information that comes to mind during the debrief, including nonverbal communications</td>
<td>To identify any contextual information that needs to be researched to facilitate data collection, e.g., cultural norms</td>
<td>To provide space for the moderator and notetaker to give each other constructive feedback</td>
</tr>
<tr>
<td>To discuss issues that may have come up</td>
<td>To discuss any participant or external problems that arose during data collection</td>
<td>To allow the field coordinator to give the field team constructive feedback</td>
</tr>
<tr>
<td>To note information that confirms or contradicts that from other data collected in the same study</td>
<td></td>
<td></td>
</tr>
<tr>
<td>To discuss any new or surprising information and implications going forward</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

How to conduct a post-fieldwork debrief session:

- The field supervisor should lead all post-fieldwork debrief sessions;
- Debrief sessions must be attended by all notetakers and moderators, whether or not they conducted the particular discussion that is being debriefed. This is because it is important for all notetakers and moderators to share experiences and learn from all fieldwork.
- The mood for a debrief should be relatively relaxed; still it should not be completely informal but should reflect that this is an important meeting.
- Debriefing must be done with a certain amount of rigor to maximize its usefulness.
• The comments during debriefing should (immediately or soon after the meeting) be typed into a form, such as the debrief section of the Expanded Field Notes and Debrief Form (Part III, Section 8).
• The notetaker must hand in his/her completed Expanded Field Note Form to the field supervisor before or at the debrief for a particular data collection exercise so that she/he can use the same form to enter debrief notes for that particular data collection exercise.

Data organization and management

Types of data collected and how they are used

The data collected by different methods will vary. For FGDs, IDIs, or KIIs, raw data will typically comprise the following:

• Audio recordings (if permission granted);
• Video recordings (if permission granted);
• Copies of these recordings entered into a computer;
• The notetaker’s notes from the discussion (often initially handwritten in field notebooks and/or on special forms);
• The notetaker’s written observations from the discussion;
• Notes from the debriefing session held after the focus group; and
• Transcripts prepared from the recordings and the notes put together.

Direct observation data will typically be in the form of notes, annotations, maps, and visuals where permitted. After the direct observation, the observer will flesh out his/her notes to create a journey that represents the entire ID process observed. This can be used then as text and/or supplemented by a journey map presented as a visual.

After a data collection exercise is done, the data have to be organized, transcribed, and translated. As described above, all handwritten notes will be expanded into one complete narrative that will include notes from daily debriefing, and that will be entered into a computer. The computerized transcripts of the audio recordings and field notes will be translated from local languages into the language being used for the final research report (e.g., often English, French, or Spanish.) Only once a translated transcript is complete is that data collection exercise considered to be finished.

Researchers will typically use these data in all its forms, and at different steps in the process of qualitative data collection:

• The notetaker will use his/her ongoing discussion notes during a focus group discussion to remind moderators of questions they need to go back to, or where they need more complete information, etc.
• Similarly, the interviewer will use his/her ongoing discussion notes as reminders or probes when needed during a KII or IDI to get more in-depth information;
• Expanded and typed field notes will be used by study researchers for initial analysis of broad themes of the FGDs, KIIs, or IDIs during transcription and translation of audio recordings,
to clarify and add contextual details to what participants have said, and during debriefing sessions with other field staff and investigators.

- Typed and translated transcripts are the “cleaned” data that researchers will use for data analysis. After data collection and during the data analysis phase of the research, researchers will code transcripts according to participants’ responses to each question and/or to the most salient themes emerging across the set of focus groups.

The steps in post-data collection organization and management are:

- Submission of a complete data packet
- Transcription of audio recording
- Translation of transcript
- Saving all materials into a centralized data management system

Submitting a complete data packet

The data packet and what it should contain at the end of a qualitative data collection exercise is explained in Part II, Section 4 above. After each data collection exercise, the moderator and notetaker will need to gather together all of the data from that session into a completed data packet. It is important that all of the data from each session is carefully managed and submitted, so that it can be considered during data analysis. An example of a form for a data packet and what it should contain is provided in Part III, Section 8.

The completed data packet should be submitted to the field supervisor or coordinator, who is then responsible for:

- Saving a copy of the Expanded Field Note Form and the audio file in a central data management system using the file naming conventions adopted by the study.
- Reviewing expanded field notes to ensure they are complete and comprehensible.
- Listening to the audio files to gauge the recording quality. If recordings are very hard to hear or contain a lot of echo, the field supervisor will need to alert the research team and discuss ways in which they might be able to improve sound quality for future discussions.
- Ensuring all audio files are in a format that can be played on the operating systems of the project’s available computers.

Creating data transcripts

The “data” from qualitative studies takes the form of text, also known as a “transcript.” Each discussion or interview creates one such transcript. Each transcript, in turn, is a written, verbatim record of the audio recording of a discussion or interview. Thus, transcripts provide unfiltered, objective records of what respondents said in a discussion or interview. Transcripts in local languages typically are then translated into the major language(s) used by the lead researcher. Both transcription and translation
follow specific protocols – just as data entry in a quantitative study is required to do – so that all transcripts and translated transcripts are created using the same process.

**Transcribing audio recordings**

**Creating transcripts**—i.e., a written version of audio files—is an essential step in data analysis. If there is time, the preferred and more rigorous option is to transcribe in the local language, verbatim from the audio recording. Then that transcription is translated into the language in which the data will be analyzed. Using a second, independent translator, select passages should be translated back into the local language to confirm good translation. If time or funds are short, the audio can be directly transcribed into the language in which analysis will be done; however, it should still be verbatim, and the transcriber/translator needs to be trained to recognize and keep in the translated transcripts any idioms or sayings in the local language that would lose something in translation.

Transcription can be an arduous process that requires patience and attention to detail. Box 6 offers some tips on how to organize transcription of audio files.

**Box 6: Tips on transcribing audio files**

- Plan to transcribe audio files during stretches of time when not in the field or completing other deadlines;
- Know that transcribing one hour of discussion can take several hours, and that you may need to rewind and listen several times; also, we speak faster than we write so a few spoken sentences may generate several written paragraphs;
- Build in several breaks in the day because transcription is intensive and requires your full attention;
- Work continuous days on one transcript if possible because participant(s) may go back and forth on themes in a discussion; this nonlinearity is easier to identify if you are immersed in the transcript than if you take a break and come back to it;
- Use the Expanded Field Notes as needed to confirm or clarify information; and
- **REMEMBER:** keep transcription anonymized—no names or ID numbers should be included in the transcript. You can keep in location information as well as basic demographics of participants (e.g., age, sex, marital status).

**Translating transcripts**

Most often at least some of the researchers analyzing the data may not be able to read the local language. Thus, transcripts that have been written down verbatim from the audio recording will have to be translated into whatever language the project’s researchers will use. Field coordinators and project leads can decide whether the same person that transcribes also translates or not. **Whoever translates should be fluent in the local language and the language into which the transcript is to be translated and should translate everything in the transcript, including all nonverbal comments.** Box 7 provides some tips on translating local language transcripts.
4. Data Collection and Documentation

PART II.
GOOD PRACTICES FOR CONDUCTING QUALITATIVE RESEARCH

Following a standardized protocol for transcription and translation

The process of transcription and translation must be standardized to avoid each transcriber consciously or subconsciously making decisions about what elements of the discussion to include or exclude. While each person may have their individual styles when it comes to writing notes, researchers analyzing the data will need to look for certain themes across all transcripts. Thus, it is very important that all transcribers follow a similar set of rules or transcription conventions, and that all transcripts follow the same format. Similarly, each translation of a written transcript should follow the exact same format as that transcription of the audio recordings. Each study will set up its own format, but a standardized transcript and its translation must have the following elements:

- A transcript label that includes the following information: Transcriber’s name, information about the area and type of discussion (FGD? IDI? KII? How many or who were the participants? Age? Etc.), date, start and end times of the discussion.

- Numeric identifiers assigned to the respondent: This is especially important in an FGD so that the researchers reading the transcript know who is saying what. The numeric codes should be the same as those used in the demographic characteristics collected for that FGD. For example: use P1, P2, etc., for participants, M for moderator, and NT for notetaker. DO NOT use ID numbers or other personal identifiers! If it is not possible to identify who is speaking at a particular point in the audio recording because of poor audio at any time, transcribers should try to devise other means to indicate when speakers change.

Box 7: Tips on translating local language transcripts

- Make sure the transcript is totally anonymized—no names or ID numbers should be included. Keep in the transcript any location information as well as basic demographics of participants (e.g., age, sex, marital status).

- Read the entire transcript before starting to translate so as to get a sense of the full discussion and its main topics.

- Word-for-word or literal translation may not always make sense. When translating it is important to keep the meaning behind a participant’s comments in mind, not the literal words used. It is the meaning that must be translated.

- It is important to be open to conferring with other field staff—such as the moderators or notetakers who were at the relevant data collection exercise—to get their input on the best translation of idiomatic or otherwise hard-to-translate comments.

- Keep colloquial terms, slang phrases, proverbs, or local language idioms in the original language and in italics. Then, in brackets, provide a short translation of the phrase. Preserving the local idiom in local language adds to the richness of the transcript.

- As with transcription, translation of a single transcript should be scheduled when the translator can devote a continuous time period of however many days it takes to translate the whole transcript. This is so that the translator can become immersed in the meaning, which will make for a richer translation.

- Translators should sign in and sign out from the centralized management system any transcripts they take to translate so that the field supervisor can keep track of where any transcript is at any given time.
A line break between each person who speaks: This makes the transcript more readable, which is important because transcripts can be very long.

A transcription of everything that is said: Since transcripts are the main source of data, to the extent possible, they should include the entire discussion word-for-word. Do not exclude parts of the discussion, even if they seem irrelevant.

Nonverbal sounds: Nonverbal sounds can help explain the dynamic of a conversation or important disruptions during a discussion. Examples are: any sounds the moderator makes to indicate agreement (“yes,” “uh-huh,” etc.); laughter; silence; and so on.

Indication of when the audio is difficult to distinguish: Sometimes the audio quality is compromised, and it is hard to hear what is being said in parts of a discussion. Mark such bits of the discussion with the term “ind.” (for “indistinguishable”) in brackets and the time on the recording that this comment occurred, like this: [ind. TIME or any other comment]. Also mark a reason if one is evident, for example if a loud car drove by.

Common file naming convention: Consistency in naming files is critical to keep track of transcripts, especially in a large study with many transcripts and multiple types of data collection (that is, FGDs, IDIs, and KIIs).

Monitoring by the field supervisor: The field supervisor should ideally be able to read and understand the local language. This will allow them to monitor the quality and accuracy of transcripts (Figure 12). When monitoring translations, the supervisor should also pay attention to the accuracy of translations or explanations of slang or idiomatic phrases.

Storing and maintaining confidentiality of data collected

The data described above needs to be stored in an organized manner that also maintains strict confidentiality of respondents. This includes maintaining confidentiality in:

- Audio files
- Field notes
- Expanded field notes
- Debrief notes

Figure 12: Monitoring quality and accuracy of transcription

Spot-check random parts of the transcript against its audio segment

Note deviations from transcription conventions for transcribers to rectify

Monitor audio quality and convey concerns to the project lead if there is frequent, large amounts of poor audio quality

Manage consistency in format and quality, and any changes in conventions, across transcripts
4. Data Collection and Documentation

- Transcripts
- Translated transcripts

Before starting a study, the project leads MUST establish a centralized data system into which all data will be stored after it is entered into a computer. The following actions and decisions are critical to establishing an organized and secure data storage system:

- All stored data should be “de-identified” (i.e., without personal information) so that if someone gained unauthorized access (or even for authorized people), they would not be able to identify any of the participants or connect responses to a real-world individual.
- A sign-in and sign-out protocol should be developed, and responsibility for maintaining it assigned, so that at any point in time it is possible to keep track of any piece of data and who may be using it.
- The project leads need to decide the following:
  - Who has access to which piece of data to facilitate analysis while maintaining confidentiality of respondents?
  - What is done to written records after data are digitalized; are these records destroyed? By whom and at what point in the study? If stored for a while, where, how, and under whose supervision?
  - Who should maintain control of the data in the long run?
  - Will the de-identified data be made public?
Analysis of qualitative data, when conducted properly, is as systematic, organized, and rigorous as the planning, preparation, and management of data. There are several steps to analyzing qualitative data:

- Coding qualitative data
- Finalizing main themes of the ‘story’ to be told about people’s attitudes, experiences, barriers, and expectations related to ID
- Presenting results visually and as a narrative

It is critical to understand, however, what qualitative data can and cannot tell us about ID systems and credentials and how people use them (Figure 13).

Figure 13: What qualitative data can and cannot tell us about ID

<table>
<thead>
<tr>
<th>What qualitative data CAN tell us</th>
<th>What qualitative data cannot tell us</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nuanced information on motivations and reasons for people’s choices about ID</td>
<td>The prevalence of the population that has an ID</td>
</tr>
<tr>
<td>Answers to questions of Why? How? Under what circumstances? would people be willing to register for an ID</td>
<td>Trends in ID awareness or registration over time</td>
</tr>
<tr>
<td>Rich contextual analysis</td>
<td>Findings about IDs that are generalizable to a larger population</td>
</tr>
<tr>
<td>People’s own perspectives of how IDs relate to their lives, in their words</td>
<td>Key determinants of awareness or registration for IDs across a large population</td>
</tr>
<tr>
<td>People’s perceptions and experiences of marginalization and how they relate to their ID experience</td>
<td>The ability to track use of IDs in accessing related services</td>
</tr>
<tr>
<td>The journey to get an ID</td>
<td></td>
</tr>
<tr>
<td>Potential solutions to barriers to IDs</td>
<td></td>
</tr>
</tbody>
</table>
Coding qualitative data

Creating a qualitative coding scheme is akin to creating variable names in quantitative research. The codes assign text—be it words, phrases, sentences or paragraphs—to particular themes of interest to the researchers. Moreover, each segment of text can be assigned more than one code. This coding—which can be envisioned as “tagging” certain words, phrases, etc.—can itself be considered similar to defining the values of different variables for different observations.

Depending on the amount of data collected and the aims and questions of the study for which data were collected, it can be coded manually or using software. Manual coding is simplest but also least versatile. In manual coding, researchers read transcripts and manually extract meaning and themes from the transcripts. However, this is unlikely to be sufficiently rigorous for all but the smallest studies. Thus, even though coding with software is time-consuming and adds to the budget, it is the only way to rigorously analyze qualitative data.

There are four core steps to coding qualitative data and analyzing coded transcripts:
1. Creating a codebook
2. Coding transcripts
3. Establishing inter-coder reliability of coding
4. Extracting coded text

Creating a codebook and coding transcripts

In its simplest form, a codebook is a reorganization of a research guide used for an FGD, IDI, KII, or process observation that translates textual questions into “variables.” Just as variables in quantitative data can have multiple response categories per variable, codes in qualitative data can have multiple subcodes attached to one “main” or “nodal” code. Box 8 provides an example of creating and using codes from a question asked in a study to examine gender differentials in registration for IDs in Nigeria; the KII in question sought to get views from community leaders about gender differentials in registration.

Box 8: Example of coding qualitative data—ID study in Nigeria

An ongoing study to examine gender differentials in registration for IDs included this question in a KII guide for interviews with community leaders:

**Why do you think no/few women have registered for the ID in this community?**

The table below illustrates one way in which codes can be created to capture the entire range of possible information that can be elicited from participants for this question.
Theme and subthemes | Main code | Subcode 1 | Subcode 2
---|---|---|---
Why no or few women have registered for the ID? | NoFemID | | |
• No time | | NoTime | WorkMkt
  • Works in the market | | | CareKids
  • Takes care of children | | | |
• Awareness | | NoAware | |
• No permission from husband | | NoPermission | |
• Center too far | | CenterFar | |

**Theme and subthemes:** This column converts the open-ended question typical of a KII guide into a series of “nodes” that can be coded. While this looks like a question in a quantitative survey, the difference is that the nodes are derived from the data itself, by reading the field notes and expanded field notes. In other words, nodes in qualitative data are inductive, not predetermined. Also, one piece of “data” or text can be coded with multiple codes, introducing added flexibility into analysis.

**Main code:** This column contains a short code or “variable name” for the main question, in this case why few women in the community have registered for the ID.

**Subcodes 1 and 2:** These columns contain codes for the next two levels of “node” related to the reasons given.

The transcript recorded the question and response as follows:

**INTERVIEWER 1:** Thank you Sir, from you point of view why do you think the women have not turned out for registration as the men has?

**RESPONDENT:** They are very busy, if they work in the market. It can also be that the awareness is not enough, if the awareness is effective they will leave whatsoever they are doing to register.

• The respondent’s answer can be coded in multiple ways, as follows:
  • they are very busy can be assigned the codes NoFemID and NoTime
  • they work in the market can be assigned the codes NoFemID, NoTime and WorkMkt
  it can also be that the awareness is not enough, if the awareness is effective they will leave whatsoever they are doing to register can be assigned the codes NoFemID and NoAware

**Establishing inter-coder reliability**

Different coders may understand and code the same transcript in different ways because both the transcript and the code are words, and words can have multiple meanings. The extent of “inter-coder reliability”—i.e., the reproducibility of coded data, or the extent to which different coders using the same codebook could code the transcript in the same way—is important in establishing

---

the objectiveness of coding. There is no universal level of agreement that is considered the gold standard but typically researchers try to reach 90 percent agreement between coders.

Inter-coder reliability has to be calculated for each code used in the analysis. The simplest way to calculate reliability for a code is to divide the number of text units that two coders code similarly with a code, over the total number of text units coded with that code. That is: divide the agreement by the sum of the agreement and disagreement.¹ Doing so manually can be a very time-consuming process, however, and thus most qualitative software provides commands for calculation of inter-coder reliability. It is recommended that coders discuss any differences in coding that imply different understanding of the meaning of codes, and recode one or two transcripts, until such time as they achieve an inter-coder reliability of 90 percent. Only then should coders proceed to code all the transcripts for an entire study.

Extracting coded data

Once transcripts are coded, software can be used to extract selective portions of text that have been coded with a particular code or combination of codes. Each type of qualitative software performs both the coding and extraction function. Using the example in Box 8 for illustration, let us assume that the researcher wanted to see what were the time-related constraints that respondents suggested were responsible for women not registering. They would extract data with the codes “NoFemID” and “NoTime.” The text segments thus extracted would include “they are very busy” and “they work in the market”.

Coding and analysis to highlight experiences of specific subgroups

An important aspect of qualitative research is to use the data to identify differences in people’s perceptions, experiences, behavior, and preferences based on a range of factors such as sex, minority group status, poverty, age, or other demographic characteristics or group identities. It is therefore critical to identify contextually relevant subgroups and create independent additional codes, one for each group characteristic of interest. Differential experiences—e.g., marginalization or gender discrimination—can then be elicited through the data collection process in several ways:

- The entire data collection exercise is conducted with person(s) of only one particular characteristic, such as gender (e.g., only men or only women) or from one type of marginalized group (e.g., IDPs)—for this case, the name of the relevant transcript file should indicate whether the group or individual focused only on that minority characteristic (see Table 14).
- In a group discussion, some individuals are from the group of interest, for instance, a marginalized community (e.g., some people with disabilities as part of a group of village women).
- The participant(s) are not themselves part of the group(s) of interest or have the characteristics in question, but they talk about the experience of that group (e.g., men talking about women’s rights).

¹ Miles and Huberman, 1984.
Table 14 provides some examples on how to code so as to elicit experiences of discrimination or discrimination from all three types of situations above. This table focuses on coding to highlight gender differentials and marginalization, but the basic logic applies to any coding that intends to highlight a particular subgroup.

**Table 14: Coding to highlight gender differentials and marginalization in IDs: an example**

Marginalized groups and possible codes: women (W), child brides (ChildBride), adolescents (Adol); IDPs (idp), refugees (refugee); pastoralists (pastoralist); low-caste individuals (loCaste)

<table>
<thead>
<tr>
<th>Occurrence in transcripts across different locations, in one study on access to IDs</th>
<th>How to code</th>
</tr>
</thead>
<tbody>
<tr>
<td>#1. An FGD where the discussion group comprises child brides among a refugee population talking about their own access</td>
<td>Make sure the NAME of the transcript clearly states that this was an FGC conducted with that group. Thus, the relevant words (“women”, “child bride”, “adol”, “refugee” etc.) should be part of the file name</td>
</tr>
<tr>
<td>#2. A KII with a village leader where he talks about the experience in his village of men and women, and individuals of different caste groups.</td>
<td>• Any text about women: code with W • Any text about low-caste: code with loCaste • Any text about low-caste women: code with W and loCaste</td>
</tr>
<tr>
<td>#3. An FGD where the group comprises a mixed group of men and women, among them some are unmarried adolescent girls, others are child brides; there are also two young women who are recent refugees. They are talking about access to IDs among a range of individuals in their state, including (but not limited to) women and marginalized communities.</td>
<td>Regardless of who makes the comment, code as follows: • Any comments about women: code with W • Any comments about unmarried adolescents: code with W and Adol • Any comments about child brides: code with W, Adol, and ChildBride • Any comments about refugees: code with refugee • Any comments about refugee child brides: code with refugee and ChildBride • and so on . . .</td>
</tr>
</tbody>
</table>

**Examples of using these codes in an analysis:**

If you want to look at experiences of refugee child brides in relation to access to IDs:

- Use software to extract all text that has been assigned the codes refugee and ChildBride
- Resulting text will include any comments about refugee child brides from transcripts #1 and #3
- Researchers will get all the information about this group’s access to IDs as well as quotes from the extracted text
- Pull out transcripts of interviews or discussions conducted specifically with refugee child brides and skim transcripts to look for any additional comments or nuances (such as interviewer notes about body language or permissions) that would add to the analysis.
Presenting qualitative analysis

Qualitative analysis can be presented in multiple visual, graphic, and narrative ways, which is another aspect of its richness. Typically, a report with qualitative analysis on ID would use a combination of visual and narrative methods for the full story, although the structure of the final product depends on its purpose. Researchers need to map out their different audiences and design their final product accordingly, using the vast range of output types that qualitative data analysis offers. For instance:

- A research paper is likely to be most effective if structured as a narrative, with quotes used as supporting data and judicious use of visuals like photographs and infographics.
- A report for policy makers is likely to be most effective with visuals such as profiles or journeys to make findings seem more “real.”
- People developing or managing ID programs would benefit from a shorter combination of narrative, summary graphics, and a few profiles.
- Presentations or other products designed to take back to communities are likely to be most effective with emphasis on visuals.

Narrative reports

A narrative qualitative research report should be structured the same way as any report would, with sections on backgrounds, study aims, methods, samples, and results. What is unique about a qualitative narrative report is the extensive use of participant quotes to support the themes and analyses described in the report. However, it is important to use quotes selectively and appropriately for them to be effective (Figure 14). A qualitative report must use language that describes participants’ experiences without making it sound like these are generalizable or representative outside the study, since qualitative samples are typically not generalizable, random samples. Thus, qualitative researchers need to be extremely careful when drawing any policy, programmatic, or research implications from qualitative data analysis. Finally, all narrative reporting needs to ensure confidentiality, which includes using only pseudonyms or other anonymized descriptives, and only using pictures for which informed consent was received. Additionally, narrative reports should include graphics and illustrations that visualize themes.
Figure 14: What quotes should and should not be used for visualizing themes

Quotes should be used to:
- Provide rich contextual nuance to narrative analyses
- Support analyses and themes
- Emphasize key points with particularly arresting words
- Insert participant voices into research
- Provide an opportunity for policymakers to hear directly from individuals and communities
- Highlight experiences of minority or marginalized groups, or gender inequality

Quotes should NOT be used to:
- Make conclusive, generalized statements
- List without accompanying thematic analysis
- Identify particular individuals or communities
- Ridicule or otherwise minimize particular opinions or experiences
- Take the place of or be used instead of narrative analysis

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Visualizing themes

Profile. An effective way to describe different experiences with IDs is to create a profile of a “real” person and their experience. It can be derived from FGDs, IDIs, or KIIIs. A profile may be an actual participant whose information has been anonymized for the profile, or an individual from a persona exercise of the kind explained earlier in this Toolkit. Figure 15 is an example of a profile created in a study conducted by GSMA on using mobile providers to address the gender gap in identity (GSMA 2017).

Figure 15: Example of an ID profile in Côte D’Ivoire
**Journey map.** Often researchers need to learn about the entire journey that individuals take in order to get an ID card. Qualitative research can capture such a journey, and the resulting data can be visualized as a journey map.

**Word clouds.** Qualitative software can also be used to create graphics and ‘word clouds’ that display the dominance of selected themes and words. On WB study in an East Asian country used a word cloud to represent the populations they studied as part of their qualitative research on people’s experience with IDs.

**Figure 16: Example of a word cloud: qualitative sample in Indonesia ID study.**

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*Source: A qualitative study on ID done by the World Bank in an East Asian country*
CONCLUSION

The methods, tools, and suggestions in this Guide Toolkit are derived from a large literature and body of experience in conducting qualitative research for a range of outcomes across the global South. It is hoped that programmers, policy makers, and researchers can adapt and use this information to enhance understanding of end-user perspectives, attitudes, experiences, barriers, and suggestions to address barriers in ID programs. This Guide Toolkit should be considered a living document, to be modified and added to as methodology develops and as ID programs increasingly recognize the invaluable benefits of listening to and incorporating end-user voices in developing IDs for all.
PART III.
SAMPLE TOOLS AND FORMS

This section includes examples of the forms, tools, and questionnaires discussed in Parts I and II. This includes materials adapted for or developed as part of World Bank and partner qualitative studies on ID, as well as some more general resources. It is followed by a list of key references.

Read this section when you want examples of materials used in ID-related studies, including:

- Terms of reference for a qualitative research study
- Training agendas and exercises
- Consent forms
- Discussion and interview guides and sample questions for FGDs, KIIIs, and IDIs
- Participatory tools and activities
- Forms for organizing and managing data and logistics

DISCLAIMER: The following materials are provided for illustrative purposes only and are not intended to be used as blueprints. The precise design of a study and its materials—including methods used, sample size and sampling strategy, timeline, forms, discussion guides, consent language, training materials, procedures, terms of reference, etc.—must be adapted to the study objectives and local context.
1. EXAMPLE TERMS OF REFERENCE (TOR) FOR A STUDY ON ID

The following TOR was used for an upcoming qualitative study on ID in an African client country of the World Bank. It had been modified slightly to remove country specifics.

Background

The ability to prove one’s identity is often a requirement for accessing social and economic inclusion services and exercising rights, such as opening a bank account, registering a SIM card, voting, or traveling across international borders. The introduction of civil registration and ID systems that are robust, inclusive and responsible is therefore critical for accelerating inclusive development. Digital ID systems – which facilitate the authentication of identity and the provision of electronic signatures in person and over the internet – are also a powerful driver of digital government and the digital economy and service delivery by enabling transactions to move from face-to-face to online platforms. It is for these reasons that the Government, jointly with development partners, is committed to advancing progress toward achievement of “legal identity for all, including birth registration” by 2030 through Sustainable Development Goal (SDG) target 16.9. The World Bank Group supports this SDG through its cross-sectoral initiative on Identification for Development (ID4D) launched in 2014.

With the emergence of the digital economy and service delivery, traditional paper-based civil registration and national ID systems are increasingly giving way to interoperable digital identity systems with electronic signature and other trust service capabilities. A growing number of developing countries are now seeking to rollout new or upgrade existing digital ID and civil registration systems to capitalize on the promise of digital economy. This can enable improved service delivery especially to the poor and vulnerable who often face constraints in accessing services due to lack of proper identification.

Robust digital identification systems are also associated with advancing a range of rights and other development outcomes, including by supporting comprehensive social safety nets, primary health and education services, streamlining public administration, fostering financial inclusion, and empowering women and girls. However, no African country currently has a true digital identity system that enables its people to securely and seamlessly transact online – let alone across borders. Most African countries, including Country, currently rely on the national ID card to verify the identities of their people.

As Country embarks on a journey to introduce next generation digital ID and digital birth registration, it is important to understand peoples’ perspectives on: critical services which require an ID and/or birth certificate, obstacles faced in obtaining these documents or using them to access services, the privacy of their personal data when used to access services, and the most desired form of birth certificates by various layers of the population. These perspectives will inform the government’s efforts to create a robust identity ecosystem aimed at improving the lives of its people and enhancing human capital outcomes.
Current state of ID ecosystem in Country

Country has one of the strongest national ID systems in Africa, including a national population registry that covers roughly 99% of the population. The national ID card (NID) and number (NIN) generated during birth registration are required for accessing most services, including healthcare, higher education, taxation, pensions, social protection, financial services, and SIM registration. The NID is accepted as a valid travel document by neighboring countries, and vice versa. The NID agency also issues ID cards to registered refugees and legal residents.

The Government is determined to capitalize on past and current efforts and to develop a next generation digital ID and birth certificates, and the country is also in the process of linking the foundational national ID system with continuous birth and death registration to further strengthen the accuracy and efficiency of its ID system.

Objective of this Assignment

This assignment is for a firm with key personnel based in Country who can be quickly mobilized to carry out a qualitative research study to understand experiences, attitudes, and behavior of people towards the use of the current national ID cards and birth certificates. In addition, the study will seek to understand the current and expected obstacles in obtaining identity documents and their ability to use them to access government services.

The results of this qualitative research will help government decision makers to:

- Understand the incentives and potential barriers for the user in leveraging the national ID and birth certificates, especially in the context of accessing services, in order to address missing links to service delivery, such as:
  - Digitalizing payments in a variety of government programs
  - Ensuring poor households have easy access to the national IDs and birth certificates to receive a variety of social benefits.
  - Supporting health, education, and agricultural programs
- Inform the roll out of the digital birth registration and associated public awareness campaign that will be required to increase uptake and ensure clarity on how to use the digital birth certificates.
- Understand privacy and potential cultural concerns and implications on users, and how these can be addressed or incorporated into policy and program design.
- Understand any gender-based barriers to accessing IDs or birth certificates and understand men and women's potentially different perceptions of how to use IDs/birth certificates to access services, and which services are a priority.
- Understand the user journeys and perceptions of the general population as well as marginalized and vulnerable groups (e.g. rural poor, women and girls, persons with disabilities, orphans and vulnerable children, the elderly, government program beneficiaries, displaced persons and refugees, historically marginalized populations, etc.)
Scope of Work

The research should be national in nature. The methodology should adequately address all of the different circumstances and target groups in Country. The research should make use of the research guide by the National Statistics Agency and ID4D’s end-user research guide (upon approval by the supervision group) and employ a combination of qualitative research methods, such as Focus Groups Discussions (FGDs), Key Informant Interviews (KIIs) (with Government, experts, community leaders, etc.), personas, journey maps, etc.

The sampled population should represent men and women of different age groups and data will be gathered in a way that allows for it to be disaggregated by gender and age. It should include a variety of important social groups, such as: rural poor, women and girls, persons with disabilities, orphans and vulnerable children (derived from their caregivers), the elderly, government program beneficiaries, displaced persons and refugees, historically marginalized populations, etc. Civil society, and community leaders should be engaged via KIIs.

The research should be undertaken in all provinces and include a total of at least 500 respondents nationwide. Specific activities will include:

- Fine-tuning the research instruments to fit the local context. The templates will be provided upon approval by the supervision group before the start of this end user research assignment.
- Closely coordinating with the supervision group (comprised of representatives of the World Bank, the National ID Agency, and Ministry of Technology) on locations to be included and outreach to local authorities for clearance, as needed.
- Launching parallel research teams across the country to ensure quick data collection, inclusive of the target groups.
- Transcribing the data collected and coding the transcripts in NVivo, Dedoose, or similar software
- Analyzing the data and presenting findings to the supervision group and other stakeholders in a workshop setting organised by the Ministry of Technology and National ID Agency.
- Preparing written deliverables (as described below) and addressing feedback from the supervision group.

The research will cover the following topics:

1. **Access to and use of the current national ID and birth certificates:** Views on the existing processes for accessing the national ID and birth certificates (e.g. user journeys of the target groups); views on the use of the national ID card and birth certificates to access public and private sector services, including obstacles currently experienced; and preferences for the evolution of the ID and birth registration system.

2. **Differences in perceptions and use of IDs and birth certificates between men and women of different age groups and differences between social groups.**

3. **Next generation digital birth registration:** Present scenarios of the potential next generation digital birth registration and digital birth certificates to solicit feedback on preferences regarding the birth certificate as well as potential barriers, challenges, and enabling opportunities from a local perspective;
4. **Motivation and/or incentives**: Views on what would encourage individuals to enroll in the current online authentication ID solutions, including priority services which are critical to end users of ID. These insights will be used to inform the roll out and awareness campaign;

5. **Privacy concerns and preferences about the use of personal data**: Views and preferences on how personal data is maintained or used by public and private sector entities, particularly for accessing services which require the national ID or a birth certificate.

Analysis is expected to delve into the perspectives of the targeted marginalized and vulnerable groups, as well as present any gender differences as they relate to barriers to access, key services to motivate uptake of the ID, and messaging for awareness raising.

**Deliverables**

The deliverables of this assignment are:

1. **Inception report**: Detailing the firm’s research design, methodology, sampling strategy, and timeframe.

2. **Research instruments adjusted to local context**: Discussion guides, expert interview lists, etc. adjusted to local context. Drafts of discussion guides will be provided by the supervision team. Upon finalizing of the instruments, approval shall be sought from the supervision team before field research can start.

3. **Field briefings of the ongoing research to be submitted during data collection**: The supervision team should receive daily or near-daily copies of field reports during data collection; the format for the report will be agreed and documented in the Inception report.

4. **Annotated outline of the report**, to be approved by the supervision team.

5. **Draft final report to be presented to the supervision team and other stakeholders** in a workshop setting, which will be organised by National ID Agency and Ministry of Technology.

6. **Final report and PowerPoint presentation**: Detailing an overview of the methodology (including any weaknesses or gaps), findings, visualized user journeys, recommendations and identification of issues/topics requiring further research (report should be 50 pages maximum; presentation 50 slides maximum). Each photo planned to be used in the final report will need to be cleared by the supervision group.

7. **Special attention will need to be paid to preserving the privacy and confidentiality of participants.** At conclusion of the study, **all data collected should be anonymized** before turning it over to the Government (represented by the National ID Agency and Ministry of Technology), in a format that does not allow for tracing answers to individuals.

**Staffing Requirements**

Interested firms are expected to propose the following key personnel (but not limited to):

- **Project manager/Engagement lead** with prior experience in managing similar qualitative research in the country.
- **Research Coordinator**, with prior experience of managing complex qualitative studies, analyzing findings and presenting insights in an easy to digest manner. Research Coordinator is expected to be based in *Country* for the duration of assignment.

- **Field Research Manager** with a track record of undertaking and managing field-based research and proven understanding of local context. This person is expected to be based in *Country*.

- **Field research team** (moderators/interviewers/note takers); all members of the field research team should be based in *Country* and be able to speak and take notes in local languages as needed.

### Indicative Timeline

The study is expected to run from September through December 2019. An indicative timeline is provided below. Firms’ proposals should address potential issues with the proposed timeline, target groups, methodology, etc.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Duration of sub-task</th>
<th>Expected timeline</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract signature</td>
<td></td>
<td>The week of October 21, 2019</td>
</tr>
<tr>
<td>Submission of inception report including methodology,</td>
<td>2 weeks</td>
<td>November 8, 2019</td>
</tr>
<tr>
<td>sampling strategy, draft tools, etc.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Training of enumerators/field staff</td>
<td>1 week</td>
<td>The week of November 11, 2019</td>
</tr>
<tr>
<td>Piloting</td>
<td>1 week</td>
<td>The week of November 18, 2019</td>
</tr>
<tr>
<td>Data collection</td>
<td>3-4 weeks</td>
<td>November 18-December 20, 2019</td>
</tr>
<tr>
<td>Transcription and coding</td>
<td>1-2 weeks</td>
<td>Mid December-Mid January, 2019</td>
</tr>
<tr>
<td>Annotated outline and initial findings presented to</td>
<td>1 week</td>
<td>Middle of January 2020</td>
</tr>
<tr>
<td>working group</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Draft report</td>
<td>2 weeks</td>
<td>End of January 2020</td>
</tr>
<tr>
<td>Final report and presentation</td>
<td>1 week</td>
<td>Late February 2020</td>
</tr>
</tbody>
</table>
2. TRAINING EXERCISES AGENDA

Example training agenda

This was the training agenda used by the World Bank and local partners in the training of moderators and enumerators for a qualitative Gender “Deep Dive” study in Nigeria for the ID4D Initiative, May 2019, which included FGDs and KIIs.

DAY 1: Background and Introduction to Key Themes: ID and Gender

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC/ACTIVITY</th>
<th>LED BY</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:30 – 9:00</td>
<td>• Introductions (add a small ice breaking activity)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Participants’ training objectives and expectations</td>
<td></td>
</tr>
<tr>
<td>9:00 – 10:00</td>
<td>• Brief overview of training, fieldwork plan and logistics</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Ground rules</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Sharing experiences of qualitative research</td>
<td></td>
</tr>
<tr>
<td>10:00 – 10:15</td>
<td>TEA BREAK</td>
<td></td>
</tr>
<tr>
<td>10:15 – 11:00</td>
<td>Understanding the NIMC and registration process journey so far</td>
<td></td>
</tr>
<tr>
<td>11:00 – 11:15</td>
<td>Overview of World Bank’s Nigeria Gender Deep Dive Study and instruments</td>
<td></td>
</tr>
<tr>
<td>11:15 – 1:00</td>
<td>• Understanding “Gender”: what is ‘gender’? How is it different from biological sex (interactive exercises + slides)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Case studies—what women do; what men do (small group work plus discussion)</td>
<td></td>
</tr>
<tr>
<td>1:00 – 2:00</td>
<td>LUNCH BREAK</td>
<td></td>
</tr>
<tr>
<td>2:00 – 2:45</td>
<td>• Gender and other vulnerable groups—intersecting of identities</td>
<td></td>
</tr>
<tr>
<td>2:45 – 3:45</td>
<td>• Overview of qualitative research</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Elements of qualitative research interviews</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Different qualitative interviewing skills</td>
<td></td>
</tr>
<tr>
<td>3:45 – 4:00</td>
<td>TEA BREAK</td>
<td></td>
</tr>
<tr>
<td>4:00 – 5:00</td>
<td>• Practical, role play, feedback sessions to help improve interviewing techniques</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Discussion of recruitment, ethical issues, and challenging circumstances including sensitive subjects and hard-to-reach groups</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Community entry</td>
<td></td>
</tr>
<tr>
<td>5:00 – 5:15</td>
<td>End-of-day check-in and announcements for Day 2</td>
<td></td>
</tr>
</tbody>
</table>
## DAY 2: Qualitative Research and Study Research Guides

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC/ACTIVITY</th>
<th>LED BY</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:30 – 9:00</td>
<td>Recap of day 1 and agenda for day 2—any issues?</td>
<td></td>
</tr>
</tbody>
</table>
| 9:00 – 10:00| • Discussion: FGD guide—starting the discussion  
|            | • Turning key research areas into practical questions in the field  
|            | • Introducing yourself, getting informed consent, and setting ground rules  
|            | • Ice breaker and demographic information                                      |        |
| 10:00 – 10:45| • Discussion: FGD guide—Awareness and Attitudes  
|            | • Detailed question-by-question discussion                                      |        |
| 10:45 – 11:00| TEA BREAK                                                                     |        |
| 11:00 – 11:30| • Listening skills  
|            | • Practicing listening skills  
|            | • Basic notetaking tips  
|            | • Managing different types of participants                                     |        |
| 11:30 – 1:00| • Discussion: FGD guide—Experiences  
|            | • Explaining structure of this session: Exercise B  
|            | • Detailed discussion of contents/questions of exercise  
|            | • Detailed discussion of questions on solutions  
|            | • Language group  
|            | • Moderating dynamics  
|            | • Practical exercise: divide into two groups. In each group, 1 moderator, 1 notetaker, the rest are participants—mock discussions using Exercise B |        |
| 1:00 – 2:00| LUNCH BREAK                                                                   |        |
| 2:00 – 3:00| • Big group discussion: thoughts, reactions, discussion on implementing Exercise B, and differences between men’s guide and women’s guide |        |
| 3:00 – 3:45| • FGD activities  
|            | • Fieldwork road plan (including daily debrief and analysis plan)              |        |
| 3:45 – 4:45| • Pilot day planning and objectives + roles and responsibilities  
|            | • Practical sessions: Moderating and Notetaking  
|            | • How to mobilize and follow up participants                                    |        |
| 4:45 – 5:00| TEA BREAK                                                                     |        |
| 5:00 – 5:15| End-of-day check-in and announcements for Day 3                                 |        |
## DAY 3: Implementing Fieldwork and Pilot Exercise #1

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC/ACTIVITY</th>
<th>LED BY</th>
</tr>
</thead>
<tbody>
<tr>
<td>10:00 – 5:00</td>
<td>PILOT EXERCISE</td>
<td></td>
</tr>
<tr>
<td>5:30 – Light outs</td>
<td>Debrief Notes with partners</td>
<td></td>
</tr>
</tbody>
</table>

## DAY 4: Pilot Exercise #2 and Debrief

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC/ACTIVITY</th>
<th>LED BY</th>
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</table>
| 8:30 – 9:30 | • Debrief Activity  
• Reflection on the pilot exercises  
• What went well?  
• What were the key challenges? How do we address these in the field? |        |
| 9:30 – 10:30 | • Implications for the FGD guide  
• Areas requiring revision: content vs. language  
• Areas requiring more practice |        |
| 10:30 – 10:45 | TEA BREAK                     |        |
| 10:45 – 1:00 | • Writing debrief and conducting a debrief session  
• Writing detailed field notes to facilitate translating data into answers for research questions  
• Transcribing from audio to transcripts  
• Naming conventions  
• Other data management protocols |        |
| 1:00 – 2:00 | LUNCH BREAK                   |        |
| 2:00 – 5:10 | Practice with fieldwork forms: interactive session                         |        |
| 5:00 – 5:15 | End-of-day check-in and announcements for Day 5                            |        |
# DAY 5 (half day): KII instruments and closing

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC/ACTIVITY</th>
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<tbody>
<tr>
<td>8:30 – 9:30</td>
<td>• FGD Guides: Final Implications</td>
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<tr>
<td>9:30 – 10:00</td>
<td>• KII guides</td>
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<td></td>
<td>• Rationale for KII</td>
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<td></td>
<td>• Choosing key informants: state and local levels</td>
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<td>• Courtesy visit vs. KII</td>
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<td>• Discussion of questions in the KIIs</td>
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<td>10:00 – 11:00</td>
<td>Mock KII practice sessions: divide into groups</td>
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<tr>
<td>11:00 – 11:15</td>
<td>TEA BREAK</td>
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<td>11:15 – 12:15</td>
<td>Discuss experiences of mock KII:</td>
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<td></td>
<td>• Areas requiring revision: content vs. language</td>
<td></td>
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<tr>
<td></td>
<td>• Difficulties, concerns, thoughts regarding finding and consenting key informants</td>
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<tr>
<td></td>
<td>• Data management protocols: transcribing, notes, debrief, etc.</td>
<td></td>
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<tr>
<td>12:15 – 1:00</td>
<td>• Final remarks on field research program and logistics</td>
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<td></td>
<td>• Evaluation of the training and closing</td>
<td></td>
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<tr>
<td>1:00 – 2:00</td>
<td>LUNCH</td>
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Illustrative gender and vulnerability training exercises

These exercises were used by the World Bank and local partners in the training of moderators and enumerators for a qualitative Gender “Deep Dive” study in Nigeria for the ID4D Initiative, May 2019, which included FGDs and KII. (Adapted from: Pakistan Commission on the Status of Women Sensitization Module for enumerators of a study to understand women’s social and economic well-being in Pakistan; CARE Gender Equity and Diversity Training, Module 4.)

**Exercise 1: Understanding “gender”—what is ‘gender’? How is it different from biological sex—30–45 minutes**

**Goal:** to clearly set the basis for subsequent discussion on gender inequality by creating a common understanding of the role of culture, household, and other institutions in gender norms.

**Materials:** note cards with statements already written on them

**Slide 1:**
- Oxford dictionary definition of ‘sex’: Either of the two main categories (male and female) into which humans and most other living things are divided on the basis of their reproductive functions.
- Oxford dictionary definition of ‘gender’: Either of the two sexes (male and female), especially when considered with reference to social and cultural differences rather than biological ones.

**Slide 2:** (Facilitator to ask: So, would you all agree that we can say the following are true?)

<table>
<thead>
<tr>
<th>SEX</th>
<th>GENDER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biologically determined at birth</td>
<td>Constructed by society</td>
</tr>
<tr>
<td>Universal for all human beings</td>
<td>Varies by culture, religion, region, country, etc., and by a person’s age and stage in life</td>
</tr>
</tbody>
</table>

(Have a brief discussion on this to ensure that everyone agrees)

**Activity 1: Roles determined by sex vs. gender**

1. We will write 5–8 statements, one each on one card.
2. We’ll distribute the cards to a random few participants and ask them to read them aloud.
3. After each one, we’ll ask the group which statement denotes characteristics or behavior that is determined by biological sex and which is determined by socially constructed gender roles and understanding. We will request participants to explain their answers.
4. We move on to the next statement.
The statements (to be modified for each specific context) could be things like:

- Women give birth to babies, men don’t.
- Care of babies is the responsibility of women.
- Men have moustaches.
- Women cannot carry heavy loads.
- Women are scared of working outside their homes at night.
- Men’s voices break at puberty, women’s don’t.
- Women are emotional and men are rational.
- Most scientists are men.
- Cooking comes naturally to women, but not to men.

The session will close with a recap by the facilitator (using 1–2 slides) that these statements were meant to generate a discussion around how society promotes viewpoints of men and women, which result in gender biases. The facilitator will explain why understanding the difference between sex and gender is critical for our work: it helps us understand that the underlying causes of inequality between men and women typically arise not from their biological characteristics, but from socially constructed attributes of men and women. These social constructions can vary from village to village, while others can be common to whole regions or countries.

To the extent that many of the factors that make IDs less accessible or of less use to women in a country or sub-national context are socially constructed, there are solutions that communities may themselves have, which respect their traditions and yet can work around the harmful social norms. The facilitator will also make sure not to undermine the significance of biological differences between men and women or to treat them as less significant. Some physical differences do require different treatment.

**Exercise 2: Case Studies: What Women Do, What Men Do—1 hour**

**Goal:** To make Exercise 1 more specific by mapping how the same forces which create non-biologically determined division of labor between men and women affect women’s ability and/or motivation to get an ID.

**Materials:** Two case studies, typed; one chart paper with pens for each of two groups.

**Slide 2:** Division of labor between men and women: productive, reproductive, community

All the tasks that keep families and communities going can be broadly divided into three types:

- **Reproductive tasks:** Child bearing, daily child rearing, and domestic tasks; work that maintains and sustains daily life.
- **Productive tasks:** Work done for pay in cash or in kind. It includes market production with an exchange value, and sustenance or home production with actual use value and potential exchange value.
- **Community tasks:** Can fall into two types:
Activities organized for several people in the community, such as the provision of water or electricity or services such as health care;

- Political and decision-making activities.

- Each society divides work among men and among women according to what is considered suitable or appropriate. This is called the Gendered Division of Labor.

- The gendered division of labor has consequences for differences between men’s and women’s ability and motivation to get an ID as we’ll see going forward.

**Activity 2:** Role of sex vs. gender in distribution of women’s vs. men’s work

1. Divide the participants into two groups. Each group gets a chart paper with two columns:

<table>
<thead>
<tr>
<th>Activity/task or decision</th>
<th>Who does the task (man, woman, both)</th>
</tr>
</thead>
</table>

2. Give each group one of the two case studies below and ask them to document who does each of the tasks and/or makes which of the decisions in their case study: the man, the woman, or both—15 minutes

3. Each group will put up their chart—the full group gets 10 minutes to read it all

4. Have a full group discussion with the following questions, which we can either be put up, or allow to emerge organically:

- Which of the activities have any biological basis for the division between men and women? (Group discussion facilitator to create another column on each chart and write responses)
- Why do we associate certain activities/roles with women, and some with men even for those activities that do not have a biological basis in this division?
- How does gender restrict women to one type of role?
- Is there a hierarchy in roles? Does this hierarchy extend into public spaces?
- What happens when economic value is attached to an activity/role? (e.g., men are more likely to either do such an activity or control the income from the activity)

5. Facilitator to lead discussion of implications of some of these kinds of divisions of responsibility for women’s access and motivation for an ID in southern Nigeria. Write on a chart paper on the wall the ideas that are generated. These would be things like:

- Household chores → lack of time to go and register (both case studies)
- Responsibility for childcare → hard to go to register (both case studies)
- No interaction with productive activities → don’t feel need for ID (case study 1)
- No control over income → hard to get money to go to ID center, etc. (case study 2)

And so on . . .
Case studies that can be used for this exercise: one given at random to each of two groups of trainees

Case Study 1 (to be modified as needed to be true to context)

This family comprises the husband (age 40), wife (35), a boy age 14 yrs., girl age 12 yrs., boy 4 yrs., and girl 3 yrs. The family lives in [name of some small town to be included in fieldwork]. The husband works in an office from 9–5 and has a regular salary. He is fond of football and therefore goes to practice or plays after the office on Tuesday, Thursday, and Saturday. The wife stays at home and looks after the house. The wife is responsible for all the chores of the house, as house help is expensive where they live. Her usual day starts at 5 in the morning to make sure that the breakfast and lunch for kids is ready timely. Her youngest daughter is often sick, and sometimes she has to be up with her the whole night. Having two youngsters at home makes it difficult for her to rest during the day. Her elder son is giving her problems and does not listen to her anymore when she asks him to study. There is a wedding in the family, and the husband asks the wife to attend the wedding on her own with the children. When she says it might be too tiring for her to handle the children on her own, the husband tells her that he is too busy and she should represent him also. Besides, he has to attend the upcoming elections campaign at the village. At the same time he advises her to vote only for his favorite candidate.

Case Study 2 (to be modified as needed to be true to context)

This family comprises a husband (age 35), wife (age 26), 3 boys (age 8, 6, and 1) and one girl (age 4). The family lives in a village near [xxx town]. They have a small piece of land and livestock and farm their land, which allows them to live decently. The husband is fond of football and regularly attends local football matches in surrounding villages. The wife is a schoolteacher and also manages livestock at home and is responsible to sell the milk for additional income. The wife also cooks and is responsible for childcare, fetching water, and helping with farming. In June she actively works with her husband in the field to cut their harvest. In September they typically are able to get a good amount of money from farming and from livestock as well. She plans to improve the condition of the house with minor repairs and maintenance, change the mud floors to concrete ones, and save the rest of the money for attending to unexpected health issues. She shares with her husband her aspirations, but he does not agree with her suggestions. He tells her that he has already deposited the amount in the bank in a bank account that he has in his name, and he intends to use the money for setting up a business.

Exercise 3: Gender and other vulnerable groups—intersecting of identities—30 minutes

Goal: To understand that all women are not the same and all men are not the same. In Nigeria there are several other vulnerable groups, such as IDPs, pastoralists, people with disabilities; To explain what ‘intersection’ of vulnerability means and implies for IDs.

Activity 3: Vulnerability walk

1. We will create one gender + another identity persona for each person
2. Each person is given a card with a persona and asked to read it, not to talk about or tell anyone what is on the card.
3. All participants are asked to stand in a line in the middle of the room.
4. Instruction from facilitator: “I will read out some situations. As I read out each situation, if this applies to you, take one step forward. If it does not apply to you, take one step back.”

5. When all the statements are read, ask each person to read out their persona.

6. Have a chart ready with the statements, and two columns: yes/no.

7. Enter in details of the ‘yes’ and ‘no’ personas as people read them out.

8. Discuss what picture emerges of who is more or less disadvantaged when it comes to all the things that have to happen to enable someone to register for an ID.

Examples of possible personas include:

- You are a man with a physical disability that makes it hard for you to walk. You live in a rural area with poor connectivity to the outside.
- You are an educated woman with a college degree who lives in [name of capital city].
- You are a market trading woman who frequently travels between states and passes several police checkpoints at borders.
- You are a married woman with five children living in an IDP camp in [name of area]; you have no education, no money, no husband.
- You are the third wife of the chief of a prosperous village and are 10 years younger than him. As a junior wife, you are only allowed to go outside your compound in the company of the chief or another man or boy in the house.
- You are a girl of 16 years who was just married and has moved to a new city where you know no one and you don't know where anything is located. You have to rely on your husband of 30 years of age for everything.

And so on . . . enough personas need to be created so that all the participants each have one.

Examples of possible statements include (not necessarily in this order):

- If I want to go to an ID registration office, I can take some public transport to the registration center.
- I do not need to ask anyone’s permission before going to register for an ID if I want one.
- A national ID would be very useful in my life.
- I have heard about the national ID.
- I have a birth certificate and other proof of identity that I will need to use for a national ID.
- I can easily find a family member or neighbor to take care of my children so I can go and register for my ID.

And so on . . .

Slide 3: (10 min; if data are available)

After the discussion, if data are available, the training facilitator goes through a couple of slides with graphs using data to illustrate concrete examples of how this intersectionality works, and has a short discussion around this.

If no such data are available, an open discussion to close out the session is still advisable.
3. INFORMED CONSENT AND ETHICS GUIDELINES

Below is a sample consent form that can be used for any type of qualitative research, be it FGDs, IDIs, KIIs, or other methods. Each study needs to modify a form such as the one below to contain language that is suitable for the research context and translate the modified form into the appropriate language(s) in writing or explain it orally, depending on the study’s consent procedures. Consent forms should ideally be approved by ethical review boards, but not all organizations have these.

No matter what the language of a consent form, there are certain basic ethical principles that should be followed. These principles and sample guidelines on constructing consent forms can be found in:


2. *The Economics and Social Research Council in the UK has a set of guidelines for ethics when considering grants.* While these are UK-grant specific, pp. 4–6 on principles and expectations are important. See: [https://esrc.ukri.org/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/](https://esrc.ukri.org/files/funding/guidance-for-applicants/esrc-framework-for-research-ethics-2015/)


Illustrative Informed Consent Form

**Date:**

**Names of facilitators:**

Hello. My name is _________. We are conducting research for XXX into the experiences people have in obtaining and using different IDs in order to develop better systems. During this discussion, you will be asked some questions about your thoughts and/or experiences of registering with organizations, proving who you are, and sharing personal information in your daily life. This discussion is designed to be approximately XXX minutes/hours. However, please feel free to talk about related ideas if you feel the questions we ask are not relevant. Also, if there are any questions you feel you cannot answer or that you do not feel comfortable answering, please say so and we will move on to the next question.

All the information you give us will be kept confidential. We will keep the data in a secure place—in password-protected file storage. Upon completion of this project, all data will be stored in a secure location. It may be published but all names will be pseudonyms (show examples of previous research). You are welcome to choose a name for yourself that we can use.

We would like to record the discussion and transcribe the audio, but we will keep your names anonymous. We would also like to take photographs of you, but again you have the option to opt
out of photographs. You will have the opportunity to approve all photos taken. Photos may be used in print and on the web.

Your participation will help us share your voice and build better identification systems. If you are not happy with any aspect of this, please say so now. You may also decide not to participate and end the interview at any time. There is no compensation or direct benefit from participation in the interview, and there is no penalty or loss if you decide not to participate.

[FGD ONLY] If you are silent and stay in the focus group we’ll assume that you are happy to proceed, although you may decide to end your participation at any time. Please also note that in participating in this focus group, we should respect and keep the information of other participants in this group confidential and private.

Participant’s Agreement:

- I am aware that my participation in this interview is voluntary. If, for any reason, at any time, I wish to stop the interview, I may do so. I understand the intent and purpose of this research.
- I am aware the data may be used for a research report for international publication. The data gathered in this study are confidential and anonymous with respect to my personal identity, unless I specify/indicate otherwise.
- I agree to audio recording of this interview/discussion.
- I have understood the above form and I consent to participate in today’s interview.

_____________________    ___________________
Participant’s signature    Date

Get separate consent for photographs; those who do not consent to being photographed may still be included in the study, and moderators and notetakers have to be careful not to include them in any photographs and not to use any photographs in which those who said ‘no’ are inadvertently included.

I agree to have my photograph taken and understand that it may be used in print and on the web.

_____________________    ___________________
Participant’s signature    Date

Researcher contact details:
Name (e-mail address)
4. FOCUS GROUP DISCUSSION GUIDES

General structure for an FGD

The precise structure of an FGD will vary based on the design and local context. However, there are basic elements that must be included:

1. **Introduction & group consent**: Observe all courtesies and introduce the research team and the purpose of the discussion. Each individual should have already gone through an informed consent process and consented to participate. However, standard practice recommends a second, shorter group consent process. Language for such group consent is provided in the example FGD guide from a study in Nigeria carried out by the World Bank and local partners, included below.

   *Example intro*: The purpose of this exercise is to understand people’s attitudes toward identification, how they use their IDs, what barriers they face in obtaining an ID, and their reasons for not having an ID. We are interested in all your ideas, comments, and suggestions. All comments are welcome whether they are considered positive or negative.

   Please feel free to discuss and disagree with one another; no idea is right or wrong so, be respectful of the opinions of other people. We would like to have as many points of view as possible.

2. **Explain audio**: Explain the use of digital recorders and why you need to have the discussions recorded.

   *Example instruction*: We would also ask that you speak one at a time so that the tape recorder can pick up your voice appropriately and clearly.

3. **Set ground rules**: Set the parameters for the discussion. See example good practices in Part II, Section XX, and below in the example FGD guide from Nigeria.

4. **Discussion**

**Example discussion questions on ID**

**ACCESS TO ID**

- How would you identify yourself to someone you did not know?
- What are some of the means of identification that you have in your possession or at home?
  - Probe for birth certificate, driver’s license, voters card, international passport, national ID, etc. Listen for others that may be in use in the communities.
- Which credentials do you carry with you? Which ones do you keep at home? Why?
4. Focus Group Discussion Guides

PART III. SAMPLE TOOLS AND FORMS

- How long did the process take for you to obtain each of those forms of identification?
- How easy or difficult did you find the process of obtaining an ID credential?
- If you have ever needed to change your information on your ID, how did you find that process?
- What happens if you lose your ID?
  - Probe: How easy or difficult did you find the process of replacing a lost ID?
- Which ID would you like to get that you do not have?
  - Probe: Why do you want this ID?
- What barriers have you faced to accessing an ID?
  - Probe: For example, direct fees; indirect costs including transportation, missed work, bribes; social stigma; fear or mistrust in identification systems; lack of documents needed to apply.

ATTITUDE TOWARD IDENTIFICATION

- Do you think it is important to have proof of identification?
  - Probe: Why or why not?
- Why did you get an identification credential?
- Why might you NOT want an identification credential?
  - Probe: What reasons might there be for choosing to remain unidentified?
- If you had a choice, what would you prefer to show as a form of identification?

GENDER DIFFERENCES

- How does the process of obtaining an ID differ for men and women?
- How does the process of updating information on an ID differ for men and women?
- How do the customs and traditional practices in your community affect the ability of women to register for an ID?
- Are women given more consideration than men, or men given more consideration than women when obtaining an ID?
  - Probe: Kindly explain the situation in your community.
- In a family, who keeps the credentials?

USE AND ACCESS TO SERVICES

- How do you use different forms of identification in your life?
  - Probe: What were you trying to access the last time you used your ID?
  - Probe: What ID did you use?
- If you have an ID, what rights and/or services have you been able to access by having identification?
- If you do not have an ID, what rights and/or services have you been unable to access because you lack identification?
- How do you think identification credentials have helped you or not helped you?
Probe: What positive or negative changes, if any, have you seen in your life after obtaining/using some form of identification?

Can you give an example of a process which uses identification that you think is simple/easy?

Probe: In what ways did you find it easy?

**DISPLACEMENT** (only for FGDs with communities that have likely experienced displacement)

- Is your ability to move freely within or outside of your community affected by whether you have an ID?
  - Probe: Have you experienced harassment by law enforcement or others because you did not have an ID?

- Has this community ever experienced issues that led to displacement of community members?
  - Probe for crises, natural disasters, etc., which might lead to displacement

- What type of ID is most useful for displaced persons to access services, move freely, or return to your home community?

- Have you ever been denied access to a refugee or IDP camp because of lack of an ID?
  - Probe: What ID were you told you needed?

**PRIVACY**

- How do you feel about giving the government your personal data, for example, for your national ID?
  - Probe for what personal data means to them; give examples if necessary.

- Have you ever been asked to give your fingerprints (or other biometrics, as relevant) for registration for any ID?
  - If Yes, probe: How did you feel about giving your fingerprints (or other biometrics, as relevant)?

- Do you feel differently about sharing your data with the government or with a company?

- Do you trust government organizations with your information?
  - Probe: Do you trust the [ID agency]?

- Are there ways the government could be better protecting your privacy or data?
  - Probe: Are there ways that the system could be made more trustworthy?

**DESIGNING FOR THE FUTURE**

- What improvements would you like to see, in terms of getting an ID?

- What improvements would you like to see in terms of accessing services with your ID?

- How do you think the identification credential provider (government/private) could improve communication and outreach campaigns to help increase coverage?

- Is there anything else you would like to tell us?
FGD guide for women, used in Nigeria gender deep dive qualitative study for ID4D, June 2019

Focus Group Discussion Guide
(Women in the selected communities)

<table>
<thead>
<tr>
<th>Focus group number:</th>
<th>Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location (state, LGA, town/village, ward number):</td>
<td></td>
</tr>
<tr>
<td>Conducted by:</td>
<td></td>
</tr>
<tr>
<td>Gender: Male</td>
<td>Female</td>
</tr>
<tr>
<td>Place where the interview is conducted:</td>
<td></td>
</tr>
<tr>
<td>Language:</td>
<td></td>
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</table>

**Introduction and group consent:** 10 minutes

[Moderator: Ask everyone to sit in a circle. The moderator should sit in the circle; the notetaker should sit outside the circle.]

Greetings. I am _______ and I work for Oxford Policy Management [Each interviewer, notetaker and/or observer introduces himself or herself]. The Nigerian government is seeking to expand the national identification system for verification and secure authentication of an individual’s identity to enable you to access services and exercise your rights. To do so, every person who lives in Nigeria will be issued a national identification number by NIMC, the National Identity Management Commission.

We are not part of NIMC or part of the government. We are from a research organization called the Oxford Policy Management. We would like to talk with you about experiences that you and others in your communities have had related to registering for the national ID issued by NIMC. For those of you who have this ID, we’d like to talk about the process you went through to obtain it, and how you use it. For those of you who do not have a national ID from NIMC, we’d like to understand the reasons and barriers for why you have not gotten one, and whether you would like to get an ID card. Our conversation today is part of several such conversations we are having across the country that are intended to give information to the Nigerian government to improve the national identification system for you.

Earlier each of you was asked if you would be willing to participate in this group discussion. You are here because you said ‘yes.’ The group discussion will last about 1 hour and 20 minutes. We will be using information from this discussion to prepare a report on your experiences concerning IDs. We will be sharing this information with the government. With your permission, we would also like to take photographs of the group that we can use in our report, and to audio record the discussion so that we can later make sure that we were able to understand all the problems you share with us today. However, no one outside of this group will be told you participated, and we will not mention your name or any other details about you that could be used to point to you and say, “you said this.” Any contact information that may have been collected to invite you to participate in today’s discussion will be destroyed after the discussion. We will also destroy what we write down today and today’s audio recordings after we put them in a computer.
Consent:

Do you have any questions? □ YES □ NO

[Moderator: Wait a couple of minutes and make sure everyone in the group has time to consider if they have any questions. If anyone has questions, answer those, note down the questions and the answers you gave on a separate piece of paper and then continue.]

Do you agree to participate with this group, with the understanding that the discussions will be audio recorded and photographed? Even if you say yes now, but if at any point during the discussion you are uncomfortable with being recorded or photographed, you can let me know and we will stop. This will not have negative consequences for you or for anyone else.

□ YES □ NO

[Moderator: If anyone says no to any of these three things or they are not sure, please permit them pleasantly to leave the discussion, even if they had earlier given individual consent. Note down how many did not consent and continue only if there are at least six people left in the discussion.]

Ground rules: 10 minutes

Thank you very much for agreeing to talk with us. Before we begin, can you suggest what rules we should abide by during the discussion? [Moderator: list the points below if not already suggested by participants and say “I’d like to add a few things to the list that I hope we can all agree to.”]

1. During our discussion, let us all turn off our cell phones. [Moderator and notetaker, start by visibly turning off your cell phones and allowing time for others who have cell phones to turn them off.]

2. We are interested in all your ideas and experiences, so please feel free to say what is on your mind. If you do not agree with something I, my colleague, or any of your neighbors in this group say, it is all right. Remember, there are no right or wrong answers. We just want to hear your opinions. Please also feel free to disagree with one another. We would like to have many points of view.

3. We want this to be a group discussion, so you need not wait for me to call on you. Still, please speak one at a time so that we are all able to listen to one another and the recorder can pick up everything.

4. It is very important that you do not discuss anything that takes place during the discussion with anyone once you leave here. This means that you should not tell anyone outside of this group who was here or what they said. This will protect everyone’s right to confidentiality.

5. During this discussion I would request you to please respect each other and each other’s opinions expressed here. This means that, while you are free to disagree with each other, please don’t single out anyone in the group for criticism or negative comments about their opinions. If either of us feels that any behavior is disrespectful or disruptive, we may interrupt the discussion.

These may seem like a lot of “rules,” so does anyone have any questions before we begin? [Take note of questions. Once all questions are answered, proceed.]
ICE BREAKER—to pick depending on the community dynamic

AWARENESS AND ATTITUDES: 15 minutes

1. Now I’d like to start our discussion of IDs. You know in our country there are different kinds of ID cards. For example, there is the voter ID, like this [Moderator, show your voter ID]. Do any of you have a voter ID? [Pause for participants to respond]. As I mentioned earlier, the Nigerian government also has a national ID card, issued by NIMC. This is what it looks like [show the mock NID and the national identification number (NIN) slip you have been provided; you can pass it around if people want to touch it or look at it].
   a. Have any of you gone to an NIMC enrollment center to register for this ID? [Notetaker: note who and how many have gone to a NIMC enrollment center.]
      i. If yes: ask if received anything from NIMC and what they received?
   b. [Ask everyone] Do any of you know someone who has gone to register for a national ID at a NIMC registration center? [If yes: ask who. Notetaker—note down who knows someone who has registered and who the person is who has registered—it could be a relative or someone the participants know.]
2. Who is allowed to register for a national ID from NIMC, in your knowledge? [Probe for their ideas of whom they think is allowed to or not allowed to apply for a NIMC ID. For example, whether you have to be a citizen or not to apply for a NIMC ID; whether both men and women can apply; all ages; all ethnicities; indigenes and non-indigenes; etc.]
3. To get the national ID from NIMC the government takes your photograph, fingerprints, and other biographical details. How do you feel about giving out this information? [Probe: How do you feel about NIMC taking your photograph? How do you feel about NIMC capturing your fingerprints? How do you feel about NIMC asking for other biographical information? Probe for any concerns about the misuse of personal data, trust or mistrust in government use of data, views on confidentiality, rumors or experience about misuse, etc.]
4. Do you think it’s important for both men and women to register for the NIMC ID? [Probe specifically for whether they think it’s more important for women or more important for men to have the NIMC ID? Why do respondents think it’s more important for men or for women, for example if they think men and women do different things, such as men have to travel more, women are not allowed to do certain things, access differences, etc.]
5. We just discussed some of the uses of NIMC ID in your responses. What else can a national ID from NIMC be used for? [Probe for knowledge of NIMC ID being used for services, what services, and where; any government benefits from programs like cash transfers; security, etc. If anyone in the group has an ID card, probe if she has ever used it to access any government benefits from programs like cash transfers, etc.]
6. For those of you who have not gone to register for a NIMC ID, would you like to register for this ID?
   a. Probes for why ‘yes’: need it for services (ask which ones), makes me feel proud as a Nigerian, everyone should have one, get respect, etc.
   b. Probes for why ‘no’: don’t need it, don’t want it because have other IDs such as a voter card, doesn’t make a difference to my life, it’s too complicated to get, other barriers; also
probe for whether there is an issue of not getting permission from family members and why—norms don’t allow, mobility, male staff, etc.

EXPERIENCES IN GETTING AN ID ISSUED BY NIMC: 20–30 minutes

Moderator: Now let’s discuss the process and the experience in registering for an ID at NIMC, and how it could be made better for you.

Let us suppose a woman in your community wanted to go and register for an ID at a NIMC registration center. Let’s give this woman a name. Encourage participants to create a persona of a woman in their village.

- What is her name? How old is she?
- Does she have children? How many? Girls or boys? Age?
- Is she married?
- Okay, now suppose she needs to register for a NIMC ID. What are some reasons she might need such an ID? [Probe for needing to get government benefits, bank account, SIM card, security, etc. If no one knows, tell them about some ways a NIMC NIN number or ID can be used and discuss.]
- In her house, would there be a discussion about her going to register for a NIMC ID? Who would decide that she should go to register, and why? Would anyone disagree? Who and why?
- Now suppose her family has agreed that she should register for this ID and she is preparing to get it. What documents would she need to take with her to register for the ID? [If no one knows, then tell them about 1–2 of the documents that are needed, like a birth certificate or birth declaration, attestation letter from community ruler/traditional or religious leader, certificate of origin, or other ID (BVN, driver license, passport). Prompt as needed about any problems in getting any of these documents and how women would know where to get them.]
- Where does she have to go to register for her ID? [If no one knows, tell them where the nearest NIMC office is located. Make sure they know where the place is that you are talking about.]
- What kinds of challenges will she have with getting there, and finding the time to go? [Probe: distance (how far is the center?), available transport, costs, permission from husband, challenges with managing child care, work or housework, where she would leave her children, who would help with housework, etc.]
- What problems will she face when she gets there? [Probe as needed for issues like queues, etc.; how do you think she would be treated by the ID officer? whether she has to pay bribes, etc.]
- Do you think she would need to go back many times to the ID office again before she got her NIN number or slip, or would the arrangements be done in one visit only? [Probe for why once or why multiple times.]
- How long do you think it would take before she received the NIN number or slip? [Probe for whether they think it would arrive quickly or take a long time.]
4. Focus Group Discussion Guides

- Suppose she lost the NIN number or slip, or if any of the information required for the NIN number or slip changed. How would she get a replacement? [Probe for where, who would do it, paperwork required, fees that are needed for replacement, etc.]

- Now we’ve talked about the whole journey. For the whole journey, what if this woman had a disability? What additional problems, hassles, barriers would she face? [Probe for things like mobility issues are harder, may be treated worse, etc.]

[Ask the whole group]: What do you think about her experience in registering for the ID issued by NIMC? For example, if it were you, what do you think would be the hardest and what not so hard if you were to go through this process to register for an ID issued by NIMC? [Allow some discussion; guide as needed and note what respondents find most daunting, most interesting, most strange, etc., about the process of registering for a NIMC ID.]

**SOLUTIONS: 20 minutes**

Through this talk we’ve learned about many of the problems that women like yourselves can have if you try to register for an ID from NIMC. For example, [read out some of the problems that were brought up].

7. What do you think would make it easier for you to register for an ID from NIMC?

Moderator: encourage discussion and feedback on anything that makes it easier and more possible for women to register for a NIMC ID. Make sure you cover the following kinds of barriers:

- Costs: of time spent, getting the paperwork/breeder documents, transport, childcare, wages lost, etc.
- Problems with getting breeder documents or other institutional problems
- Lack of permission or time or other reasons emanating from dynamics in the household [Probe for what they think would make it easier to get permission, if anything.]
- Norms that make it unacceptable or unnecessary or impossible for women to register for an ID [how to address, for example, mobility or other constraints; probe for whether there are locations where women easily go and whether it would help to have ID registration there]

8. What do you think are the best ways to spread the knowledge about this ID card to women in your community? [Probe for types of media; locations—school, church, mosque; through traditional leaders, etc.]

9. At the beginning of the session we asked about a range of IDs. Which ID do you prefer and why?

   a. For those who do not prefer the NIMC ID: Why do you not prefer the NIMC ID? What benefits would you need to get from the NIMC ID to make you prefer it?

   Moderator: encourage discussion and feedback on anything that would motivate women to make the NIMC ID the preferred general ID for them.

We’ve come to the end of our discussion. Thank you very much for sharing your time with us.

Do you have any questions? [Pause and answer questions.]

[If no questions, or at the end] Thank you. We will take your leave. If you think of anything else you would like to talk to us about regarding what we discussed today, you can contact me [repeat your name] at this number [give them a card with moderator’s or supervisor’s contact information].
5. KEY INFORMANT INTERVIEW GUIDES

Introduction

Observe all courtesies and introduce the interviewer(s) and the purpose of the visit:

*Example intro:* My name is XXX. I am here with XXX to discuss and hear your opinion on the ID system. We hope the discussion will help improve the process of ID enrollment and use for people. We appreciate the time you are contributing to this discussion, and we would like to assure you that your views will be confidential. Interviews usually take about 45–60 minutes. You may choose to cease your participation at any time during the interview. We will be recording the session solely for documentation purposes. Do we have your consent to proceed?

- **Document consent:** In addition to the above text, ensure that the informant signs the consent form; terminate the interview if they do not.
- **Explain audio:** Explain use of digital recorder and obtain consent for recording. Activate tape recorder if consent is obtained.

Example questions for KIIIs

This section presents potential questions for interviewing key stakeholders in the ID system. The particular questions asked will depend on who is being interviewed—e.g., officials at the ID agency, vs. NGOs and community leaders, vs. frontline workers (e.g., enrollment officers or SIM registration agents), etc.

**General**

- How long have you worked at [organization]?
- Could you describe to me your role at [organization]?

**Access and use of ID**

- What means of identification are commonly used in this country and/or community?
  - Probe for birth certificate, driver’s license, voter card, international passport, national ID card
  - Listen for others that may be in use.
- What has been the experience of people when registering for the ID?
- What in your opinion are the key drivers for registration for the ID?
- What in your opinion are the key barriers to registration for the ID?
- What do you consider to be the benefits of having an ID?
5. Key Informant Interview Guides

- What are the concerns related to obtaining an ID?
  - Probe for people’s feelings about giving their personal information and biometrics (fingerprints, iris, photo, etc.)
- What entities do people trust with their personal data?
  - Probe for government entities like the ID agency, civil registration agency, or other ministries, and probe for private sectors like banks and telecommunication companies
- What customs/traditions contribute to enabling women to register for identification?
- What customs/traditions impede women from registering for identification?
- What other factors affect women’s ability to register for identification?
- What types of services do people access with these means of identification?
  - Probe for health, education, banking/mobile money, GSM/mobile phone
- How has having or not having a means of identification limited people’s ability to access services?
  - Probe for which services
- What groups of people do you think have difficulty registering for identification?
- Are you aware of any discrimination for having or not having an ID?
- Are there groups in this community that may not want to be registered or may not have an ID?
  - Probe for the different groups they may be aware of, such as religious or ethnic minorities, persons with disabilities, migrants, etc.
- Are you aware of any groups that don’t want to register or don’t want to have an ID?
  - Probe for the perceived reasons why groups may avoid registration.
- Based on your experience in the area, what steps should government take to improve access to an ID?

POLICY & IMPLEMENTATION (for KIIs with leadership of ID/CR agencies and service providers)

- What do you consider the key policy and implementation issues around identification systems in [country]?
- Given your role as X organization, what are the specific challenges you face related to an ID?
- Which actors are shaping the conversation around identification systems in your country?
- What kind of barriers do you think individuals are having in accessing/using identification?
- What value do you think the identification system holds for a user?
  - Probe: How would you convince a user of the benefits of an ID?
- Which identity credentials do you think are most used?
  b. Probe: What kind of benefits do they have?
- How does your organization approach user privacy with regards to digital data and/or identification systems?
- (For service providers only) How do you share information about the identification-based service you may have delivered?
(If user interviews have already been concluded) We heard X about the barriers user experience in accessing the ID. What do you suggest the user do?

FUTURE PLANNING

- How do you think the current identification systems (whether national ID, birth certificates, or other) in [country] can be improved?
- How do you think you could improve communication and outreach campaigns to help increase coverage?

CONCLUSION

- Do you have any questions for us?
- Who else might you recommend we talk to?

PERSPECTIVES ON OWN ID-RELATED WORK (FOR FRONTLINE WORKERS)

- How do you record people’s data?
- What are the major challenges you face in completing your daily tasks?
- What do you think would help your job: (a) in terms of making your job easier (i.e., less challenging/frustrating/etc.), and/or (b) in terms of facilitating better services?

FIRST-HAND PERSPECTIVES ON PEOPLE’S KNOWLEDGE OF ID, CHALLENGES, AND BARRIERS (FRONTLINE WORKERS)

- Do people that come to you know the process and requirements for getting an ID?
- How did they find out?
- Does anyone ask you questions about why certain information is needed?
- What are the main challenges people raise about ID-related processes and procedures?
- Are there any services that people have been unable to access, despite having an identification credential? If so, why?
- Are there specific groups that you have seen face challenges, and why?
- How do you think the identification provider (government/private) could improve communication and outreach campaigns to help increase coverage?

CONCLUSION

- Do you have any questions for us?
- Who else might you recommend we talk to?
KII guide used with local leaders in a Nigeria gender deep dive qualitative study for ID4D, June 2019

Greetings. I am _____ and I work for a research organization called [each interviewer, notetaker and/or observer introduces himself or herself]. We are here today to request a bit of your time for a discussion on the experiences of registration for a national ID among women and men in your state. Let me start by telling you a little about the background.

The Nigerian government is seeking to expand the national identification system for verification and secure authentication of an individual’s identity. To do so, every person who lives in Nigeria will be issued a national identification number by NIMC, the National Identity Management Commission. We are not part of NIMC or part of the government but are from Oxford Policy Management, as I said earlier. Our conversation with you would be one of several such conversations we are having across the country that are intended for a report. This report will provide information to improve the national identification system for everyone, especially women.

Thank you again for your permission to talk with men and women in your community about their experiences and thoughts on registering for a NIMC ID. In addition, at this time we would very much like to talk with you, as the chief/traditional leader/religious leader [replace with correct term] about your knowledge and perceptions regarding women’s and men’s experiences with registering for the NIMC ID in this state.

We will be using this information to prepare a report on your experiences. We will be sharing this information with the World Bank and possibly with the government. With your permission, we would like to audio record our conversation so that we can make sure later that we were able to fully capture our discussion. However, no one outside of this room will be told you participated, and we will not mention your name or any other details about you that could be used to point to you and say, “you said this.” Any contact information that we may have in order to contact you today will be destroyed after we have completed our notes. We will also destroy what we write down today and today’s audio recordings after we put them in a computer.

Consent:

Do you have any questions you would like to ask us? □ YES □ NO

Do you agree to participate, with the understanding that our discussion will be audio recorded? Even if you say yes now, if at any point during the discussion you are uncomfortable with being recorded, you can let me know and we will stop. There will have no negative consequences for you or for anyone else.

□ YES □ NO

Thank you for agreeing to talk with me today. I have just a few questions and will not take up too much of your valuable time.

[Moderator, ask the following questions in a conversational way.

- The questions do not have to be asked exactly as written,
- The questions do not have to be asked in the order in which they are written below.
These are guiding questions for you to have a conversation.

You need to ensure, however, that you cover all the points from the questions during the course of your discussion.

The discussion should not take more than 30–40 minutes, but if your respondent is eager to continue and if you have the time and energy you may continue at your discretion. Alternatively, if the respondent is tired or flagging even before 30–40 minutes, please shorten the discussion as needed and note down where you stopped and why.

1. How did people in this community, including you, come to hear about the NIMC ID? What could be done to further increase people's awareness?

2. Do you feel that it would be important for men in this community to register for a NIMC ID?
   - Why or why not?

3. How about for women? Should women in the community also register for a NIMC ID?
   - Why or why not?

IF RESPONDENT SAYS WOMEN SHOULD NOT REGISTER FOR A NIMC ID, ASK: **Under what circumstances would you think it is acceptable and a good idea for women also to register for a NIMC ID?** [Probe for changes in the registration or other related processes; or anything else that could be done.]

END the conversation here and thank the respondent for their time.

IF RESPONDENT SAYS WOMEN SHOULD REGISTER FOR A NIMC ID, CONTINUE:

4. In your opinion, why have women in your community not registered for an ID as much as men?
   - Probe on any barriers that came up in the FGDs that are useful to ask the chief/traditional leader/religious leader;
   - Make sure to probe for respondent’s thoughts on cultural or religious barriers;
   - Legal or logistical barriers;
   - Women’s attitudes or motivation to get an ID;
   - Men’s attitudes, etc.

5. What kind of role do you think respected leaders like yourself could play in increasing the awareness and value of the NIMC ID for your community, particularly for women?
   - Probe for views on the importance of and how to engage traditional leaders, and what aspects of barriers they should focus on: cultural/traditional? Other?

6. We would very much like to hear any other ideas you may have on how to make it easier and more useful for your community to register for the NIMC ID?
   - Use suggestions that came up in FGDs as probes, as needed.
   - Try and separate out for men vs. women, such as issues of spousal permission or other cultural barriers, costs, distance, knowledge, motivation, etc., that might arise for women but not for men.
Thank you very much for your time. Your input has been most valuable, and we will be sure to reflect it in our report. We will not tell anyone your name and that we have had this discussion with you. Good afternoon/evening.

**KII guide used with leaders of women’s organizations in a Nigeria gender deep dive qualitative study for ID4D, June 2019**

Greetings. I am _____ and I work for a research organization called Oxford Policy Management [Each interviewer, notetaker and/or observer introduces himself or herself]. We are here today to request a bit of your time for a discussion on the experiences of registration for a national ID among women and men in your state. Let me start by telling you a little about the background.

The Nigerian government is seeking to expand the national identification system for verification and secure authentication of an individual’s identity. To do so, every person who lives in Nigeria will be issued a national identification number by NIMC, the National Identity Management Commission. We are not part of NIMC or part of the government but are from Oxford Policy Management, as I said earlier. Our conversation with you is one of several such conversations we are having across the country that are intended for a report which will provide information to improve the national identification system for everyone, especially women.

We are going to be talking to/have talked to [depending on timing of KII] women and men in ___ communities in this LGA (local government area) about the experiences that they and others in their communities have had related to registering for the national ID issued by NIMC, such as the process they went through to register for the ID and how they use it (if they have registered); why those who have not registered have not done so; and any barriers they’ve faced in trying to register. In addition, we would very much like to talk with you, as a representative of the State Ministry of Women’s Affairs, about your knowledge, experience, and perceptions regarding women’s access to and use of the NIMC ID in this state.

We will be using this information in order to prepare a report on your perceptions of the ID situation. We will be sharing this information with the World Bank and possibly with the government. With your permission, we would like to audio record the conversation so that we can make sure later that we were able to fully capture our discussion. However, no one outside of this room will be told you participated, and we will not mention your name or any other details about you that could be used to point to you and say, “you said this.” Any contact information that we may have in order to contact you today will be destroyed after we have completed our notes. We will also destroy what we write down today and today’s audio recordings after we put them in a computer.

**Consent:**

Do you have any questions you would like to ask us? □ YES □ NO

Do you agree to participate, with the understanding that our discussion will be audio recorded? Even if you say yes now, if at any point during the discussion you are uncomfortable with being recorded, you can let me know and we will stop. This will have no negative consequences for you or for anyone else. □ YES □ NO
[Moderator, ask the following questions in a conversational way.]

- The questions do not have to be asked exactly as written.
- The questions do not have to be asked in the order in which they are written below.
- These are guiding questions for you to have a conversation.
- You need to ensure, however, that you cover all the points from the questions during the course of your discussion.

The discussion should not take more than 30–40 minutes, but if your respondent is eager to continue and if you have the time and energy you may continue at your discretion. Alternatively, if the respondent is tired or flagging even before 30–40 minutes, please shorten the discussion as needed and note down where you stopped and why.

Thank you for agreeing to talk with me today. I have just a few questions and will not take up too much of your valuable time.

7. To your knowledge, what is the situation of registration for the NIMC ID in your area?
   - Probes: extent to which the population at large knows about the ID and how to register;
   - Whether a lot or only a few are registering;
   - What people think about the ID: for example, do they think it's a good or bad idea, it helps or does not help, is useful or not useful, etc.

8. To what extent do women know about registering for the NIMC ID?
   - Probes: How about in more distant rural areas?
   - How about among poorer or disadvantaged populations?

9. What do you think are the main barriers that the women in this area face if they want to register for a NIMC ID?
   - Probe on any barriers that came up in the FGDs that are useful to ask someone from the ministry about;
   - Make sure to probe for respondent's thoughts on cultural or normative barriers of access;
   - Legal or logistical barriers;
   - Women’s attitudes or motivation to get an ID;
   - Differences between the experience of different groups of women as relevant, such as urban/rural, IDP/non-IDP, disabled/nondisabled, younger/older, married/unmarried, any other minority group.

10. We would very much like to hear any ideas you may have on how some of these barriers could be addressed for women in this state?
    - Use suggestions that came up in FGDs as probes, as needed;
    - If needed, probe on issues of spousal permission or other cultural barriers, costs, distance, knowledge, motivation, etc.
5. Key Informant Interview Guides

11. Does your group (or organization) play any formal or informal role in this registration? For example, in spreading information maybe through your other programs, etc.?

12. In your opinion, could your group or organization play a role in making it easier for women to access registration for a NIMC ID, as well as increasing women’s motivation to get an ID? If yes, how? If no, why not?

13. Do you have any other thoughts or suggestions on improving women’s access and motivation for registering for the NIMC ID that you would like to share with me at this time?

Thank you very much for your time. Your input has been most valuable, and we will be sure to reflect it in our report. We will not tell anyone your name and that we had this discussion with you. Good afternoon/evening.
6. IN-DEPTH INTERVIEWS GUIDES

Introduction

Observe all courtesies and introduce the interviewer(s) and the purpose of the visit:

Example intro: My name is XXX. I am here with XXX to discuss and hear your opinion on the ID system. The purpose of this exercise is to understand your experiences with IDs, including any barriers you have faced in obtaining an ID and what you use IDs for. We are interested in all your ideas, comments, and suggestions. All comments are welcome whether they are considered positive or negative.

- **Document consent:** Ensure the informant signs the consent form; terminate the interview if they do not.
- **Explain audio:** Explain use of digital recorder and obtain consent for recording. Activate tape recorder if consent is obtained.

Example Questions for IDIs

1. What are some of the means of identification that you have?
   a. Probe for birth certificate, driver’s license, voter card, international passport, national ID, etc.
2. Why did you get an identification credential?
3. Why might you NOT want an identification credential?
   a. Probe: What reasons might there be for choosing to remain unidentified?
4. Which IDs do you carry with you? Which ones do you keep at home? Why?
5. How did you find the process of obtaining these IDs? How long did it take?
6. What barriers have you faced in accessing an ID?
   a. Probe: For example, fees; indirect costs like transportation, missed work, bribes; social stigma; fear or mistrust in identification systems; lack of documents needed to apply.
7. What happens if you lose your ID or need to change the information on your ID?
8. Which ID would you like to get that you do not have?
   a. Probe: Why do you want this ID?
9. How do you use different forms of identification in your life?
   a. Probe: What were you trying to access the last time you used your ID? (If necessary give examples of government programs, banking, SIM registration, government to person payments, etc.)
   b. Probe: What ID did you use?
6. In-Depth Interviews Guides

10. How do you think identification credentials have helped you or not helped you?
   a. Probe: What positive or negative changes, if any, have you seen in your life after obtaining and using identification?

11. How does the process of obtaining an ID differ for men and women?
   a. Probe: What issues do women face in accessing IDs that might be different than men?

12. How do you feel about giving the government personal data, for example, for your national ID?
   a. Probe: What does personal data mean to you? (If necessary give examples)

13. Have you ever been asked to give your fingerprints for registration for any ID?
   a. If Yes, probe: How did you feel about giving your fingerprints?

14. Do you trust government organizations with your information?
   a. Probe: Do you trust the [ID agency]?

15. What improvements would you like to see, in terms of getting an ID?

16. What improvements would you like to see in terms of accessing services with your ID?

17. Is there anything else you would like to tell us?
7. PARTICIPATORY TOOLS

Transaction story/intercept notes

Objective: A transaction story captures the real-world experience of someone applying for an ID and/or using their ID to access a particular service (e.g., registering for a SIM card).

Method: After receiving permission from the user and the agent offering the transaction (e.g., the registration official or the storekeeper selling a SIM card), the researcher observes the transaction and notes what takes place, how the user is treated, etc. It is not recommended to audio or video record, as this is likely to be in a public area. Thus, notetaking and drawing visuals is most appropriate.

Introduction: Hello, my name is XXX and I am conducting research to understand people’s experiences for obtaining an ID or using an ID to access a particular service. I am interested in observing your experience here today. Would you be willing to participate? Do I have your permission to take notes about your experience?

Examples of what the interviewer/observer should observe and document:

Name or pseudonym of the user:

1. What is the transaction (describe the transaction, where it is taking place, etc.)?
2. What is the user’s perspective? What did he/she come to do? How do they feel about being there? Do they seem comfortable/uncomfortable? What is their attitude? Any user reactions that he/she shared with you or that you observed about the experience?
3. What is the agent’s perspective? What are their thoughts? Is the agent helpful/unhelpful? Do they suggest alternatives/workarounds, if needed? Do they have any reactions to or thoughts about the transaction (this specific one or in general)?
4. What are YOUR thoughts on the transaction? Particularly in relation to questions of privacy, agency, and dignity of the user? Did it seem to you that there is a power dynamic present? If so, why? Do the agent and user know each other? In your observation, was the user treated appropriately and respectfully? Did you think the agent did all they could to facilitate the transaction?

Journey mapping

Objective: To develop a written and visual “map” of the journey a person took to obtain their ID in order to understand the bottlenecks, frustrations, and opportunities for improvement. The exercise can focus on any of the prevalent IDs or the ID of most interest to the study. This exercise can be done with an individual or adapted to a group.

Method: Prepare a large flip chart paper to capture the process as the individual describes it. Be sure to note any particularly positive or negative experiences along the journey.
Ask the following kinds of questions about the chosen ID of focus:

1. On a scale of 1 to 10, how would you rate the process of getting your ID? With 1 being ‘a very easy process’ to 10 being ‘a very difficult process’.
2. Why did you rate (number)?
3. Could you describe your experience of getting your ID, step-by-step? [Capture the participants’ description on the flipchart as they talk. Use probe questions to elicit more detail on the process the person had to follow.]
4. [Review the journey map you drew with the participant.] These are all the steps and experiences you have described. Is there anything missing from this journey map?
5. Is there anything else you would like to share about your experience?

Probes that can be used to develop a journey map (modify as needed for context):

1. What were the biggest problems you encountered along the way? Why?
2. How did you know which documents you needed to obtain the ID?
   a. Which documents did you provide for the application?
   b. How did you go about gathering the required documents?
   c. Were you asked for other documents that were not mentioned on the application form [or on the media from where they learned about the process]?
   d. Which documents were the hardest to obtain? Why?
   e. If you were not able to show some required documents, how did you resolve this issue?
3. How was your experience recording your biometrics, such as your photo and your fingerprints [or any additional biometrics collected]?
   a. How many attempts did it take to record your fingerprints? How many fingers did you have to try? Could you describe the experience?
   b. Did you have any concerns with providing your biometrics or photo? Why? Could you describe your concerns?
   c. Do you know why these are being recorded?
   d. Would you prefer to have anything else in place of [fingerprints; photo; other biometrics—whichever the respondent felt uncomfortable sharing]? If yes, then why and what? If no, then why not?
4. What made you the most uncomfortable during the process of registering for your ID?
   a. Did any specific fields that the application asks for make you uncomfortable? [Prompt for religion, gender, photo, etc., as needed, depending on the country context.]
5. What was the most positive memorable experience during the process?
6. Did you face any barriers during the process? If yes, could you describe them? [Make sure to get information on the following, including by probing as necessary.]
   a. Did you have to pay for the application form?
   b. Did you pay anyone to help you with the process?
   c. Did you pay anyone to speed up the process?
d. Did you need to pay any bribe? Could you describe the instance?

7. Did you have any difficulty in filling out the form? Could you describe the process?

8. Did you receive a receipt or an acknowledgment of your application at any point in the process? Could you recall when and describe what you received?

9. Once you got the actual, physical card [for countries with physical ID cards], what did you think of it?

   a. [If the card is a smart card] Do you know there is a chip inside? [Explain what a ‘chip’ is if needed.]. Do you know what the chip stores? [Prompt if needed that it stores your data and the fingerprints.]. How do you feel about the fact that this information is stored on your card?

   b. How do you think the design of the card could be made better?

**Ranking exercise**

**Objective:** This exercise is useful only if the majority of participants have several ID cards. The aim of this exercise is to use participatory discussion to have participants rank the importance they assign to different ID cards they possess.

**Method:**

1. Explain the following to the participants: “I would like to request you all to show your ID cards, and we are going to do a participatory exercise using your IDs. I recognize that your IDs have your personal information on them. Nothing will be documented about the information on your IDs. I would also request everyone in the group not to share what you see or hear with anyone outside the group.”

2. Ask each participant:
   a. Do you agree to participate?
   b. Do you agree to keep what you see and hear in this discussion confidential? That means you will not discuss anything you see and hear in this discussion with anyone outside of and after this discussion?

   If anyone says ‘no’ to either question, respectfully ask him/her to exit the group.

3. Once you have your final group, ask the participants to show the group all their ID cards.

4. Note any differences in data across ID cards (e.g., name, birth date), where the ID cards were physically stored, etc. If the person says they have a document but cannot show it, note why (where is it, who has it, etc.).

5. Ask questions about the 1–3 most and least important IDs, depending on the overall number of IDs produced.

6. Ask them to rank their IDs from most to least important. Give them adequate time to think and change their minds as they wish.

7. After the IDs have been ranked, ask the following questions to each individual in the group:

   Why are [the top 1–3 IDs] most important to you? Ask for each ID:
7. Participatory Tools

a. What are the benefits of this ID?

b. When was the last time you used this ID? Could you describe how you used it?

c. Was it easy or hard to use this ID? Whom did you use it with?

d. Did anyone help you?

e. How was the experience of applying for and receiving the [ID valued most by participant, that is, ranked #1]?

8. Why are (the bottom 1–3 IDs) least important to you?

9. Where do you store your ID cards? [Probe for on their person, at home in a safe place, etc.]

**Card sorting exercises**

**Objective:** Card sorting exercises can be used to ascertain participants’ views on and preferences for alternate types of technology, systems, and approaches to ID. These views, in turn, can help improve the effectiveness of an ID operation. The table below provides examples of some card sorting exercises and each one’s aim.

**Method:** Moderators share a set of cards, each of which has one type of technology, system or approach about which the study is soliciting participant views. Cards with text are typically used with literate participants while images can be used with illiterate participants. Participants sort the cards in order of their preferences. This sorting is then used for a discussion about preferences, reasons, awareness, and policy and programmatic responses. The table below provides examples of some cards that can be used in a card sorting exercises and each one’s aim.

<table>
<thead>
<tr>
<th>Card to be sorted</th>
<th>Purpose of card</th>
<th>Information to be gained</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID usage cards</td>
<td>A set of cards describing reasons to use an ID from an individual's perspective (e.g., open a bank account) and that of the government (e.g., track people for taxes).</td>
<td>What are the reasons for having a card that resonate with people? Do they understand the needs of government requirements and their own priorities?</td>
</tr>
<tr>
<td>Tagline cards</td>
<td>A set of cards, each with a slogan that could be used to market and communicate ID programs.</td>
<td>What holds the most value for respondents? Which tone do people prefer for official communications?</td>
</tr>
<tr>
<td>Specific technology cards (e.g., biometrics)</td>
<td>A set of visual examples showcasing a variety of physical setups of biometric authentication methods.</td>
<td>What are current perceptions around biometric authentication? What are the preferences between different technologies and processes?</td>
</tr>
<tr>
<td>Communication channel cards</td>
<td>A series of cards with illustrations of different marketing and advertising channels, such as radio and posters.</td>
<td>How do people learn about new things? Which communication channels might be most effective at spreading awareness and encouraging ID registration?</td>
</tr>
<tr>
<td>ETA notification cards</td>
<td>A set of cards to explore with participants how to improve the lengthy waiting experience between registration and ID pickup.</td>
<td>Is there is a need for feedback and information during the waiting period (after registration and before ID pickup)? What type of feedback/information is desired? How should it be delivered?</td>
</tr>
</tbody>
</table>
Participatory methods with educated participants

The following methods can only be used with participants who have facility reading and writing at the level of at least a newspaper.

**Letter writing**

This exercise can be done as part of an FGD or an IDI. Ask respondents to either write a letter to a national ID registration office or civil registration facility, or (if an IDI) dictate what they would like to write. The aim of this letter-writing exercise is to allow participants to write in their own words their attitudes and experiences with the ID or civil registration facility in their area. Respondents could write about issues such as:

- What do you think of the institution?
- What do you think it has achieved for you as a citizen?
- How would you like it to improve—give three specific examples of what the institution could do to serve you better?

Allow respondents freedom to add other information as they wish.

**Collages**

This exercise can be included in FGDs with educated participants. Before the FGD, the moderator and notetaker should gather newspapers from the past 1–2 weeks. At an appropriate point in the FGD, ask respondents to cut out words or pictures from the newspapers that reflect their experiences and perceptions about the ID or civil registration facility in their area. This could include any challenges, opportunities, barriers, usefulness, or lack thereof, etc. In a large group, the respondents can be divided into smaller groups. The collage(s) can then be used to generate a discussion about the barriers and facilitators to using the ID system and centers in place.

**Diaries and photo journals**

Engaging participants in writing diaries or creating photo journals is a much more time-intensive process than all the others listed above to get information on transactions or events concerning identification. To our knowledge, they have not been used in qualitative ID research so far but are a potential research method with educated participants if there is enough funding and time, such as for longitudinal research, and if the study investigators deem that the time investment will not be overly burdensome for participants. An example of diaries and photo journals applicable to ID research is from a project named “Portfolios of the Poor” which followed 250 families in India, Bangladesh, and South Africa every two weeks over a two-year period, reporting on every detail of every financial transaction in that fortnight (http://www.portfoliosofthepoor.com/).
8. ORGANIZING DATA COLLECTION

Packet to collect all documentation related to each data collection exercise

Sample Envelope Label: It is recommended that the data collection team have a large, sturdy envelope or packet for each data collection exercise (e.g., one FGD or one IDI or one journey map) in which all handwritten data and audio and video devices used in that exercise will be collected and assembled before that exercise is fielded. The supervisor would then collect the envelope with written notes and recordings at the end of that exercise or day. This way the research team can make sure that all documentation and recordings related to each data collection exercise are all in one place. At the end of the day, one packet for each data collection exercise will be handed over to the field coordinator. Below is an example of the kind of label that should be used for each packet, and that can be used to cross-check the contents of the packet.

| DATE OF THE DISCUSSION: __________________________________________ |
| LOCATION (state, region, etc.): ___________________________________ |
| TOWN/VILLAGE/WARD: ____________________________________________ |
| NOTETAKER’S NAME: _____________________________________________ |
| MODERATOR’S NAME: _____________________________________________ |

CONTENTS’ CHECKLIST:

- Checklist Form
- Signed Informed Consent Form for each discussion participant
- Labelled moderator’s notes (if any)
- Labelled, notetaker’s handwritten field notes including information about participant characteristics
- Labelled charts, etc., used in the discussion (if any)
- Audiotapes and/or videotapes used during the session (if relevant)
- Completed Audio Tracking Log
- Printed copy of Completed Expanded Field Note & Debrief Form
- Printed copy of completed Local Language Transcript of data collection, if any (labelled with name of language)
- Printed copy of Completed English Translation, if any
Checklist

There must be a checklist as a reminder of what needs to be organized before, during, and after each discussion to make sure that the team has everything they need before they set off, and everyone knows what they have to do after the discussion. If the packet described above is used, the checklist can be inserted into each packet used for each data collection exercise. A sample checklist follows, but each study needs to modify it to suit their structure and needs.

**SAMPLE CHECKLIST FORM**

**Arrangements to make**—Field coordinator should arrange

- Transportation of field staff to discussion site
  - Leave for site at: _______ Return to office at: _______
- Private and quiet setting in which to have the discussion
- Transportation of participants to discussion site (if needed)
- Refreshments (if needed)
- Work with notetaker(s) to coordinate timing for debrief discussion
  - Debrief session at: _______

**What to take to the focus group discussion site**—Field coordinator should assemble

**Materials**

- 1 set of the audio equipment (recording device, microphone) and/or 1 set of video equipment as relevant (recording device, microphone)
- Spare batteries
- Field notebook and pens for moderator and notetaker
- Pens for participants for problem ranking exercise
- Any materials to be used for participatory exercises such as flip chart, ID cards, etc.
- Camera (if needed)
- Refreshments (if needed)

*(If conducting an FGD or IDI): An FGD/IDI packet (see Appendix J1)*

- 1 labelled, large, heavy-duty envelope
- 1 copy of this checklist
- 2 copies of discussion guide in local language (1 for moderator, 1 for notetaker)
- 2 copies of discussion guide in English if needed, (1 for moderator, 1 for notetaker)
- ___ copies of informed consent (depending on size of group, if FGD)
- 1 copy of audio/video file management log form
- Participant reimbursement (if applicable)

**What to place in the packet’s envelope after the FGD**—*Typically the notetaker should gather*

- Signed informed consent form(s)
8. Organizing Data Collection

**PART III. SAMPLE TOOLS AND FORMS**

- Labelled materials used in the discussion (chart sheets, papers, etc.)
- Labelled and completed audio/video file management log form
- Labelled handwritten field notes from notetaker
- Labelled handwritten field notes from moderator (if any)
- Labelled discussion guide (if any notes were made on the guide)

(If conducting an FGD or IDI): **What to deliver after the FGD/IDI**—Typically the notetaker should complete and deliver to the field coordinator

- Audio/video recording device containing recording(s) of the FGD/IDI or other data collection exercise, as relevant
- Typed field notes, including typed participant demographics information (if relevant)

(If conducting an FGD or IDI): **What to produce after the FGD/IDI**—As assigned by the field coordinator

- Local Language Transcript of the FGD/IDI
- English Translated Transcript of the FGD/IDI

### Audio/video recording device form

The audio and/or video recording device used in an FGD should be returned to the field coordinator following an FGD, so that audio and video recordings of the FGD can be immediately retrieved from the device and saved in a central file management system. To ensure that the field coordinator and research team communicate clearly about which audio/video files correspond to which FGD, a form such as the example below can be used to keep track of which audio/video file name is associated with which data collection exercise. The study coordinator should maintain this form. All file names should follow the study’s naming conventions, as discussed in Chapter 7 and illustrated in Table 12.

**SAMPLE AUDIO FILE MANAGEMENT LOG**

<table>
<thead>
<tr>
<th>Folder (Circle one)</th>
<th>File name (on audio/video recorder)</th>
<th>File name (using study naming conventions)</th>
<th>Recording length</th>
</tr>
</thead>
<tbody>
<tr>
<td>Folder A</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Folder B</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Folder C</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Folder D</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Folder E</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Date of discussion: ________________________________

Start time of discussion: ________________________________

End time of discussion: ________________________________

Location (state, region, etc.): ________________________________

Town/village/ward: ________________________________
Field notes forms

This section may not apply to all qualitative data collection methods but applies to those that require taking notes during data collection, and expanding those notes after data collection. For such methods, like FGDs, IDIs, direct observation, or even journey maps, the person(s) taking notes is typically trained to note key points and take somewhat abbreviated notes during data collection, as it can be difficult—if not impossible—to take complete, verbatim notes while collecting data or having a discussion. Each notetaker can use their own structure to record their abbreviated notes and should in fact use whichever methods works for him/her. Below is one example of a structure used to take abbreviated notes in a qualitative study in Kenya.

**SAMPLE FIELD NOTE**

Date of discussion: _______________________________
Start time of discussion: _______________________________
Location (state, region, etc.): _______________________________
Town/village/ward: _______________________________
Notetaker’s name: _______________________________
Moderator’s name: _______________________________

<table>
<thead>
<tr>
<th>Respondent number</th>
<th>Age (in years)</th>
<th>Sex (note down, do not ask)</th>
<th>Number of living children</th>
<th>Main occupation (what kind of work is most of the day spent on)</th>
<th>Any other information deemed relevant for the study</th>
</tr>
</thead>
<tbody>
<tr>
<td>P1.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P2.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P3.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P4.</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>P5.</td>
<td></td>
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</tr>
<tr>
<td>P6.</td>
<td></td>
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<tr>
<td>P7.</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>P8.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P9.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
8. Organizing Data Collection

Question
(Here the notetaker can summarize each question in the guide for this exercise; one question per row)

<table>
<thead>
<tr>
<th>Responses</th>
<th>Notetaker’s observations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Other Observations: (Here the notetaker would note any general observations about that particular data collection exercise, including outstanding findings, any problems, etc.)

As soon as is feasible at the end of each data collection exercise, each notetaker has to expand their field notes more fully, using a similarly structured format that will provide a single structured, systematic way for all notetakers to expand field notes. An example of structuring expanded field notes follows.

**EXPANDED FIELD NOTES STRUCTURE**

<table>
<thead>
<tr>
<th>Notetaker’s name:</th>
<th>Moderator’s name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other staff present:</td>
<td></td>
</tr>
<tr>
<td>Region:</td>
<td>State name:</td>
</tr>
<tr>
<td>Village/town/ward:</td>
<td></td>
</tr>
<tr>
<td>Date of discussion:</td>
<td></td>
</tr>
<tr>
<td>Start time:</td>
<td>AM  PM  (circle one)</td>
</tr>
<tr>
<td>End time:</td>
<td></td>
</tr>
</tbody>
</table>

(In case of FGDs) Include the table of demographics used in the Sample Field Note (see example above), and use the serial numbers in the table to refer to comments made by participants in the remainder of this field note. Serial number 1 should be referred to as P1 for Participant 1, serial number 2 as P2, etc. Do not record any participant names or use any names in your field note.

Sample Expanded Field Notes Form

Discussion highlights for each part of the FGD:

**SAMPLE EXPANDED FIELD NOTES FORM**

Discussion highlights for each part of the FGD:

<table>
<thead>
<tr>
<th>Topic</th>
<th>Participant responses</th>
<th>Notetaker’s comments/interpretations</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID card exercise</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sources of knowledge of IDs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Awareness of ID</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Form to conduct and organize daily debriefs

The firm’s study coordinator should lead debriefing sessions as soon after each data collection exercise is over as is logistically feasible. This is particularly critical for methods like FGDs, KIIs, or IDIs. Conducting the debrief on the same day as the data collection, after the notetaker has completed the expanded field note, works best (if it is possible) because it allows the team to add to and refine the recap of participant responses for each topic. A debriefing session would typically last for 15–30 minutes. The debrief should include information such as in the Debrief Form below; however, this information can be recorded as the study coordinator or researchers see fit. Below is just one example of how to organize debrief notes.

**SAMPLE DEBRIEF FORM**

Debrief topics: Content

- What new or surprising information did you learn from this discussion?

How were participants’ comments similar to what we have heard in past discussions?

- What important findings do we need more information about? How can we ask questions in the next discussion to clarify the information we have gathered? (Include any ideas about questions to add to the discussion guide.)

What unanswered questions do we have?

Debrief topics: Process

- Which questions, if any, made the participants uncomfortable? In what ways? How can we change the way we ask about this topic?

Which questions, if any, were difficult for the participants to understand? How can we change the way we ask about this topic?

Other forms to organize and manage logistics and data

Two other types of forms can be useful to organize and manage logistics and data collected. These forms do not need to go in the packet described in Appendix J; rather these (or any amended version of these) illustrate ways that the field supervisor can systematically manage logistics, and track data as it comes in.

1. **Field plan:** A field plan, as shown below, is a detailed schedule for a particular day and should be prepared the previous evening. It can be an informal document or conversation that should be discussed with the field team prior to each day’s data collection exercise.

2. **Data management tracking form:** Since a data collection exercise may have multiple pieces of data being produced or processed at any one time, the study coordinator will need to have some systematic way to track who is doing what task and what data have been produced at any given time. A Data Management Tracking Sheet, like the one below, can help keep track of who is working on what aspect of data management (e.g., data collection, transcribing,
translation, etc.) for each data collection exercise. The study coordinator can update this sheet as necessary. Ideally, it should be computerized so that it can be easily updated and shared as necessary.

Below are examples of how a field plan and a data management tracking form can be structured.

**SAMPLE FIELD PLAN**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time</th>
<th>Place</th>
<th>Person responsible</th>
<th>Materials needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collect all materials</td>
<td>7:00 am</td>
<td>Firm’s office</td>
<td>NT</td>
<td>Look through checklist</td>
</tr>
<tr>
<td>Leave for (location)</td>
<td>7:30 am</td>
<td>From firm’s office</td>
<td>NT</td>
<td>Packet envelope; other materials in checklist</td>
</tr>
<tr>
<td>Discussion</td>
<td>9:00 am</td>
<td>Where</td>
<td>Mod &amp; NT</td>
<td>Same as above</td>
</tr>
<tr>
<td>Return to office/hotel</td>
<td>12:00</td>
<td>Office/hotel</td>
<td>NT</td>
<td>—</td>
</tr>
<tr>
<td>Lunch break</td>
<td>1:00–2:00</td>
<td>Office/hotel</td>
<td>Field coordinator</td>
<td>—</td>
</tr>
<tr>
<td>Expand field notes</td>
<td>2:00–4:00</td>
<td>Office/hotel</td>
<td>NT</td>
<td>Field notes; guide; expanded notes &amp; debrief form; paper and pen</td>
</tr>
<tr>
<td>Debrief session</td>
<td>5:00</td>
<td>Office/hotel</td>
<td>Field coordinator</td>
<td>NT and moderator, with expanded notes entered into expanded notes form, field notes, data collection instrument, paper, pen</td>
</tr>
<tr>
<td>Test audio and/or video equipment</td>
<td>7:00</td>
<td>Office/hotel</td>
<td>NT and any IT person</td>
<td>Audio/video equipment</td>
</tr>
<tr>
<td>Make next day’s field plan</td>
<td>7:30</td>
<td>Office/hotel</td>
<td>Field coordinator, mod, NT</td>
<td>Field plan form, paper, pen</td>
</tr>
</tbody>
</table>
## SAMPLE DATA MANAGEMENT TRACKING SHEET

<table>
<thead>
<tr>
<th>Discussion name</th>
<th>Date</th>
<th>Moderator name</th>
<th>Note-taker name</th>
<th>Transcriber name</th>
<th>Date transcript received</th>
<th>Translator name</th>
<th>Date translation received</th>
</tr>
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<tbody>
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<td></td>
</tr>
</tbody>
</table>
References marked with an asterisk (*) were used heavily in the preparation of this Toolkit.


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7 This is a detailed qualitative methods guide, with a useful section on ethics.
8 The methods piece https://www.identitiesproject.com/report/appendix-1/ and reflections on conducting the research https://www.identitiesproject.com/report/appendix-2/ are useful on the challenges of conducting qualitative research in ID.
9 This reference is especially useful on how to elicit discussion from quieter respondents in focus groups.
10 A thorough step-by-step guide from designing a research question to analyzing data.


Pande, Rohini Prabha, and Radha Rajan. 2014. “Qualitative data collection manual for Component III of project ‘A Price too High to Bear’.” ICRW, Family Care International and the Centers for Disease Control.


11 Even though this is an older book, it contains good examples on how to ask open-ended questions, and recognizing and correct researcher bias.

12 Goes into detail on the logic of coding interviews and focus groups, and weights the pros and cons of different software.

