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48717

THIRD INTERIM REPORT

December 6, 1981 to November 5, 1982

MATCHING GRANT NO. PDC-0150-G-00-1020-00

TO

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

BUREAU FOR FOOD FOR PEACE AND VOLUNTARY ASSISTANCE

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION

U.S. Office: 1775 Broadway, New York, N.Y. 10019

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November 1982

MEMORANDUM TO FILES

December 1, 1982

FROM: FVA/PVC, Ronald Ullrich *RUU*

SUBJECT: IIRR - 2nd Annual Review of MG.

Subject review was held November 19 in the 2nd floor conference room of SA-8. Juan Flavier, Ping Chin, and Ed Reed represented IIRR with USAID attendance consisting of Austin Heyman, Steve Bergen, Ross Bigelow, Regina Coleman and Ron Ullrich.

The International Leadership Training (ILT) Program of IIRR was discussed at length. The short training seminars held for WVRO and Outreach International were paid for entirely by these organizations. For IIRR's regular ILT courses, IIRR calculates that the tuition fees cover most of the direct expenses for the period of the training.

During 1983, IIRR will sponsor two ILT courses. The second, to be held in September for Senior Managers, represents an upgrading of the audience they are trying to reach.

It was agreed that PVC should play a role in explaining to Missions the nature of IIRR, the MG assistance being provided to them and the training services available. A cable will be sent to the Missions by the end of December.

The International Extension (IE) program provides assistance to their affiliated and non-affiliated movements (NRRM's) in the Philippines, Thailand, India, Sri Lanka, Ghana, Colombia, and Guatemala. IIRR acknowledged that they have not provided the level of assistance to the NRRM's which they anticipated. However, following substantial internal debate, they have come to two conclusions:

- (1) the network of NRRM's will not be expanded beyond those listed above, with the possible exception of Nigeria;
- (2) their assistance to the NRRM's will be on an augmented, more systematic basis. Towards this end, a country desk officer will be assigned to each NRRM. This should facilitate achievement of the reasonable program of assistance planned with the NRRM's during 1983.

The different development studies which IIRR has on-going in its "social laboratory" (80 villages in two municipalities) were discussed generally. IIRR was commended on the thoroughness of

their different evaluation designs and on their project development and evaluation manual.

On the financial side, IIRR has budgeted \$1.8 million for 1983. Of this amount, the MG accounts for \$580,000 or 30% of the total.

Based on the review, together with the annual report and extensive supporting documentation, it was agreed that the funding for the third year of the MG should be approved. The second year expires December 5, 1982.

The Future of the AID/IIRR Relationship: There was a general discussion of the uniqueness of the IIRR program; i.e., a Philippine development program, an international training institution in the Philippines and a global network of affiliated but independent movements. The MG, which supports all three of these programming elements, explicitly accepted the argument that the development activities in the Philippines were essential to the ILT and IE components. This basic premise will need to be re-examined in 1983 in reviewing the new MG proposal from IIRR which will be forthcoming next year.

One option available open to PVC would be to limit consideration of future assistance to IIRR to their ILT and IE activities. The appropriate funding instrument for a continued PVC/IIRR relationship poses a separate but related issue. The possibility of a cooperative agreement in lieu of a MG might be entertained, particularly if it can be demonstrated that the ILT program can be a more effective intermediary in supporting USAID Missions in Asia and elsewhere.

On a broader scale, the uniqueness of IIRR's organization and geographical location will again be a factor to consider in determining PVC's future relationship with them. While a registered U.S. PVO, their operations center is located in the Philippines and the President of IIRR, a Philippine citizen, directs the Institute from there. The four person U.S. office in New York is run by the Vice-President and is primarily directed to fund-raising and governmental and non-governmental relations in the U.S. and Canada.

IIRR does not have a large constituency base in the United States, although several U.S. corporations and citizens are regular contributors and they have received support from several foundations. They have also had considerable success in attracting funds from private sources in several European countries.

FVA/PVC: RULLRICH: ead: 11/29/82: X58420: D 6/15

## C O N T E N T S

	<u>page</u>
OVERVIEW	1
INTERNATIONAL LEADERSHIP TRAINING (ILT)	3
DEVELOPMENT STUDIES UNDERTAKE IN IIRR'S SOCIAL LABORATORY	10
INTERNATIONAL EXTENSION (IE)	20
SUMMARY	26
APPENDICES	
A-1	Summary Report on Special Seminar on Rural Reconstruction for Associates of Outreach International, January 17-20, 1982
A-2	16th International Leadership Training: Special Seminar on Rural Reconstruction for Field Staff of the Agricultural Education Outreach Project, April 26-June 5, 1982
A-3	Letter of October 15, 1982, from Bruce Davis, Associate Training Director of World Vision International, regarding IIRR's seminar for their field staff.
A-4	Weekly Evaluation for 17th ILT
A-5	Summative Evaluation of 17th ILT
A-6	International Training in Rural Reconstruction: Description of Courses - 1983
B-1	List of People's Economic Organizations and Groups and Statement of Capital Contributions, both as of September 30, 1982
B-2	CAFFMACO Inauguration Publication
B-3	CAFFMACO Membership Questionnaire
B-4	Memos dated October 19 and 25 on Assessment and Documentation of IIRR's Experiences with People's Economic Organizations
B-5	Assessment of Rural Women's Project - Final Questionnaire

Contents (Cont'd)

Appendices (Cont'd)

- B-6 Rural Women Project - Evaluation Report
- B-7 The Integrated Health (NHO) Project - End of Project Evaluation and NHO Upland Rice Project Resurvey
- B-8 Typology of Farm Population in Rural Cavite
- B-9 People's Literature - Sample Publications
- B-10 Developing a People's Literature
- B-11 Project Planning and Evaluation, Module Handout for ILT
- B-12 Rural Reconstruction Review, 1982
- C-1 Report on Thailand Rural Reconstruction Movement
- C-2 Evaluation on Guatemalan Rural Reconstruction Movement prepared by Planning Assistance
- C-3 Guidelines in Conducting Assessment of NRRMs
- D-1 1983 Program Plans

## THIRD INTERIM REPORT

December 6, 1981 to November 5, 1982

### OVERVIEW

The purpose of the Matching Grant from USAID is to enhance IIRR's capability in international sharing of rural reconstruction through its training, improved field activities, and increased technical assistance to the national rural reconstruction movements.

Towards this goal, IIRR was able to conduct four international training sessions in the second year of the grant for a total of 141 persons. These included a seven-week course conducted at the request of the Agricultural Education Outreach Project of the Philippines, two workshops for U.S. church-related private agencies, and a seven-and-a-half week course for development professionals from 12 third world countries that span Asia, Latin America and Africa.

The development studies it pursued in its social laboratory in Cavite, which constitute a vital part of IIRR's international sharing, focussed more sharply during the report year on working with the lower economic segment of the rural population, and on management training and organizational development of people's economic institutions. Systematic evaluations were planned and carried out for each of these studies, though in some cases the results are expected to be analyzed and interpreted in the coming months.

In international extension, besides responding to the requests for training from the national movements for five of their staff

members, IIRR has been able to develop a closer working relationship with the Philippine Rural Reconstruction Movement and provided it throughout the year with technical consultation. Staff visits planned for the summer of 1982 to several other national movements had to be postponed to November and December because of the annual trustees' meeting that was held in the Philippines in October, instead of December as was done in prior years. A number of other activities were also carried out in accordance with the 1981 Program Plan to strengthen the NRRM network.

One of the most exciting events during the year was the holding of the trustees' meeting for the first time in its history in the Philippines, the site of IIRR's operations. The trustees arrived in time to attend the impressive closing ceremony of the 17th International Leadership Training and meet with the international participants. They visited several field projects to obtain a first-hand impression. Most of all they were able to have ample opportunity to interact with both the senior and junior staff members during formal and informal gatherings.

The following is a brief summary of the progress made during the reporting year. Attached to the report are numerous appendices to give greater details to some of the activities undertaken during this period. Included in the appendices is also a copy of the program plan for 1983, as presented to the Board.

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INTERNATIONAL LEADERSHIP TRAINING (ILT)

During 1982, we conducted four major international training courses as follows:

Outreach International Seminar. For the second consecutive year IIRR collaborated with Outreach International in providing development education for the Missouri-based organization's staff and associates. Thirty-five of their staff, friends and major donors spent four days from January 17 to 20 with IIRR for an intensive seminar on rural reconstruction as part of a one-week familiarization tour of the Philippines. During that week they also visited OI's project in Isabela and paid a courtesy call with President Marcos.

While at IIRR, the participants engaged in workshops to refine their ideas about development issues and interacted with villagers in the IIRR Social Laboratory of village communities. The objectives of the seminar were: to provide members of OI an opportunity to analyze the real rural situation in developing countries; to share with them aspect of IIRR's work as one of the institutions concerned in the rural problems; and to provide a forum for them to discuss and plan together future action that OI can take in rural development.

A more detailed report of the seminar and an evaluation is attached (Appendix A-1).

16th International Leadership Training: Special Seminar on Rural Reconstruction for Field Staff of the Agricultural Education Outreach Project. At the request of the Philippine Ministry of Education

and Culture and USAID Mission, we also conducted during the reporting period a seven-week training course for 31 members of seven Philippine state colleges and universities under a program known as Agricultural Education Outreach Project (AEOP).

The three-year AEOP program was started by the Ministry of Education in 1980 with the financial assistance of AID. It was to encourage agricultural colleges and universities of the Philippines to plan and implement a program that will aid more effectively the rural people in the communities where these institutions are based. An evaluation, undertaken last year with a member of IIRR on the three-person evaluation team, indicated that the performance of the seven institutions was uneven and their perceptions of what development entails differed. The report recommended that the AEOP staffs, with assistance from their central office and USAID, initiate programs of staff development addressed to specific weaknesses in student internship and college outreach, and that each school develop a clear, coordinated, integrated, phased strategy for village development. It was following the recommendation of the report that the training was requested. Participants came from the following seven institutions:

Aklan Agricultural College, Banga, Aklan, Visayas

Central Mindanao University, Mindanao, Southern  
Philippines

Don Severino Agricultural College, Indang, Cavite

Palawan National Agricultural College, Palawan  
Island

Pampanga Agricultural College Pampanga, Central  
Luzon

Camarines Sur Agricultural College, Camarines Sur,  
Southern Philippines

Western Luzon Agricultural College, Zambales  
representing the AEOP Project Management Office

Most of the participants were extension instructors, a few were extension officers, and the remaining were Project Managers and Coordinators in the Project Management Office.

Planning for the seminar was conducted by IIRR jointly with representatives of the AEOP Project Management Office, the United States Agency for International Development (which sponsored the seminar), and several of the participating colleges. In addition, prior to the training, IIRR staff made site visits to Zambales, Bicol, Aklan, and Pampanga to discuss training needs with prospective participants, and collaborated actively with staff of the Don Severino Agricultural College in nearby Indang, Cavite, in the planning and implementation of the field practicum, which was conducted in the barrios surrounding that school.

In the evaluation of the IIRR seven-week course the subjects the participants found most useful were those dealing with rural reconstruction principles, village-level development, people's participation, and village internship. A recent visit of an IIRR staff member to Aklan Agricultural College found two participants already incorporating the People's School model of IIRR in their plans. They spoke appreciatively of the IIRR training and IIRR's publication RURAL RECONSTRUCTION REVIEW which has been useful and stimulating.

What is of special significance about the training is that these are the Philippine institutions preparing men and women to work

for the uplift of their rural people. If IIRR could continue to be of assistance in the improvement and revision of their curriculum to be more relevant and effective in reaching the people, we would be making a vital contribution to the Philippine nation.

Attached is the final report of the training, including the course description, list of participants, and final evaluation documentation (Appendix A-2).

World Vision Seminar. The close working relationship between World Vision International and IIRR was maintained and pursued in 1982. Between August 23 and August 28, 1982, IIRR facilitated a one-week training in Rural Reconstruction for 45 participants of World Vision, as part of their three-week "Field Executive Leadership Enhancement Conference." The other two weeks of this conference were facilitated by a management consultancy firm and by World Vision training staff.

The IIRR training segment was held at a nearby country club since our own facilities were being used by participants to the 17th IIT. The curriculum included three modules, "Rural Development Issues and Strategies", "History and Philosophy of Rural Reconstruction" and the "People's School System." All sessions were related to the needs of World Vision and assisted them in clarifying the directions of their future development programs.

Several participants were attending an IIRR training course for the second time and remarked upon the fact that there were many new things to learn. A detailed report is being prepared for World Vision and will be available around the end of November. Attached is a copy of letter from Bruce Davis, Associate Training Director of WVI, expressing their appreciation (Appendix A-3).

17th International Leadership Training. This seven and a half week course was completed on October 16, 1982, and the detailed report is still being compiled.

A total of 30 participants from 12 countries attended the course representing 19 government and private agencies as follows:

Government Agencies

Bangladesh  
Integrated Rural Development Programme  
Food and Agricultural Division  
USAID  
Rural Development Academy  
Indonesia  
Provincial Development Planning Board (BAPPEDA)  
Directorate General for Manpower Development and Utilization  
Nigeria  
Ministry of Rural Development and Cooperative  
Philippines  
Municipality of T'boli, South Cotabato  
Office of Civil Defense, Cagayan, Tuguegarao

Private Agencies

Bangladesh  
Village Education Resource Center  
Colombia Rural Reconstruction Movement  
Guatemala Rural Reconstruction Movement  
Ghana Rural Reconstruction Movement  
Hong Kong  
Methodist Church Epworth Village Community Centre  
India  
Christian Children's Fund  
Farm Science Centre  
Nepal  
United Mission to Nepal  
Papua New Guinea  
Christian Leaders Training College  
Philippines  
Philippine Council of Evangelical Churches  
Thailand  
Redd Barna

It would be of interest to point out that several agencies have been sending participants to IIRR's ILT before. These include: United Mission of Nepal, Philippine Council of Evangelical Churches, Christian Children's Fund of India, and Ministry of Rural Development and Cooperatives of Nigeria. It was the first time that the Directorate-General of Manpower Development and Utilization and the Provincial Development Planning Board of Indonesia sent a total of seven participants to the training.

Of the 30 participants, 17 paid for their own training and room and board expenses, and five paid partially for the training. IIRR provided full fellowship awards to nine and partial awards for five.

Curriculum included the following modules: Rural Development Issues and Strategies, Rural Reconstruction Programs, History and Philosophy of Rural Reconstruction, Implementing Rural Reconstruction, Social Knowhow, Village Internship, Project Planning and Evaluation, Reentry Planning, and Alumni Affairs.

Assessment of the training was made weekly. In addition, a summative evaluation was conducted at the conclusion of the course (Appendices A-4 and A-5). General assessment was positive, and six participants requested to stay for an additional week.

Other aspects of International Training. IIRR is moving closer and closer to a modular training format. The advantage is that in the future any module can be offered as an independent unit, or as a component of an integral whole. At present, three international training modules have been produced in manual format: People's School System, Training as a Strategy for Technology Transfer, and Project Planning and Evaluation. A series of video tapes has been produced of a fourth module, History and Philosophy of Rural Reconstruction.

In response to the training needs of several agencies, we have identified a new training course for rural development managers for implementation in 1983, in addition to our regular course. Attached is our recruitment package for the two courses scheduled for

1983 (Appendix A-6).

For post-training evaluation, we are designing a uniformed survey that can be used by any staff members travelling in countries where we have had participants. To follow up, the Director of International Training plans to visit Thailand, Malaysia and Indonesia both to follow up former participants and to interview prospective candidates for the courses scheduled for 1983. Several other staff members will also be visiting the NRRMs and will take the opportunity to assist with the post-training evaluation of former participants in the region. This will be a first step to evaluate the impact of IIRR's international training. Thus far, 101 agencies have sent participants to IIRR's Training, 46 of which were government agencies, and 55 private agencies.

DEVELOPMENT STUDIES UNDERTAKEN IN IIRR'S SOCIAL LABORATORY

A unique feature of IIRR's international training is that its curriculum draws upon the experience of the development studies that IIRR undertakes in its social laboratory of village communities in the province of Cavite. Lessons learned and insights gained from these field experience are incorporated into the content of the training.

During the year under report, IIRR has pursued its development studies with a sharper focus on reaching the poorest households and developing stronger people-controlled organizations. It also follows a general approach of integrating technical content, such as livelihood, health and nutrition, literacy education, cultural arts, etc. in its organizational strategy. Village people are organized around subject areas which meet their articulated needs. Also while a particular village-level group or an area-wide cooperative may initially be organized around a specific project, in the long run the objective is to raise the awareness among the people of other development problems and enable them to effectively address these problems.

The following will give a brief report of the studies that we have been pursuing under the AID Matching Grant.

1. Management and Financing of People's Organizations

As mentioned in our last interim report (July 1, 1981 to December 5, 1981), the three formerly separate studies of Village

Economic Institutions Development, Rural Women, and Health through Non-Health Organizations have been combined and integrated under a larger program, Management and Financing of People's Organizations.

There are now 15 people's economic organizations under this Village Economic Institutions Development Project, out of which 11 are village-level small farmers mutual aid groups, three are municipality-level cooperative associations, and the largest is the provincial-level Cavite Farmers' Feedmilling and Marketing Cooperative (CAFFMACO). Their total membership is about 900 (Appendix B-1).

While all of these organizations have availed of credit from IIRR's revolving project loan fund, the aim of IIRR is that by training them in capital formation, in credit handling and in good business practices, they will in time be able to obtain credit directly from either government financing agencies or rural banks.

The Navarro Marketing Association of 46 members is an example. Established in 1980, it has received three loans from IIRR during the last two years for agricultural inputs. Each loan was repaid. Last July, with the help of IIRR it obtained a loan of P51,960 from the Philippine Government's Cooperative Development Loan Fund to purchase two rice thrashers. This association is serving now as a model and stimulation to several other village groups. At the other end, CAFFMACO, which started with 44 members in 1976, has now over 200 members, and a sale estimated at P3,000,000 for 1982. In May this year, through a capital loan of P654,000 from Germany and a working capital loan of P288,500, it moved out of its rented facilities to a

feedmill of its own, a reflection of its economic viability and potential. Attached is a copy of their publication prepared on the inauguration of its new feedmill on May 22, 1982, (Appendix B-2).

In the first semester of 1982, all members of CAFFMACO were interviewed to ascertain what additional training and research will be needed so that the cooperative can be of greater service to its members. Results are being analyzed and a case study of the organization is also being prepared. The questionnaire employed is attached (Appendix B-3). In the meantime, we are also planning an evaluation of the village-level mutual aid groups. The evaluation will look at three such groups, representing the very successful, moderately successful and problematic ones, in order to draw out lessons for improving the strategy of building up people's economic institutions. Attached are two memos including proposed evaluation criteria and related measurable indicators (Appendix B-4). While some data are already available, additional information will need to be collected. We anticipate it will take four months to complete this assessment.

As to the Rural Women Project, after a self-evaluation by the groups which indicated some problems because of the small scale of the groups, a study was conducted in early 1982, using a survey method to gather more generalizable information on actual practices and opinions of members. Both the questionnaire and the analysis are attached (Appendices B-5 and B-6).

17

Based on the findings of this evaluation, the past 11 months have been a period of consolidation, strengthening and expansion of scope for the women's groups. In the initial stage of this project, 22 separate small interest groups were formed by women to implement livelihood projects, using credit provided from an IIRR fund. Three of these groups, with a total membership of about 100, established small consumer cooperative stores in their villages. These have continued to operate and expand during 1982. In two other villages, eight small women's groups have merged to form two larger associations with about 20 members each. These two groups have received further training and are continuing projects in ornamental plants, piggery, bakery and potable water. Health and nutrition projects have also been initiated in these groups as part of the integration of health into people's organizations.

Some of the remaining eleven small groups in eight villages have come together to form a municipal-level credit cooperative to more efficiently meet their needs for financing projects and for other living expenses. While membership is only 28 at this time, more are expected to join as the cooperative shows viability. In 1982, additional training in management was also provided to the leaders and members of this cooperative.

With the Health through Non-Health Organizations, the first phase of the project was completed in mid-1982, in which improved health knowledge and practices were introduced into functioning rice farmers organizations. A major evaluation of this phase of the project

was conducted during the first part of the year. A project evaluation team, including field workers and researchers, used a process involving both re-survey of the program and control groups and self-evaluation by project participants. Attached is a brief description of the process and copies of the survey instrument (Appendix B-7). The results are currently being interpreted and will be available before the end of the year.

The project team is phasing out of the pilot groups with whom they have been working, and linking the groups with government rural health unit. The thrust is now being expanded to include all people's organizations established by IIRR and non-IIRR organizations in the project area. Activities have begun to motivate members of a number of economic and women's organization, using innovative stimuli including drama, visual aids and literature to undertake health and nutrition project.

## 2. Rural Structural Transformation and the Poor

This project is focusing specifically on the poorest rural groups in Cavite Province, especially those negatively affected by the rapid structural changes taking place because of the influx of industry, urbanization and land speculation. It is being implemented in four pilot communities with the objectives of learning from the poor themselves their situation and problems and also enabling poor groups to organize to address their problems with concerted action.

The project team has undertaken four sets of activities this year. The first was a series of in-house training programs for

the team members to have their skills in working with the poor. The second consisted of village immersion and data gathering to increase their understanding and appreciation of the situation of these communities; innovative participatory methodologies were used to gather information in depth. The third set of activities involved the initial steps of organizing interest groups of the poor to undertake action projects to deal with commonly identified needs. And the fourth is documentation and analysis of the experience, which has produced two documents so far: a typology of rural households in the program areas (Appendix B-8), and an assessment of community needs and problems.

This project is somewhat unique in that the research component is thoroughly integrated with the action component. One member of the team is a researcher and all team members write detailed field notes which are the basis of discussion at frequent staff meetings and the basis for more formal documentation. In addition, a preliminary evaluation of the strategy itself is planned for late 1982 or early 1983.

### 3. Education for Community Building

To support the field projects, educational activities have been carried out in three areas: training management and facilitation support, people's literature, and integrated cultural arts.

Under the first, support has been extended by the Institute's local training staff to the various field project teams in the development and implementation of seminars and training programs for village

people in such areas as management of people's economic organizations, fish farming, and capability-building for municipal officials. A total of seven such seminars and training programs have so far been conducted this year, involving 140 participants.

Under the second area, print materials for use of training village people and for new literates, known as People's Literature, have been prepared. These included health and nutrition materials, as well as advanced literacy materials covering such topics as courtship and marriage practices, family life and responsible parenthood. In addition, manuals on fish farming, first aid, and the production of an appropriate woodstove have been prepared. Examples of these are appended as well as a paper on the process through which these materials are prepared (Appendices B-9 and B-10).

Under the third area, assistance has been given to various field project teams in terms of the organization and training of village cultural arts groups and the production of plays to convey rural reconstruction messages. Members of the project teams have likewise been trained on how to produce and stage cultural presentations in the villages.

In addition, a radio listening group project, which sought to enhance the effectiveness of radio as an extension medium by organizing listening and interaction groups within existing people's organizations, was completed earlier this year. A terminal evaluation was conducted by the Radio Listenership project during the year. The analysis of the results will be completed before the end of the year.

A paragraph is included here on IIRR's major field program the People's School System for Transfer of Technology. This program is moving into Phase II. The People's School System has been operating in four municipalities of Cavite under the auspices of IIRR since 1976. The purpose of this second phase is to learn how the responsibility of its operation can be shifted from IIRR to the local governments. The plans call for intensive consultation with the municipal mayors and other members of the Municipal Development Council as well as all the national agencies working in the area. In two municipalities, the mayors have given total support and the People's School System is being incorporated into the municipal development plan. Two pilot villages, in each municipality, have been selected for initial testing of agency collaboration and some aspects of the People's School System, and village councils have also been consulted and brought in on the initiation of this program. Based on assessed needs, projects will be selected and plans drawn for implementation. IIRR will provide training for the trainers, who will be drawn from the national agencies.

During the year we also completed the documentation of the People's School System, a copy of which was sent to AID last October. It included the rationale behind the program, the evolvement of the program, the training of the Barangay Scholars and their performances, a cost-benefit analysis of one discipline, and an evaluation of the program as measured against its long and short range goals. We are editing this document to have it ready for publication in 1983. It

will be a major IIRR publication for sharing with the development community.

It might also be of interest to mention that the International Development Research Council of Canada has made a grant to IIRR to make a comparative study of the adaptations of the People's School program in five other areas of the Philippines by other government and private agencies. IIRR will also provide assistance to the agencies on evaluation and documentation.

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The Evaluation and Sharing Process: A systematic process has been developed for evaluating IIRR's field development studies. The specific evaluations mentioned above have followed this process. The Research Unit is responsible for coordinating all evaluations and ensuring that the major questions about the project are answered and that a participatory process is followed. This is done by designating a Project Evaluation Team for each field project, made up of one or more project team members and one or more Research Unit staff. This team plans the evaluation, selects indicators, coordinates data collection, interprets results, and produces the final documentation.

The entire process for project planning and evaluation currently used at IIRR has been documented and shared in the International Training. A copy of the curriculum for this module is in the appendices (Appendix B-11).

Monitoring of field project inputs and activities is done using the simple Project Activity Report, which is completed by staff after each field visit on major project activity. These reports are consolidated by project and by village on a quarterly basis and serve as the basis for dialogues with the staff on project progress. Quarterly Project Progress Reports are then written by each project leader.

Documentation for sharing IIRR's field development studies through training and extension is encouraged by holding an annual Mini-Symposium on Rural Reconstruction. Project teams prepare and present their findings in the forms of case studies and research reports. These are then further refined by the editorial staff to become part of our international publications program -- either as articles in the annual Rural Reconstruction Review, (Appendix B-12), or as Occasional Papers. The 1982 Mini-Symposium will be held on December 20 and 21 and preparation of papers is underway.

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INTERNATIONAL EXTENSION

In IIRR's Second Interim Report to AID (July 1 - December 5, 1981), one of the significant events highlighted was the First Conference of Executives of the National Rural Reconstruction Movements which was held in IIRR's center at Silang, Cavite, the Philippines, from September 27 to October 3, 1981. This conference brought together, for the first time in the history of the rural reconstruction movement, the leaders of the seven NRRMs (national rural reconstruction movements) which have been established between 1952 and 1979 in the Philippines, Guatemala, Colombia, Thailand, Ghana, SriLanka, and India.

Aside from providing these NRRM executives with the rare opportunity for a face-to-face sharing of their experiences in rural reconstruction, it also provided IIRR with the equally rare opportunity to consult all of the NRRMs at the same time on what they think the direction of IIRR's program of International Extension (IE) should be for the next several years. What came out of that consultation was a veritable flood of suggestions for strengthening the NRRMs, and for enhancing the collaboration between IIRR and these NRRMs, and among the NRRMs themselves. Some of these suggestions were mentioned in the Second Interim Report.

IIRR's 1982 Objectives for International Extension. On the basis of these suggestions, and IIRR's own long-term goals, the following objectives were laid down for the Institute's 1982 IE Program:

- 1 - Respond to at least 70% of the requests of the NRRMs for training and/or technical consultancy services.

- 2 - Establish a system for incorporating the experiences of other NRRMs in the curriculum of the International Leadership Training (in addition to those of PRRM which are now incorporated), and for inviting senior NRRM personnel to serve as facilitators in the training.
- 3 - Establish a system for involving the NRRMs in the selection of candidates to the International Leadership Training (ILT), in the follow-up of alumni of this training, and in the organization of country chapters of the ILT Alumni Association.
- 4 - Initiate a collaborative operational research project with at least one NRRM.
- 5 - Establish a system for strengthening the linkage and communication between IIRR and each NRRM.
- 6 - Initiate a regular information exchange program between IIRR and the NRRMs, and among the NRRMs.

In spite of constraints brought about by insufficient staff resources, a number of these objectives were accomplished or are expected to be accomplished within the year.

For the first objective, two significant achievements can be cited. The first is the attendance of five NRRM personnel in the 17th session of the International Leadership Training (ILT), held from August 25 to October 16, 1982. Two of these were from the Ghana Movement, two were from the Guatemalan Movement, and one was from the Colombian Movement. The attendance of the Colombian participant was especially significant because this Movement has not sent a candidate for training for quite a few years. We believe that it was the participation of one of their leaders in the NRRM Executives' Conference last year which prompted the Movement to send a candidate to this year's training session.

26

The other accomplishment under this objective was the provision of technical consultancy services to the Philippine Movement. IIRR's Director for International Extension and other senior staff members made several visits to the Movement's center in Nueva Ecija during the year to respond to various requests for consultancy services from the Movement's officers and staff. One significant outcome of these consultancy services was the establishment of a "Friends of PRRM Foundation," a private, non-stock and non-profit organization composed of about 300 former PRRM workers who banded together to assist the Movement in raising funds, as well as in generating new project ideas.

Two of IIRR's staffmembers also participated as facilitators in a training program conducted by the Movement for rural development workers of the government from seven provinces of three regions. Training covered local leadership, management effectiveness, non-formal education, program administration, etc. Assistance was also extended to the PRRM staff in conceptualizing new projects for implementation next year. An example of this is a proposed project to assist the Ministry of Health in evaluating its primary health care program, to which PRRM provided training services in the past.

A visit was also made by an IIRR senior staffmember to the Thailand Movement in July of the year. This visit, undertaken in conjunction with a consultancy engagement with Creative Associates, Inc., was intended primarily to up-date IIRR's information on the status of this Movement's program operations, management, and fund-

raising activities. The report on this visit is appended herewith (Appendix C-1).

In November of this year, five other NRRMs are scheduled to be visited by IIRR's senior staffmembers. The President of the Institute will visit the Ghana Rural Reconstruction Movement on his way to the U.S. to meet with AID. The main objective of his trip to Ghana will be to advise the Movement's trustees and officers on their fundraising activities. The Director for International Extension will visit the Guatemalan and Colombian Movements, both to assess their present situation and to assist in formulating project proposal for submission to donors. The Director for Research and a research specialist will visit the Indian and Sri Lankan Movements to assess their operations as well as to provide consultancy services on project monitoring, evaluation and documentation, (Guidelines to Follow in Conducting Assessment of NRRMs, Appendix C-2). They will also discuss the possibility of holding a joint Indian RRM-IIRR workshop for interested private and government agencies in the area.

We are also attaching portions of an evaluation (in Spanish) of the Guatemalan Rural Reconstruction Movement prepared by Planning Assistance, Inc., at the request of USAID/Guatemala which may be of interest to AID/Washington (Appendix C-3).

The second objective was not fully accomplished, mainly because most of the movements have not yet been able to adequately document their experiences, so these could not be systematically incorporated into the curriculum of the ILT. However, in the 17th ILT which was attended by personnel from three of the movements (Ghana,

23

Guatemala and Colombia), these movements personnel were requested to share with the other participants their own program experiences, thus lending an international perspective to the sharing of IIRR's own program experiences.

For the third objective, initiatives have been started in three of the movements (India, Thailand and Ghana) towards the organization of country chapters of the ILT Alumni Association. In each of these countries, personnel of the rural reconstruction movements who have themselves graduated from the ILT have been busy contacting other alumni, including non-NRRM personnel, to encourage them to join the country chapter of the ILT Alumni Association. In Thailand, plans are now being formulated not only for the organization of the ILT Alumni Association, but also for a joint TRRM-ILT Alumni Association training program for fieldworkers of various rural development organizations in the country.

The fourth objective has been accomplished with the initiation of a collaborative project between IIRR and PRRM to do a comparative study of the People's School Program in the Philippines. As mentioned earlier, this is an IIRR project funded partly by the International Development Research Centre (IDRC) of Canada. Aside from the comparative study itself, which involves five agencies, this project also aims to strengthen the research capability of each of the collaborating agencies; hence, it will also help to accomplish IIRR's objective of extending technical consultancy services to PRRM.

In addition to this project, another collaborative project in the area of health is being considered to be implemented next year

with two other movements, possibly the Indian and Ghanaian movements. This will be discussed with the two movements during the visits that will be undertaken in November.

For the fifth and sixth objectives, steps have also been taken towards the publication of an information exchange newsletter for the NRRMs. The first issue which is expected to come out either late this year or early next year will carry articles on the programs of the various movements, and will provide continuity to the dialogue among them that was started at the conference of executives last year.

\* \* \* \* \*

SUMMARY

In the two years of the Matching Grant, we were encouraged by the progress made towards the goal of international sharing of rural reconstruction. The number of international participants has been growing, and their caliber has risen steadily from year to year, demanding the best IIRR can give. Training curriculum and methodology has been upgraded to meet their needs. Links between the national movements and IIRR have also been strengthened, and various collaborative efforts are being explored and considered.

Increasingly the development communities recognize that IIRR has a unique contribution to make to third world countries. In addition to the direct contributions made to third world countries, IIRR has also contributed to the general pool of knowledge regarding rural reconstruction among U.S. PVO's. However, because of its limited staff and financial resources, IIRR is at a point where it can easily overextend itself. Unless it can substantially increase its resources, it will need to set some priority among its three major functions. The dilemma is which should be given top priority, especially because the strengths of IIRR's functions lie in their interlocking nature. In the coming year, both the trustees and the staff will be taking up the difficult issue of determining how IIRR can best fulfill its potentials while maintaining the quality of its program.

\* \* \* \* \*

November 1982

31

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
Silang, Cavite

M E M O :

T O : Dr. de Jesus, Dr. Ed Reed, Mr. Pernito, Atty. Claudio,  
Mr. Macapal, Mr. Arizala, Mr. Blancas

F R O M : Kamal Malhotra

R E : Assessment and Documentation of IIRR's Experiences  
with People's Economic Organizations

D A T E : October 25, 1982 .

In this memo I would like to present some important evaluation criteria (key evaluation questions) and related measurable indicators which may serve as food for thought and (hopefully!) inspire all of us to come out with modifications/improvements and additions to them.

<u>Evaluation Criteria</u> (Key Evaluation Question)	<u>Related Measurable Indicators</u>
1. Reason(s) for Formation of Economic Organization?	- is it a purely economic organization? - would it have formed without the credit "bait"? - what holds the members together?
2. Was the Planned Intervention Strategy Actually Followed?	- compare planned vs. actual process inputs - compare planned vs. actual content inputs - evaluation of monitoring process

3. Financial Self-Sufficiency  
i.e. Sources of Funds?
  - growth in income and savings of original members
  - growth in the farmer's own share of his capital investment
  - growth in capital base of the fund
  - no. of new members and their ability to contribute to the capital base from their savings (not through borrowing)
  - ratio of paid-up to subscribed capital
  - ability to meet loan repayment deadlines (by members to the association; by association to IIRR)
  - size of accounts receivable of the association; of IIRR
  - no. of defaulting members
  - extensions on loan repayments by association and by IIRR (frequency and length)
  - bad debt, if any
  - innovativeness in devising income-generating schemes for the fund and their disposal (e.g. service fees earned, interest income on re-lending)
  - ability to generate funds from sources other than IIRR (e.g. attempts to obtain subsidized public sector credit to expand their capital base)
  - no. of diversified loan sources; size(s) of different loans
  
4. Nature of Investment  
(Use of Funds?)
  - production-related or personal investment
  - productive or unproductive (e.g. investment in farm inputs vs. TV's)
  - investment in fixed assets, working capital or consumption
  - increase in capital investment on farm
  - relative production efficiency? i.e. has the farmer utilized his loan for an activity in which he has a comparative advantage?)
  
5. Management Skills and Abilities
  - presence of an accepted leadership
  - indication of a clearcut policy orientation/perspective on the part of the association

Evaluation Criteria  
(Key Evaluation Questions)

Related Measurable Indicators

- presence of future plans/goals and steps taken towards achieving them
  - participatory management
  - lack of divisiveness/ cliques or antagonistic sub-groups
  - ability/willingness to implement own policies (e.g. registration and attainment of legal status, formulation of by-laws)
  - ability to identify problems, offer solutions on their own and implement those solutions (is it a viable problem-solving group?)
  - efforts and ability to attract new members and criteria established for selection of such members
  - existence of a project evaluation system
  - collection of accounts receivable from members, existence of an evaluation system of members' loans, willingness and ability to punish defaulters
  - holding of regular meetings
  - evidenced administrative ability
  - proper bookkeeping, recording and documentation (e.g. minutes of meetings, etc.)
6. Gradual Decline in the Role of Outside Facilitator
- role of IIRR loan monitor
  - no of monthly visits of loan monitor and purpose of such visits
  - who calls meetings?
  - who establishes contact with outside agencies and how is such contact established?
7. Credibility of Association in Village, among Non-Members
- general interest in the association on the part of non-members
  - no. of new members
  - desire of non-members to become members
  - willingness of non-members to contribute to capital base of the association
8. Who is Benefited?
- who does the leadership of the association represent?
  - who do the members represent?

Evaluation Criteria  
(Key Evaluation Questions)

Related Measurable Indicators

- |  |  |
|--|--|
| 9. Outcomes of the Project                             | <ul style="list-style-type: none"><li>- monthly income of beneficiaries and its comparison with the appropriate "poverty line/index"</li><li>- who are the disadvantaged?</li><li>- who do the non-members represent?</li></ul>  |
| 10. Impact of Association in Non-Economic Areas/Fields | <ul style="list-style-type: none"><li>- compare plan with outcomes to distinguish (a) intended outcomes from (b) unintended outcomes.</li><li>- separate unintended outcomes into 'desirable' and 'undesirable' sub-groups and analyze them.</li><li>- growth of health-related activities</li><li>- growth of education-related activities</li><li>- involvement of women in association's activities</li><li>- others.</li></ul> |

Hope to see you all on Wednesday, October 27, 2:00 p.m.  
Many thanks!

KH/jvp

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
Silang, Cavite

M E M O

T O : PLFC - Dr. de Jesus, Mr. Pernito, Atty. Claudio, Mr. Macapal,  
Mr. Demonteverde (or his representative)  
Dr. Ed Reed  
Mr. Arizala  
Mr. Blancas

FROM : Kamal Malhotra

R E : Assessment and Documentation of IIRR's Experiences With  
Economic Organizations

DATE : October 19, 1982

Further to my memo of October 8, 1982 on the same subject I wish to outline a proposed implementation plan (including manpower resource utilization) for the above project. This project will serve as the first formal input to the broader project "Lessons from IIRR's Experience with Organizing the Rural Poor" summarized in the Research Unit's Program Plans for 1983.

Proposed Project Evaluation Team

The proposed IIRR Project Evaluation Team and the roles of team members are indicated below.

<u>Team Member</u>	<u>Role/Capacity</u>
Kamal Malhotra	Coordinator
Ed Macapal	Officer-In-Charge, SCRT Village facilitator, Kabangaan and Alingao
Lori Arizala	Village facilitator, Navarro
Eblas Blancas	Research Support

In addition, Dr. de Jesus and Dr. Ed Reed will be consulted from time to time, as appropriate. The people of the economic organizations and the barrios concerned will also be involved as far as possible.

Time Frame

It is expected that each case study will take one month to complete (including documentation).

The above includes a suggested project team, suggested manpower resource utilization and a suggested time frame. I would welcome any comments and suggestions for improvement that you may have. [All the proposed team members are already appraised of the project outline and its purpose.]

KM/jvp

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
Silang, Cavite

Rural Women's Project  
Evaluation Report\*

1. Introduction

For the past three years (1979-1981 inclusive) the Self-Government Group of the International Institute of Rural Reconstruction has been implementing a Rural Women's Project with funding from the Rockefeller Brothers Fund. The general object of this project, as stated in the approved proposal, was:

"to develop a pattern for harnessing rural women's potential for active participation in development through organized economic and social activities under trained indigenous leadership."

The original proposal included two types of evaluation; first, self-evaluation by participating women and communities involved, reported elsewhere and second, evaluation by IIRR which would be process-oriented and directly related to goals of IIRR's overall program, reported in the "Final Report on the Rural Women's Project Supported by the Rockefeller Brothers Fund" dated 12 January 1982.

This evaluation report is an addendum to the Final Report. It is meant to be a third-party type of evaluation. Although it was not designed and conducted by a third-party outside of IIRR, it was conducted by third-parties within IIRR who were not directly involved in the actual program. The purpose is really to supplement the first two types of evaluation and measure the impact of the program on the participants.

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\*By Thomas M. Olson, Ph.D., Director of Sectoral Operational Research, 15 March 1982.

## 2. Development of the Questionnaire

The development of the basic research instrument, the questionnaire, was a team effort which involved several steps. First, the Director of Research Support Services solicited possible research questions from several of the staff, including the Vice President of Operational Research, the Chairman of the Livelihood Group, the Chairman of Self-Government and the people in charge of the project. The Director of RSS then prepared a draft questionnaire for circulation to the same group. Revisions were made several times before the Director of Research Support Services approved the final questionnaire. It was then translated into Tagalog and pre-tested. The Director of RSS approved the final revised questionnaire.

## 3. Sample Selection

From a list of the total participants by project (piggery, ornamental plants and damayan store) the statistician in the Research Support Service Unit (RSS) selected a stratified random sample. Approximately one-third of the total population was selected for interview.

## 4. Enumeration

Enumerators from Research Support Services did the actual enumeration in December and January 1981-82. They asked the questions to the respondents and then recorded the answers. Each interview lasted about 30 minutes. After the interviews were completed, the enumerators prepared the summary tables in Tagalog. At this point, they only minimally "collapsed" the open-ended questions where the answers were very similar. These summaries were then translated into English and are available as annexes to this paper.

## 5. Analysis

The remainder of this paper is an analysis of the data which was collected and summarized in the summary sheets mentioned

above. The basic questions are, What does all this information mean? And how can we use it to improve our programs?

The types of questions asked and the responses do not lend themselves to statistical analysis -- nor were we really looking for statistical analysis beyond some simple means or modes. There was a tendency for the respondents to say what they thought we wanted to hear, the so-called "halo effect." To reduce this tendency and to try to reduce any other bias we asked many open-ended questions.

#### 5.1. General

All of the respondents in the three projects -- piggery, ornamental plants and damayan stores, were aware that their projects were assisted by IIRR. All of them could name the IIRR staff member or members most involved, and many of them identified more than one project or activity assisted by IIRR. This suggests a fairly high level of involvement by IIRR staff.

#### 5.2. Major Activities

The respondents also nearly uniformly identified the major activities of the projects, whether piggery, ornamental plants or damayan stores, as technical activities as opposed to organizational activities. In the piggery project, the major activities identified had to do with the care and feeding of pigs; with ornamental plants, it was care of the plants; with the damayan store, it was the buying and selling of merchandise. While we had hoped that more of the women interviewed would identify such organizational skills as project planning and implementation, meetings, management or problem-solving as major activities, we anticipated that they would not and so addressed other questions to the group process.

### 5.3. Reasons for Participating

Nearly all the respondents pointed to economic reasons for joining the projects; to increase income, to improve their livelihood or to borrow money. About one-third of the damayan store participants mentioned community and organizational progress, but generally with economic emphasis.

Even though the primary reason for joining the projects was economic, a significant proportion said that they were convinced or persuaded by others to join when asked how they found out about the project or who asked them to participate. This was especially true in the piggery project where 38% said they had been convinced by others. This indicates a lack of willingness or enthusiasm for the project, particularly at the beginning. When asked who asked them or convinced them, the majority named IIRR staff members. This shows a certain directiveness on the part of IIRR even though our approach attempts to be non-directive and participatory. This is very difficult to do in reality, but we are searching for alternative strategies which are more non-directive and participatory. One indicator of success in this regard is that nearly one third of the respondents (and 42% of the ornamental plants project participants) reported personal initiative in learning about the project and deciding to join. This indicates the type of self-confidence and self-reliance we are trying to promote.

### 5.4. Main Purpose or Objective

Nearly all the respondents identified the main purpose or objective of the project as economic, although some mentioned altruistic objectives like helping others or uniting the people. The vast majority also felt that the purpose or objectives had been achieved although over 1/3 of the piggery project respondents said no to this question. This also reflects the feelings of the project staff who said that the piggery project was least successful of the three.

### 5.5. Training

All of the piggery and ornamental plants project participants were supposed to have undergone special training for these projects but 4% of the respondents said they had not received such training. Either they forgot or they were missed by the training. Of these who said they had received training, two thirds of the ornamental plant participants said it was very helpful while nearly half of the piggery participants said it helped a lot. Less than 5% said it did not help. Again, the most important things they said they learned in the trainings were technical aspects of piggery and plant production. Only one respondent, representing about 2% of the piggery and ornamental plants participants, mentioned the value of organization.

### 5.6. Loans

All of the piggery and ornamental plants participants were supposed to have received a loan, but again 4% of the respondents said they had not received loans. The records show that they did receive loans, so these people either forgot or for some reason did not want to admit to receiving a loan. Perhaps they thought our enumerators were from the collection agency? All the respondents reported spending their loans as expected -- on technical inputs.

### 5.7. Group Process and Organization

All of the respondents were aware that they were part of a group but the responses to the questions on group process indicate that these were generally not strong, well-organized groups, although there were certainly exceptions. Many members could not recall when their group was formed and a few made mistakes in identifying their group leader. A more important indicator was the number of meetings the respondents said they attended. More than a third of all the respondents said they had not attended a meeting from January to October in 1981. Nearly 90% said they had attended less than five meetings in this time period, or less than one meeting every two months.

On the other hand, the majority of the piggery and plants respondents said their group did project planning and project evaluation. The majority of piggery respondents said they did cooperative buying of inputs and mentioned other organization projects. And about 42% of the piggery and plants respondents said the group was very helpful --"they couldn't have implemented the project without the group."

Another 42% said the group was a little helpful while about 16% said the group was not helpful in implementing their piggery or ornamental plants projects. For these two projects, over one fourth of the respondents said the organization had serious problems but except for one mention of people losing interest and the group falling apart all the problems mentioned were technical in nature.

While the damayan store respondents didn't attend meetings any more often than the others, over 70 percent of them said they purchased from the store more than once a week. A third of them said they made purchases daily.

#### 5.8. Success of the Project

When asked how they would describe the project; a complete success, somewhat successful or a complete failure, 74% of all the respondents answered somewhat successful. None of the damayan store respondents said their project was a failure but 20% of the piggery respondents admitted their piggery project was a failure. Again, the reasons for success or failure were generally technical in nature and not organizational.

#### 5.9. What Aspect was Most Useful?

When asked this question, the answer generally referred to profit, income, credit or loans. Another aspect mentioned was technical knowledge. There was no mention of organization skills.

#### 5.10. Problems or Difficulties

About a fourth of the ornamental plants respondents, over a third of the damayan store respondents and nearly half of the piggery respondents said there were no problems or difficulties with their project. The rest mentioned technical problems of plant production running the store or diseases of pigs. Slightly less than 10% of the damayan store and plants respondents mentioned organizational problems such as meetings or misunderstandings between members or leaders.

#### 5.11. Plans to Continue

About 85% of all respondents said that their group planned to continue their project and 90% said they would remain members in 1982. This could be expected as part of the "halo effect."

#### 5.12. What Would Respondents do Differently?

When asked what they would do differently if the project continued, there was a variety of answers. In the piggery project, about half of the respondents said they would do nothing differently. About 25% of the damayan store respondents mentioned organizational activities, namely attending meetings, having unity and following the by-laws of the damayan, but the other respondents mentioned technical aspects of piggery or plant production or marketing.

#### 5.13. What Should the Group Do Differently?

When asked what the group should do differently, about 55% of the piggery respondents mentioned organizational activities such as meetings, unity cooperation and management. This was also true of about 36% of the damayan store respondents and 15% of the ornamental plants respondents. The rest of the responses were technical in nature, ranging from improving the pigpen to the pricing and sales procedures.

5.14. What Should IIRR Do Differently?

The responses to this question proved disappointing. Continue the loans was the most frequent response -- 42% of the ornamental plants respondents and 27% of the piggery respondents. General terms like "guidance" and "support" were mentioned along with training and education. Some specific requests were made for help in accounting, taking inventory, marketing and the conduct of meetings, but there was no consensus.

5.15. Other Comments by the Respondents

In order to allow the respondents to express anything else they felt about the project, the enumerators asked if they had any further comments. These comments were generally positive, expressing satisfaction with the project so far and hope that things will be better in the future.

6. Summary, Conclusions and Implications for Future Programs

This brief evaluation was developed in November/December, 1981. The enumeration was conducted in December/January, 1981-82 and the responses compiled and summarized by February, 1982. This paper is an attempt to interpret the responses which are summarized elsewhere.

Many of the questions were open-ended in order to avoid the "halo effect" and other biases. The disadvantage of this is that it is harder to analyze and requires collapsing of answers and some interpretation.

This questionnaire reveals that the respondents clearly looked at these projects as economic, income earning projects. And while the main purpose was not to build groups and organizations, it appears that this was a weak point in the projects. The most common response to what the groups should do differently in the

future was to have better meetings, more unity, better management and more cooperation, i.e., organizational skills.

In short, the content is economic, but the process is through groups and organizations. This process needs to be reviewed and improved so that the impact can be greater.

TWO/aec

attach NHO re-survey form.

APPENDIX B-7

The Integrated Health (NHO) Project  
(End of Project Evaluation)

Survey and self-evaluation were employed to assess the impact of the integrated health project through non-health organizations.

SURVEY: The project evaluation team was responsible in putting together the interview schedule. Among others, the indicators which were considered in designing the interview schedule were: 1) Knowledge on rice technology, general health and foods and nutrition; 2) rice yields and income; 3) infant mortality rate; 4) days lost by farmer due to illness by himself and family members; and <sup>s</sup> acceptance of health inputs e.g., vaccination and family planning.

The interview schedule underwent several drafts before it was pre-tested and made final. Six research aides trained in the use of the survey schedule conducted the interview. It took twenty-five minutes on the average to interview one respondent. The whole month of September was spent for data collection.

SELF-EVALUATION: This is a process whereby the village people who were responsible in planning and implementing the project in their community were gathered together to assess their project through dialogue. Guide questions were given as basis for discussion (Attachment I).

Wherever it is appropriate, the self-evaluation was made to coincide with the regular monthly meetings of the village planning committee. Members of the IIRR project implementation team facilitated the conduct of the self-evaluation.

During the dialogue, the objective of the evaluation which was written earlier on brown paper was presented first and posted on the wall for all participants to see. This was followed by a review of the various activities undertaken in implementing the project through

41

pictures. The pictures were either posted on the wall or laid down on the floor. If any activity undertaken was left out unintentionally, an illustration of that activity was done by the facilitator.

After reviewing the various activities with the group, the guide questions were presented one after another. Ideas given were written on brown paper posted on the wall. In addition, the dialogues were tape recorded and one member of the team acted as process documentor.

The writing-up of the result of the entire process is in progress.

*Rh. ...*  
10/28/82

Self-Evaluation

Objective: To learn lessons from the outcome and processes in conducting the integrated health and livelihood project.

Guide Questions:

1. Among the various activities undertaken, which one made an impact to the people in your community.
2. What were the constraints in implementing the project.
  - What factors contributed to the implementation of the project.
3. If the project is to be implemented again, what processes should be added, or deleted?
4. How can we link up the Village health activities with the RHU.
  - Who will be the primemover for this activity in your community?

NHO UPLAND AIDS PREVENTION SURVEY

Date of Interview: \_\_\_\_\_

Survey Year: \_\_\_\_\_

Time Interview Started: \_\_\_\_\_

Interviewer: \_\_\_\_\_

I.A INFORMATION ON RESPONDENT

1. Name \_\_\_\_\_

Sample No. \_\_\_\_\_

2. Barrio \_\_\_\_\_

3. Town

\_\_\_\_\_ 1) Silang

\_\_\_\_\_ 2) Amadeo

4. Sex

\_\_\_\_\_ 1) Male

\_\_\_\_\_ 2) Female

5. Birthdate \_\_\_\_\_  
Month Day Year

6. Age \_\_\_\_\_

7. Number of years completed in school \_\_\_\_\_

8. Civil Status

\_\_\_\_\_ 1) Married

\_\_\_\_\_ 2) Single

\_\_\_\_\_ 3) Separated

\_\_\_\_\_ 4) Widower/widow

\_\_\_\_\_ 5) Living with somebody else



I.C/A

1. (a) Sources of family income:

- |                                  |                                  |
|----------------------------------|----------------------------------|
| _____ Planting Rice              | _____ Regular Salary             |
| _____ Planting Fruits/Vegetables | _____ Business                   |
| _____ Planting Coffee            | _____ From family outside barrio |
| _____ Other crops: _____         | _____ Pension                    |
| _____ Raising animals            | _____ Others, mention _____      |
| _____ Hired Farm Laborer         |                                  |
| _____ Hired Laborer (Nonfarm)    |                                  |

(b) From those you mentioned above, which is the lone source from which the family gets its biggest income?

\_\_\_\_\_

2. How big is the land you farm?

(a) Land Area

- |                          |       |          |
|--------------------------|-------|----------|
| Owned Property           | _____ | hectares |
| Leased/Rent              | _____ |          |
| Borrowed/others, specify | _____ |          |
| _____                    | _____ |          |
| TOTAL                    | _____ | hectares |

(b) Overall farm status

Code: \_\_\_\_\_

I.C ADDITIONAL HOUSEHOLD INFORMATION

9. How many animals do you raise at present?

- |                  |                  |                |
|------------------|------------------|----------------|
| _____ 1) Cow     | _____ 3) Pig     | _____ 5) Horse |
| _____ 2) Carabao | _____ 4) Chicken | _____ 6) Goat  |

10. Do you have the following in your home?

	<u>Yes</u>	<u>None</u>
1) Water from pipeline (inside the house)	_____	_____
2) Electricity	_____	_____
3) Radio	_____	_____
4) Television	_____	_____
5) Gas/electric stove	_____	_____
6) Refrigerator	_____	_____
7) Tricycle	_____	_____
8) Jeepney or other vehicle	_____	_____
9) Reading newspaper/magazine regularly	_____	_____

11. Let's take for granted that there exist three groups of family according to standard of living:
- a) The poorest of the poor (L)
  - b) Those in the middle bracket (M) and
  - c) The well-off (H)

Under which group do you think does your family belong?

11.1 Why? \_\_\_\_\_

11.2 (If response is L or M) what characteristics do the middle-bracket/well-off families possess?

12. Interviewer: From among 10 photographs, choose one that most resembles respondent's house and indicate below.

## II.A FARMING INFORMATION

13. Did you plant rice in the previous year (1981)?

\_\_\_\_\_ Yes \_\_\_\_\_ No (Go to Q. 18)

14. What was the area of the land planted to rice in the previous harvest (1981)? \_\_\_\_\_ hectares

15. How much did you harvest in the previous planting season (1981)?

\_\_\_\_\_ cavans (include harvester's share)

16. How many cavans were the harvester's share? \_\_\_\_\_ cavans

16a. How many cavans were the owner's share? \_\_\_\_\_ cavans

17. How much were the total expenses you incurred during the previous rice planting season (1981)? ₱ \_\_\_\_\_.

18. Did you plant rice this year (1982)?

\_\_\_\_\_ Yes \_\_\_\_\_ No (Go to Q. 18.2 *then Q. 21*)

18.1 (If yes) What was the area planted? \_\_\_\_\_ hectares

18.2 (If no) Why did you not plant? \_\_\_\_\_

19. What is your tenure status on the land you farm which is planted to rice (1982)?

- |                                     |                           |
|-------------------------------------|---------------------------|
| _____ 1) Tenant                     | _____ 5) Amortizing Owner |
| _____ 2) Share-tenant               | _____ 6) Overseer         |
| _____ 3) Land-owner (Skip to Q. 21) | _____ 7) Free Borrower    |
| _____ 4) Mixed/Combination          | _____ 8) No land          |

20. What is the area of the land planted to rice which you rent or lease (1982)? \_\_\_\_\_ hectares

21. Which crop gave the biggest percentage of income last year?

\_\_\_\_\_

22. Did you ever experience, within the previous year, not being able to work due to an illness or any health problem by:

	Yes	No	No. of days unable to work
22.1 Yourself? Or farmer?	_____	_____	_____
22.2 Family members	_____	_____	_____

23. If yes to any of the items above:

who got ill? (a)	What was the illness? (b)	No. of days ill (c)	Expenses				
			Total (d)	Medicine (e)	Trans- porta- tion (f)	Healer's Fee Doctor (g)	Othe (h)
1.							
2.							
3.							
4.							
5.							

#### II.B KNOWLEDGE ON UPLAND RICE PRODUCTION

Based on your knowledge on upland rice culture:

24. What is the most important factor to consider in order to have an abundant rice harvest?

1) \_\_\_\_\_

2) \_\_\_\_\_

25. May we know the name of the recommended upland rice seed?

1) \_\_\_\_\_

3) \_\_\_\_\_

2) \_\_\_\_\_

4) \_\_\_\_\_

26. When is the proper time for applying fertilizer to rice crops?

1) \_\_\_\_\_

2) \_\_\_\_\_



## V. KNOWLEDGE ON NUTRITION

35. What is the best milk for baby?

- |   |  |
|---|--|
| <input type="checkbox"/> 1) evaporated milk | <input type="checkbox"/> 3) powdered milk  |
| <input type="checkbox"/> 2) mother's milk   | <input type="checkbox"/> 4) condensed milk |

36. Which among the following are the sources of protein which builds tissues and muscles?

- |  |  |
|--|--|
| <input type="checkbox"/> 1) cabbage          | <input type="checkbox"/> 5) fish                 |
| <input type="checkbox"/> 2) mung bean        | <input type="checkbox"/> 6) oil                  |
| <input type="checkbox"/> 3) tomato           | <input type="checkbox"/> 7) corn                 |
| <input type="checkbox"/> 4) softdrink        | <input type="checkbox"/> 8) dried fish (anchovy) |
| <input type="checkbox"/> 9) others (mention) |  |

## VI. KNOWLEDGE ON FIRST AID

37. How do you lower a child's fever?

\_\_\_\_\_

(If answer is medicine) What kind of medicine and how many times in a day should it be taken?

_____	_____
medicine	no. of times

38. What illness does Oresol cure?

- |                                      |  |
|--------------------------------------|--|
| <input type="checkbox"/> 1) fever    | <input type="checkbox"/> 4) others _____ |
| <input type="checkbox"/> 2) cough    | <input type="checkbox"/> 5) don't know   |
| <input type="checkbox"/> 3) diarrhea |  |

39. What is the lowest number of injections against diphtheria, pertussis and tetanus that must be given a child so he will have enough protection?

- |                                   |  |
|-----------------------------------|--|
| <input type="checkbox"/> 1) one   | <input type="checkbox"/> 4) four       |
| <input type="checkbox"/> 2) two   | <input type="checkbox"/> 5) don't know |
| <input type="checkbox"/> 3) three |  |

## VII. DEATHS IN THE HOUSEHOLD

40. Has there been a death in the family in the previous year (1981)? \_\_\_\_\_ There is  
 \_\_\_\_\_ None (End of interview)

(SEE THE FORM BELOW TO RECORD RESPONSES  
 ON Q. 41 through Q. 44)

41. (If there is) Who is he/are they?  
 42. How old was he/were they when he/they died?  
 43. When did he/they die?  
 44. What was the cause of death?

Name (Q. 41)	Age (Q. 42)	Month & Date (Q. 43)	Cause of Death (Q. 44)
1.			
2.			

Time Interview Ended: \_\_\_\_\_

International Institute of Rural Reconstruction  
Silang, Cavite, Philippines

TYPOLOGY OF FARM POPULATION  
IN RURAL CAVITE

Land is a vital resource in a rural area. A family's position or status in the community is determined by its access to a piece of land. By analyzing access to land and degree of involvement in farm operations of various types of people, we are able to identify the following groups:

1. Those who own land and are
  - a. directly cultivating land;
  - b. indirectly cultivating through others;
  - c. not cultivating land.
2. Those who do not own land but are
  - a. directly cultivating land;
  - b. indirectly cultivating through others; and
  - c. not cultivating land

1.1 Those who own land and are directly cultivating it include the following:

- a. subsistence farmers - They include farmers owning a small piece of land, usually less a hectare and whose farm income is not sufficient to meet or sustain the daily needs of the family. They hire out their labor to others or may engage in non-farm activities to augment farm income.
- b. small farmer-cultivators - Include farmers who own 1-3 hectares of farmland and are relatively better off than the subsistence farmer. Farm income is able to meet the minimum requirements of daily life.

- c. amortizing owners. Include CLT holders\* on land reform declared areas cultivating 5 hectares or less.

The above-mentioned type of farmers or owner-cultivators view and use land as a means of living. It should also be noted that farm income or level of farm productivity is a function of a number of factors, namely, farm size, type and fertility of soil, location of farm, accessibility or availability of credit or financial capital and type of crop produced. The interplay of these factors determine the social and economic status of a farmer in the community.

- 1.2 Those who own land but are indirectly involved in the farm operations include:

- a. absentee landlords. They include landlords who may own large areas of land or several farmholdings parceled out among a number of farmers under a leasehold or share tenancy arrangement. They would also include landlords involved in the production of cash crop like sugar and employing a hacienda administrator to administer and manager farm operations.
- b. corporate farms and agri-business enterprises. Because of incursion of corporate farming and agri-business in the rural areas, several small farmholdings are bought off from small farmers, consolidated and brought together under a single management. This type of owners utilize modern farm technology, labor saving devices and farm equipment or machinery. They usually occupy 30 hectares or more of farmlands and operations are managed by a trained staff of managers and farm supervisors.

The absentee landlord, corporate farms and agri-business enterprises operate for a profit or gain using land as a resource of production.

- 1.3 Another type of landowners are the non-cultivators. They include small prop rty owners and speculators who buy land as a form of security or investment with intention to sell it at a profit later. While they themselves do not cultivate the land, they allow others, usually relatives to stay on the land as caretakers, bantay.

---

\* Certificate of Land Transfer

2.1 Among the non-owners, we find several groups ranging from cultivators to non-cultivators. Those who cultivate land but do not necessarily own it include the following:

- a. tenants, lessees, magtatrabaho. They cultivate small parcels of land, an average of 2 hectares each under leasehold or share tenancy system. Under leasehold arrangement, the tenant pays a fixed rent or a fixed share of the produce. Under share tenancy system, the tenant, magtatrabaho, and landlord, may-lupa, may agree to share in the production cost and farm produce or income.
- b. sub-tenants, sub-lessees. Existing side by side with the phenomenon of land consolidation is land fragmentation operating among tenanted farms as a form of accommodation or strategy of survival among the poor. This form of mutual aid system involve grown up children of tenants who are not able to secure employment outside the farm and kins, relatives and friends dislodged from their farms with the incursion of agri-business and farm corporations in the area. By "borrowing" (hiram) a small portion of the farm plot, usually for free, the sub-lessee is assured of some form of sustenance for his family.
- c. farm laborers who work for hire on the farm of others or who work on family farms. They also include migrant workers from outside the community utilized during peak months particularly during harvest season of a cash crop like sugarcanes.
- d. "Bantay" or caretakers who are allowed to stay on the land to ward off squatters or trespassers and who may chose to cultivate a portion of the land for sustenance.

This group of cultivators, tenants or lessees, sub-tenants, family or hired labor and "bantay" or caretakers view land as a means of survival.

## 2.2 Non-owners who cultivate land through others include

- a. farm administrators, managers, supervisors or overseers.  
Although hired themselves to manage farm operations or to protect the interests of landlords in the community, they employ others to cultivate the land or operate farm machinery to cultivate land and others.
- b. Sub-lessors are tenants who allow others like relatives or friends to cultivate a portion of their farm plots with the intention to help or aid another. They may also include a tenant who has found a temporary job outside the community but who does not want to completely give up his right to the land yet and may sub-let the land for a minimal amount or token to other members, usually relatives, in the community.

## 2.3 Non-owners and yet non-cultivators include:

- a. farm-related services workers e.g., irrigation ditch tenders hired by a farmers associations, load carriers, crop dealer, informal creditors, and others.
- b. Services workers residing in the farming community e.g., construction workers, carpenters, security guards, vendors, etc. They include grown children of landless tenants and farm workers who have found employment outside the farm community. They may marry and put up a house near their parents. In some instances, this group may include farmer tenants and lessees dislodged from their farms by farm corporations and agri-business enterprises. In return for their rights to the farm land, they receive "disturbance" compensation [P10,000 to P15,000 per hectare] and a homelot ranging from 300 to 600 square meters (depending on the size of their farmholdings). Except for this assurance of retention of a houselot, none of them hold title to their houselot. A new breed of endemic rural squatters and congestion may be emerging from this situation.

International Institute of Rural Reconstruction  
 Silang, Cavite, Philippines

TYPOLOGY OF FARM POPULATION IN RURAL CAVITE

Degree of Involvement in Farm Operations

ACCESS TO LAND

	Cultivating land directly	Cultivating land through others or indirectly	Non-Cultivators
Owning land	<ul style="list-style-type: none"> <li>o <u>Subsistence farmers</u>. Sometimes hire out own labor or family's to augment farm income; owning less than a hectare of farm.</li> <li>o <u>Small farmer-cultivators</u>. Own 1-3 hectares of farm; farm income sufficient to meet minimum needs of family.</li> <li>o <u>Amortizing owners</u>. Cultivates 5 hectares or less.</li> </ul>	<ul style="list-style-type: none"> <li>o <u>Absentee landlords</u>. Employ tenants or leaseholders on farm; or hires <u>hacienda administrator</u> to supervise farm operations if landlord is involved in production of cash crop like sugar.</li> <li>o <u>Corporate farms and agribusiness enterprises</u> utilizing modern farm technology, labor saving machinery, etc.</li> </ul>	<ul style="list-style-type: none"> <li>o <u>Small property owners and speculators</u> who buy land as a form of security or investment with intention to sell land later at a profit or gain. Allow relatives or friends to stay on land as caretakers, <u>bantay</u>.</li> </ul>
Non-owning land	<ul style="list-style-type: none"> <li>o <u>Tenants/leasees</u></li> <li>o <u>Sub-tenants/sub-leasees</u> under the "hiram" system</li> <li>o <u>Farm laborers</u> <ul style="list-style-type: none"> <li>- family farm workers</li> <li>- hired farm workers</li> <li>- migrant laborers</li> </ul> </li> <li>o "Bantay" or caretakers</li> </ul>	<ul style="list-style-type: none"> <li>o <u>Farm administrators, managers, supervisors, overseers</u>, etc. hired by big landowners or farm corporations to manage or protect landlord's interest in the area.</li> <li>o <u>Sub-leasees</u> are tenants who allow others to cultivate a portion of their farm plots.</li> </ul>	<ul style="list-style-type: none"> <li>o <u>Farm-related services workers</u>, e.g., irrigation ditch tenders hired by a farmers' associations, load carriers; informal creditors; crop dealer, etc.</li> <li>o <u>Service workers</u>, e.g., construction workers, carpenters, security guards, vendors, etc.</li> </ul>

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# IIRR'S LORENA STOVE CASE REPORT WINS CARD AWARD

Author Lyn Capistrano presented the case report on October 22 before an audience of about 250 CARD members.

The Lorena Stove Report won the award on the basis of relevance and practicality of the materials development process described. A copy of the case report was submitted to the judges a month before the conference. The CARD members were given copies on the day of presentation.

The delegates showed great interest in the participatory materials development process and in the Lorena Stove booklet itself.

Visayas State College of Agriculture's entry, "Perceived Information Needs in Corn Production of Farm Management Technicians in Leyte" won the Best Research Paper Award. It was presented by one of its authors, Monina Escalada.

Eight research papers and case reports were presented in this conference.

The theme of this year's CARD Conference was "What is New in Development Communications?" Resource persons from both government and private agencies spoke on various topics such as population, nutrition, primary health care, farm management and others.

CARD was established in 1979 by 15 charter members including IIRR. Its objectives include the promotion of a professional association for development communications and the pursuit of excellence and relevance in development communications efforts. It boasts of around 500 members.

The IIRR Delegation that attended this year's conference was composed of Dr. John Batten, Dr. Ed Reed, Jay Ballesteros and Lyn Capistrano.

IIRR CASE REPORT

DEVELOPING A PEOPLE'S LITERATURE

by Lyn N. Capistrano

INTRODUCTION:

The heavy identification of mass media with urban concepts make rural folks feel that there is very little for them in the messages, code and content of most media forms. Some researchers have observed that rural folks hardly have access to relevant information. A lot of media exposure tend to be urban-based, foreign, and sometimes inappropriate or irrelevant for rural audiences.

There is a need to actively involve the people in the process of developing print materials which are relevant to their needs and literacy levels. In doing so, the information needs of the people are met and the information seeking behavior are responded to. This is what the People's Literature Project of the International Institute of Rural Reconstruction (IIRR) is all about. The project is also meant to support operational research activities of various units of the IIRR. The Education and Training Services (ETS) unit of the IIRR takes the responsibility in developing and producing print materials under this project.

This case report, however, will only focus on the development of a manual on how to build a Lorena - a stove

made from sand and clay. The report will touch on field-level experiences of two IIRR staff (Lyn Capistrano and Edmund Russell) in developing a manual with the intended or target audience, the people of barrio Atlas, in Silang, Cavite as co-authors. The manual, entitled: "LORENA: Ang Kalang Matipid sa Gatong" is currently being printed. Application for copyright of this manual is underway.

#### OBJECTIVES:

1. To provide rural people with their own literature to enrich the educational influences on rural life by developing, producing and disseminating appropriate, low-cost print materials addressing felt needs of target communities.
2. To evaluate the impact of the print materials produced upon targeted community groups.
3. To document and share experiences and lessons learned from this project.

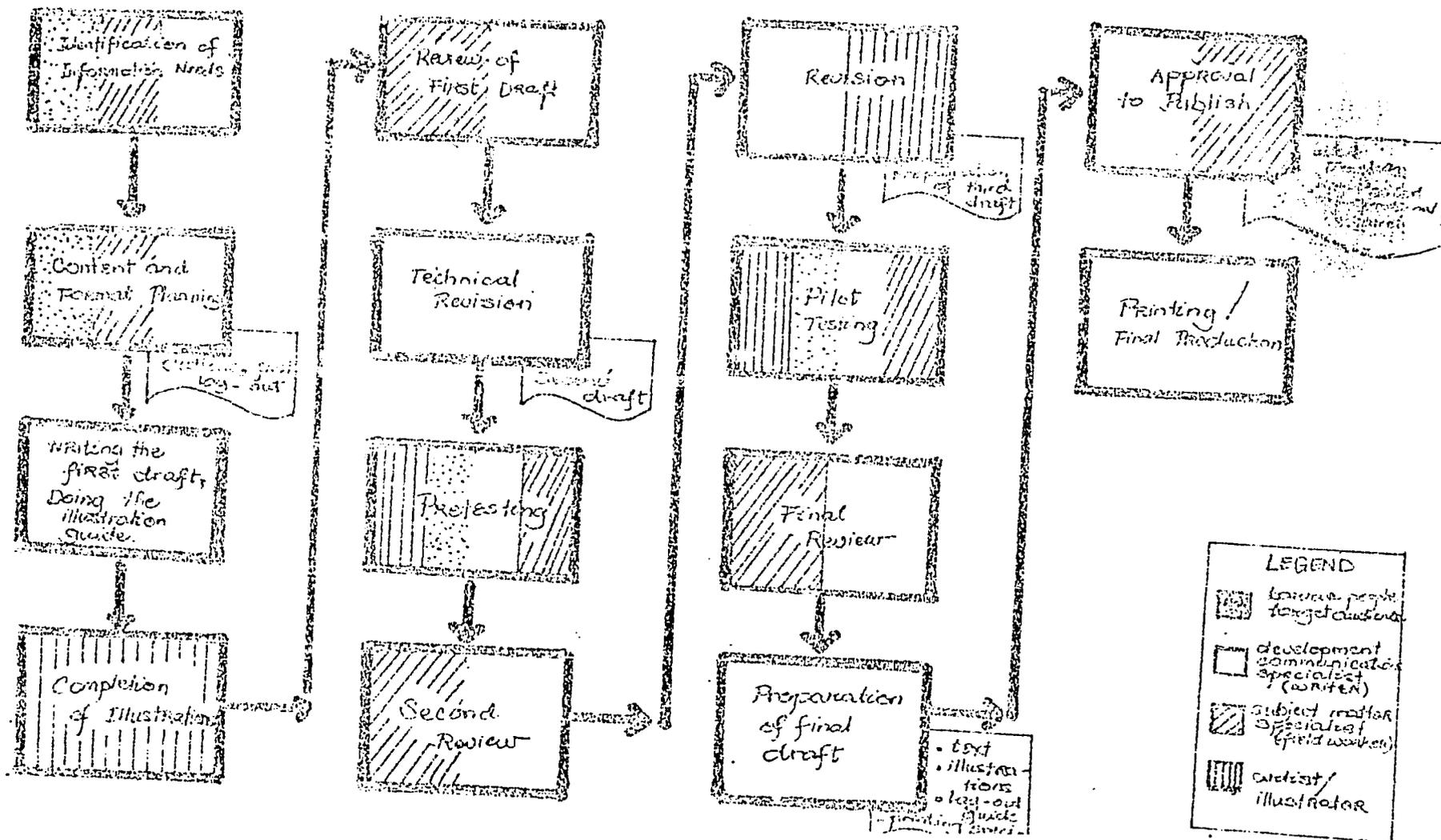
#### CONCEPTUAL FRAMEWORK:

Rural folks, who are the intended audience take part in developing and producing appropriate print materials which address their needs and literacy levels. This is the way People's Literature materials are developed. A process has been evolved to ensure that the messages, code and content of the materials come from the people for whom these materials are intended (see Figure 1).

Figure 1

Phase 1. Prototype Development

FLOW CHART FOR DEVELOPING PEOPLE'S LITERATURE



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Developing People's Literature materials involves 3 phases namely: Prototype Development, then Printing/Production and finally, Distribution/Evaluation. The steps in prototype development are as follows:

1. identification of information needs
2. content and formal planning
3. writing the first draft
4. completion of illustrations
5. review of first draft
6. technical revision
7. pretesting
8. second review
9. revision
10. pilot testing
11. final review
12. preparation of final draft
13. securing approval to publish the material
14. endorsement of the material for printing/final production.

#### METHODOLOGY:

The flow chart described in the conceptual framework above was basically followed to produce a 20-page People's Literature booklet with the title, "LORENA: Ang Kalang Matipid sa Gatong."

### Identification of information needs -

A few years ago, IIRR specialists (Norma Callanta and Masong Cabacungan) conducted a literacy project in Barrio Adlas, Silang, Cavite. As the project came to a close, the participants to the literacy project recognized that "equally as important as learning to read is having something good to read when the literacy project is over." The IIRR facilitators and the participants also recognized the fact that learning to read must enable the adult illiterate to learn more things which are of importance to their daily lives. Some of these things which would be of value to them are information on how to increase their crop production, how to assert their rights, how to increase their social awareness, how to improve the living condition of one's family and that of his community, etc.

At this point, the information needs and problems of the people are identified and voiced out by the people themselves. The role, then, of the IIRR specialists/fieldworkers was only that of a facilitator. They were not supposed to impose their opinions to the people. Having built rapport with the people, the fieldworkers were already able to develop a feeling of mutual understanding, trust and friendship with them. Through person-to-person interaction and self-actualization method, the fieldworkers stimulated the people to express, identify and prioritize their information needs. Somehow, this process indirectly enabled the

people to become aware that the answers to their problems must come from them. The people, then, went a step further by prioritizing their information needs. These then became the basis of what particular communication strategy would be resorted to so that the material to be produced is both appropriate and responsive.

The people expressed that they need more information on how to build a Lorena Stove, a low-cost and sometimes, no-cost stove made from sand and clay. This appropriate technology seemed to offer a better alternative to the people's usual cooking habits. Introducing the stove would promote fuel conservation and minimize the cutting of trees. Dung would be allowed to return to the ground and fertilize the soil. In addition to this, health hazards caused by smoke would be alleviated. Another foreseen advantage was the saving in terms of cooking time.

An IIRR staff then went to Adlas to conduct a demonstration on how to build a Lorena Stove. This activity was a sort of "teach by showing; learn by doing" thing. Nothing was spent in building the Lorena Stove. Sand was gathered from the nearby river bank and scrap <sup>metal</sup> iron was used for a chimney. The people then monitored the efficiency of the first Lorena Stove. Soon, they wanted one for their household. Some of the people began to build their own stoves. A few of them succeeded in making a good Lorena Stove, while

most other stoves began cracking by the first week of use. The need for more information on how to build the stove became apparent. The people then expressed the need for an instructional manual on how to build a Lorena stove.

#### Content and Format Planning -

After the information need have been identified, the specialist (fieldworker) and the writer (development communications specialist) planned together the content and the format of the material. An open communication with the barrio folks was maintained so that both the writer and the fieldworker directly consulted with them. Research on the content and review of literature was also done.

At this point, an IIRR staff, who later became the co-author of the manual conducted a demonstration on how to build a Lorena stove. The demonstration, however, was not done in Adlas, but in another barrio with the same expressed need. The demonstration took place at the Organic Agriculture Center in Barrio San Miguel, Silang, Cavite. The writer, the artist/illustrator and a photographer were present during the demonstration. The writer and the illustrator took mental and field notes on the procedures involved.

The result of the content and format planning step were: an outline, an initial lay-out, and an idea on the style of presentation.

#### Writing the first draft -

The writer (author) prepared the first draft of the manual based on field notes taken during a demonstration on how to build the stove by the co-author. In the process, rough illustrations were also done to guide the artist who will do the work later. In doing these, the needs and literacy levels of the intended or target audience were always kept in mind.

#### Completion of Illustrations -

This was done by the artist, based on verbal and written instructions from the writer. The artist was also furnished a copy of the first draft of the text to guide him.

#### Review of the first draft -

The specialist-fieldworker and the writer sat down together to review the first draft and the illustrations, page-by-page. The draft and the illustrations were then forwarded for review and comments to other members of the project team and on to the senior specialist in content area. This was actually the first technical review. An initial lay-out of the text and the illustrations was also presented.

#### Technical Revision -

After the draft and the illustrations of the manual were returned to the writer, the writer then made revisions, based on comments and suggestions from the technical review.

The result of this step was a second draft of the text. It was layed-out with the illustrations so that it would appear the way it would look when the material was printed.

#### Pretesting -

Both the author and co-author of the manual brought the second draft of the material with the accompanying illustrations to barrio Adlas. The artist was supposed to be in the pretesting team but was not able to go due to his workload at that time. The material was shown to a small group of people.

Women were involved in the pretesting, since they will be the primary users of the stove and they understand the cooking process. The other respondents were men who already have knowledge in Lorena stove building as well as those who have no idea yet on how to build the stove.

Comments and feedback gathered from this pretesting were carefully noted down while a fieldworker facilitated the discussion. It was at this stage that suggestions on how to further improve the manual was gathered from the people.

#### Second Review -

At this point, the author and co-author reviewed the text and the illustrations. They also discussed together the comments and feedback gathered from the pretesting. The objective of this step was to guide both the writers

and the artist in producing the third draft.

#### Revision -

The text and illustrations were revised a second time to include comments and suggestions gathered from the pretesting. This was done by the author and the artist. The other objective of this step was to prepare the materials for pilot testing in targeted barrios among the intended audiences.

#### Pilot Testing -

At this point, the author and co-author went to Adlas again to show the materials to several people. Comments and feedback from the people were taken, as well as their perception of how relevant the material would be to them. This was one of the most important steps in the process. It involved a lot of participation and cooperation from the people and provided the authors (communicators) with valuable inputs and directions.

#### Final Review -

After the pilot testing, the materials were reviewed by the specialist concerned, and the authors.

#### Preparation of final draft -

This was done by the writer. It involved editing and rewriting a final draft of the material to prepare it for publication. The writer prepared the final draft and edited it; ensured that all the illustrations were appropriate and

complete; prepared the lay-out guide and wrote down instructions and printing specifications.

Approval to Publish -

This step was done to facilitate the printing of the material. Its other purpose was to secure clearance from the authors, the development communications specialist, the unit directors involved and the vice president for operational research. Each of these concerned, further reviewed the contents of the material before they gave their permission to publish the material.

#### RESULTS:

Summary -

The manual, with the title, "Lorena: Ang Kalang Matipid sa Gatong" was developed with the people of Adlas. While the manual was being developed, one barrio resident, Ka Bading Marayag emerged as the expert Lorena stove builder in Adlas. A recent field visit to Adlas revealed that there are already 13 households with Lorena stoves, all built by Ka Bading and his barriomates.

The first draft of the manual was based on field notes taken by the author in a demonstration conducted by the co-author on how to build a Lorena stove. The draft and the illustrations have been revised and pretested twice in Adlas, a barrio in Silang, Cavite. The final draft is actually a fourth revision of the original.

The manual mentions the way people in Adlas built Lorena stoves. The procedures can be adapted in any barrio. Lorena stoves cost nothing to build in Adlas. The only materials used are locally available sand which is gathered near the river bank, termite hill (ponso), and a chimney made of scrap metal.

With the use of Lorena stoves, people in Adlas cut firewood consumption in half, and save a lot of cooking time. Additional benefits are the reduction of smoke in the house and a more sound local ecology since more trees remain standing and dung is allowed to return to the soil instead of being burned.

A community-based approach was used in Adlas to develop the said manual. The stove was promoted intensively in a small area rather than extensively throughout a large region. This encouraged local participation and provided for a more effective control over stove quality. The people, then will have a better idea of how the stove could be used, adapted or modified to more appropriately meet their future needs.

#### Implications:

People's Literature materials are developed, produced and disseminated as an immediate response to the expressed information needs of groups and communities. Since the idea is to produce appropriate, and low-cost print materials addressing felt needs of target communities, the utilization of such materials as the Lorena stove manual is ensured.

The dissemination of People's Literature materials to the barrios will provide people with their own literature which will enrich their educational environment. Likewise, People's Literature materials are of value to supplement literacy projects, for use during the phase-out of IIRR facilitators in all other rural reconstruction projects, and as an educational intervention in its own right. The dissemination of this manual will not be limited to barrio Atlas but will also cover the whole IIRR Social Laboratory.

LNC/eap  
9.22.82

10

Appendix to Annual Report

PROJECT PLANNING AND EVALUATION

Module Handout for  
International Leadership Training  
International Institute of Rural Reconstruction  
Silang, Cavite, Philippines

1982

C O N T E N T S

	<u>Page</u>
1. Introduction . . . . .	1
2. Participatory Development Projects . . . . .	2
3. The Participatory Project Cycle . . . . .	3
4. Agency Planning . . . . .	7
5. Project Planning . . . . .	9
6. Participatory Project Evaluation . . . . .	16
7. Information Gathering . . . . .	24
8. Using Information for Evaluation . . . . .	29
 ATTACHMENTS:	
I. The Mission and Key Result Areas; and Operational Research Questions of IIRR . . . . .	35
II. Some Useful References on Project Planning and Evaluation . . . . .	38
III. Project Idea Sheet Form . . . . .	40
IV. Seven Questions to Ask about a Development Project . . . . .	42
V. Project Concept Paper Form . . . . .	43
VI. "Evaluation: Autopsy or Checkup?" . . . . .	47
VII. Suggested Outline for a Case Study . . . . .	50
VIII. Effective and Appropriate Use of Survey . . . . .	53

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
Silang, Cavite, Philippines

PROJECT PLANNING AND EVALUATION\*

1. INTRODUCTION

All of us are involved in development -- in the effort to enable people to change their lives in ways which they feel are improvements. We even have some ideas about how to go about this. But these good intentions are not enough to ensure that our efforts will actually improve people's lives.

Development can be viewed to some extent as a trial and error process. However, over time this process should lead to more and more insights about what works and what doesn't work. We must learn from our experience.

Also, the time and resources which we and our governments can devote to this effort are limited. Thus, it is our obligation to use these resources in the most effective and efficient manner possible.

Dr. Yen often reminds us that rural reconstruction is a very long process; but the most important consideration is whether or not we are heading in the right direction. If we are, we will eventually see results. Project planning monitoring and evaluation are tools which should assist us in setting our direction. They should aid us in making decisions about project selection, design and implementation with less uncertainty.

---

\*Materials prepared by Dr. Ed Reed, Director of Research Unit, IIRR, with the assistance of the Research staff.

## 2. PARTICIPATORY DEVELOPMENT PROJECTS

The broad, long-term goal of our development efforts is Human Development. Human development can be thought of as an ongoing and self-sustaining process of problem solving by the people for the general and long-term improvement of their own lives. It is a continual process with no time limit, and it is controlled by the people themselves.

What, then, is a development project? A participatory development project is a collaborative effort of the rural people (the insiders) and a facilitating or stimulating agency (the outsiders) to undertake certain activities over a limited period of time with the objective of improving the lives of the target group in a specific way.

The assumption behind the project approach to development is that successful achievement of the long-term objectives of a number of individual projects will contribute to the broad goal of human development.

There are several important implications of this point of view:

- 1) One or two development projects cannot achieve human development. Human development will only be achieved by the people themselves in the long run; projects may stimulate this process.
- 2) In any development project process objectives are just as important as content objectives. The content achievements of one project may be limited and temporary, but the process which the people learn can be used over and over.

- 3) There are two groups of actors in a development project: the outsider facilitators and the insider rural people. Each has different roles in a project. The outsider cannot implement the project for the people, but can only stimulate, facilitate, advise and build the capability of the people to carry on development.
- 4) A development project is a learning experience for both insiders and outsiders. Therefore, planning and evaluation must be performed by both.

### 3. THE PARTICIPATORY PROJECT CYCLE

The development program of a government or non-government development agency can be viewed as an ongoing series of participatory development projects. Each project goes through a cycle made up of three major processes which are illustrated in Figure 1.

#### I. Agency's Learning and Planning Process.

This process begins with (1) an area situation analysis which involves "going to" and "learning from the people" concerning the general development situation in the program area. This may last from several months or even up to a year, and should be repeated every three to five years. This step is an input into (2) agency planning whereby the development agency decides what role it will play in the development effort of the people in the area. Based on the first two steps the agency then (3) selects a particular project to implement in one or more communities of the area.

#### II. Facilitator's Intervention Process.

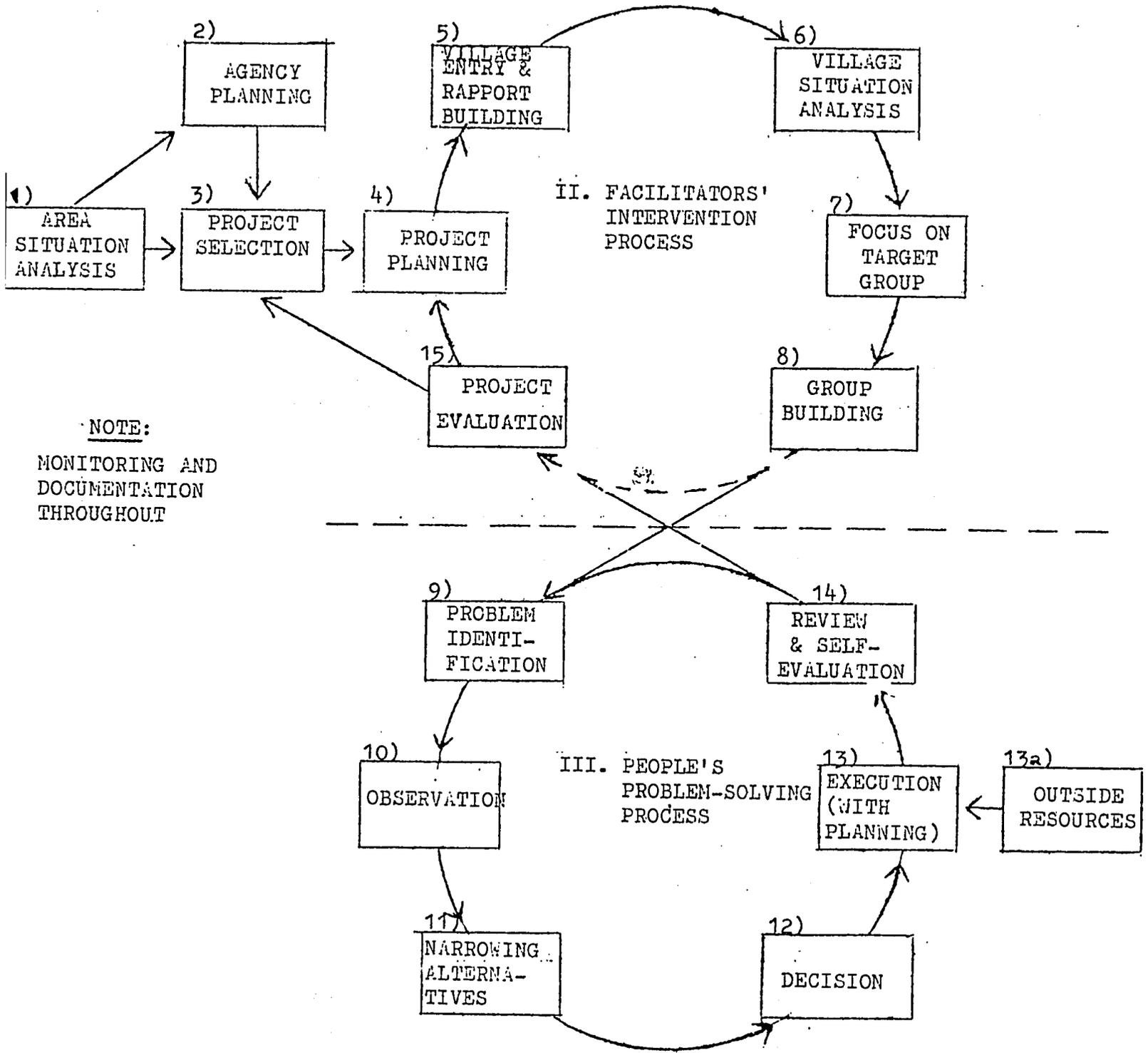
This process represents the strategy whereby the outsiders will intervene in the ongoing life of the community with the objective of enabling the people to improve their lives.

Figure 1. PARTICIPATORY DEVELOPMENT PROJECT CYCLE

I. AGENCY'S LEARNING AND PLANNING PROCESS

II. FACILITATORS' INTERVENTION PROCESS

III. PEOPLE'S PROBLEM-SOLVING PROCESS



Throughout the six steps in this process cycle (numbers 4 to 8 and 15) the outside facilitators are the primemovers.

The first step they must take is (4) project planning. They must specify the expected results of their intervention and the strategy for achieving them. Based on their plans the facilitator or facilitation team will then (5) enter the target community and interact with the people in a way which builds rapport and lays the basis for their full participation in the project. Next, the facilitator will carry out a (6) situation analysis of the specific community, observing and gathering data on physical resources, social structure, problems, etc. While the area-wide analysis will serve as the backdrop for this local analysis, each community has particular characteristics and problems which must be fully understood by the outsiders.

If the intended beneficiaries of the project are the rural people, then it is usually necessary to identify and specifically (7) focus on that target group. Even if the non-poor participate in a project the benefits are intended for the poor and so we must know who they are. The next step is (8) group building. If the rural poor are to do their own problem solving and manage their own local projects, they must be given the capability to do this, and they must act in concert. It is this group which is going to implement development in the community, so once it is formed and functioning the people themselves become the primemovers. So, we move directly into the People's Problem-Solving Process leaving Project Evaluation as the last step in the overall project cycle.

### III. People's Problem Solving Process.

This process (step numbers 9 to 14) represents both a result of the intervention process and the means whereby the rural poor will actually achieve the content impact of the project by solving their problems one by one. For the life of the development project in the community this Problem Solving Process or sub-cycle is linked to the Intervention Process both by means of inputs from the outside facilitators as needed and the evaluation process. However, by the end of the project intervention, problem solving should be a self-sustaining process to be carried on by the people on their own.

The Problem-Solving Process consists of the six PONDLER steps discussed earlier in the training: (9) Problem Identification and Prioritization, (10) Observation and Information Gathering, (11) Narrowing Down of Alternatives, (12) Decision-Making, (13) Execution (with Planning), and (14) Review and Self-Evaluation. Through this process the target group itself selects and implements local projects one at a time. By repeating this cycle over and over the group strengthens its development management skills, and establishes linkages with outside agencies and resources. As this develops the role of the outside facilitator can gradually be reduced until the group is completely on its own.

The closing link between the People's Problem Solving Process and the Facilitator's Intervention Process is provided by evaluation. The outputs of the people's own review and self-evaluation (where they are the primemover) becomes an input into (15) project evaluation (where the facilitating team is primemover). Project evaluation is an assessment of the overall effectiveness of the agency's intervention in the community. A critical input in this assessment is the target group's own assessment of its problem-solving capabilities

and the impact of the specific projects. Other inputs come from the self-evaluation of the facilitators themselves concerning the Intervention Process. Sometimes a third-party (from inside or outside the agency) who did not directly participate in the intervention may also be involved.

Finally, the entire project cycle is closed by the links between project evaluation and both selection and planning of future projects by the agency.

#### 4. AGENCY PLANNING

Rural development is a vast human undertaking. A rural development agency -- whether government or non-government--can play a role in this undertaking, but obviously it cannot do everything. Therefore, before selecting a specific activity, or project an agency must identify its most appropriate role in development.

LIRR has found some of the tools used in Management by Objectives (MBO) useful in identifying the role of a rural development agency. The MBO process can be adapted into four major steps at the organizational level:

##### 4.1 Mission

The mission of an agency or organization includes a statement of its identity and of its operational goal. Who are you and why do you exist?

##### 4.2 Key Result Areas (KRAs)

The KRAs are the critical activity areas in which results must be continually obtained if the organization is to fulfill its Mission. One formula states that KRAs are areas where approximately 20 percent of management time can produce 80 percent of the desired results.

#### 4.3 Long-term Program Objectives

In order for activities to be linked to desired long-term outcomes, objectives should be developed for periods longer than one year. IIRR has developed a Ten-Year Scenario or Vision, and also Three-Year Objectives. In the KRA of Operational Research we state these in the form of Operational Research Questions. These identify the critical issues in rural development about which we want to generate knowledge.

#### 4.4 Short-term Objectives

Based on the Long-Term Objectives or OR Questions the agency's short-term objectives can be formulated. At IIRR these take the form of annual objectives for non-field programs and project objectives for Operational Research.

The Mission, Key Result Areas, and the 1983-85 Operational Research Questions of IIRR appear in Attachment I for your reference.

## 5. PROJECT PLANNING

Development is not a science. Even though we may all agree on the basic problems and approaches, there is no single strategy which is guaranteed to succeed in every situation. Though some projects may work better than others, every project is imperfect; every project will fail to some extent to attain its objectives. The purposes of project planning, and also evaluation are:

- 1) to reduce the uncertainty in project selection,
- 2) to improve the chances that a specific project will achieve its objectives, and
- 3) to gradually build up a body of knowledge to aid the planning of future development efforts.

Much literature has been produced on development project planning -- but most of it is suited for large-scale projects implemented by national governments or international organizations. At IIRR we have studied some of these models, but have tried to adapt them to our own needs. The model presented here is suited for planning participatory local projects by relatively small development organizations or local government agencies. A list of references on evaluation which you may want to consult appears in Attachment II.

Four major steps are involved in project planning:

- 1) Project Selection;
- 2) Project Strategy Planning;
- 3) Project Implementation Planning;
- 4) Project Evaluation Planning.

### 5.1 Project Selection

There are many possible projects which a development agency could implement to try and promote rural development. So, the first step is for the agency to identify alternative project ideas and to select from among them. There are at least four sources of information which are inputs to this process:

- 1) Information from the rural people who are the intended beneficiaries. This comes from the area situation analysis, but it may also be necessary to consult and involve representatives of the people in the actual planning process.
- 2) The long-term program objectives of the agency which are an output of agency planning;
- 3) Evaluation and analysis of past or ongoing development projects of the agency, which is an output of the entire project cycle;
- 4) Experience of other development agencies and researchers available through published literature or through consultation with development "experts".

Project ideas can be developed on a simple form which identifies, basically, the relationship to agency objectives, the intended target group, their identified problems, the effect the project will have on these problems, and the general strategy for obtaining this effect. The Project Idea Sheet used by IIRR is attached for your reference. (See Attachment III)

Once a number of project ideas have been generated a decision point is reached. Ideas must be screened and either accepted, amended, merged, or rejected based on some established criteria. IIRR has developed a set of criteria based on its rural reconstruction mission. These are as follows:

1. Relevance - projects should be relevant both to the needs/aspiration of the target population (i.e., rural poor of 3rd World) and to the organizations/institutions/agencies, both government and private, who are mandated to assist this target population (i.e., delivery systems). In other words, the projects to be chosen should be those which provide the answers which development agencies are looking for. This also implies adaptability of the project concepts.
2. Innovative - project should, as much as possible, not duplicate what others are already working on/have worked on. This is in line with the concept of IIRR being always "one step ahead" of other development agencies.
3. Quality - this is related to #6. One of the best ways to ensure quality is to choose those projects in which IIRR has distinctive competence. In other words, we should not even attempt to undertake projects in which we know we are weak in terms of the necessary knowledge and/or skills.
4. Measurability - projects to be chosen should be those in which we can determine success or failure by using certain indicators over a given period of time.
5. Critical Issues - projects to be chosen should be those which address the most critical issues affecting the rural poor of the Third World (not just Cavite or Philippines).
6. Distinctive Competence - this is related to #2 above. IIRR should choose projects in which it has a distinctive or unique competence, i.e., projects in which it can excel in comparison to other development organizations because it has certain unique or distinctive strengths which the others do not have.

Another set of criteria which IIRR has found useful is that developed by the Institute for Food and Development Policy. Those criteria appear as Attachment IV.

## 5.2 Project Strategy Planning

Once the general idea for a project has been identified it should be more fully developed into a project strategy. The strategy can be thought of as the hypothesis of the project. It specifies the internal logic of the project. A well developed project strategy provides a basis for planning the implementation and for evaluating the results.

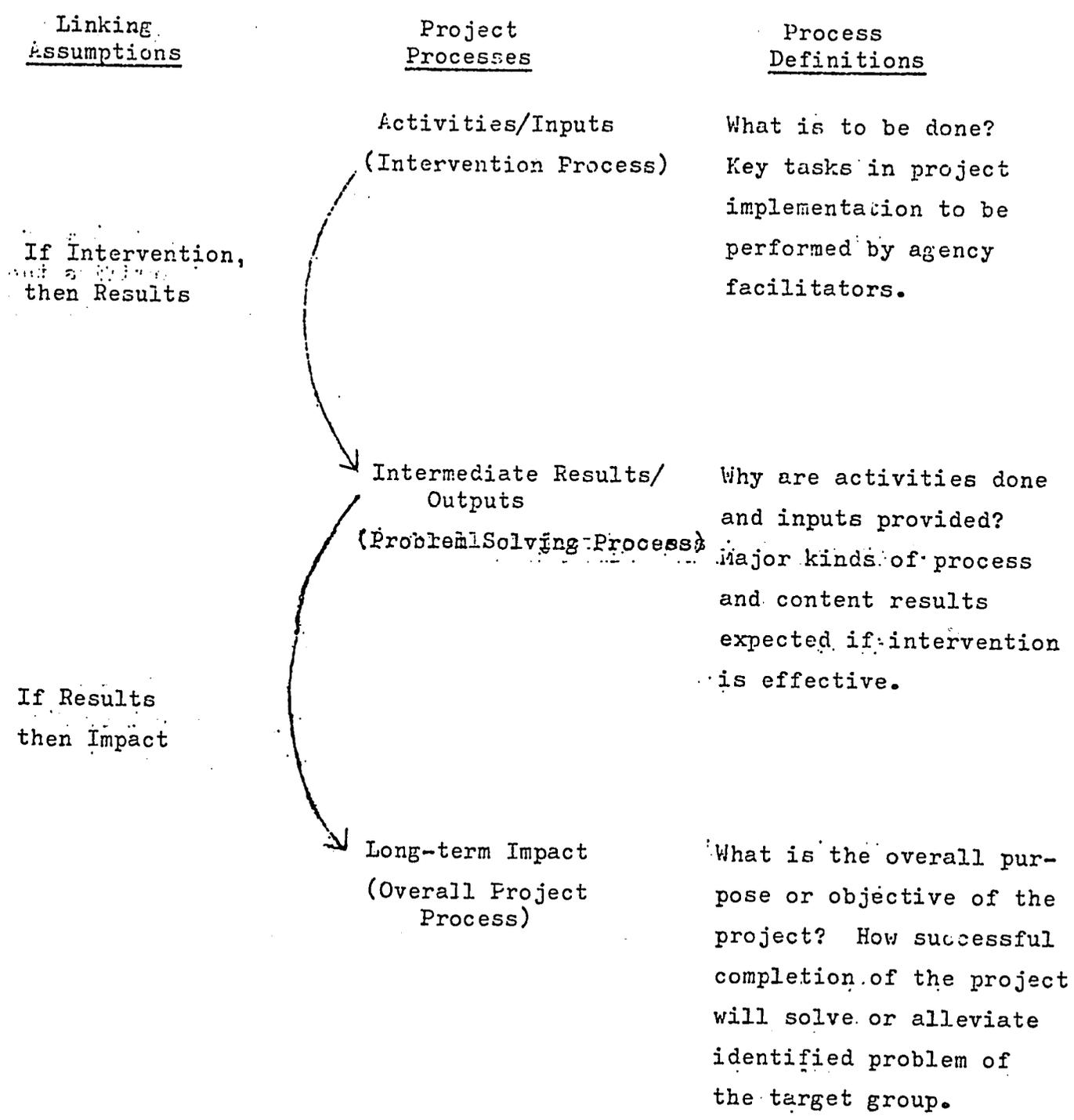
There is a certain logic underlying development projects, whether we realize it or not. If a project is well designed, the major activities or inputs of the agency (e.g., facilitation, organizing, training, capital, technology, etc.) should result in certain intermediate results or outputs (e.g., problem solving capability, viable organizations, improved knowledge and skills, higher levels of production, etc.). In turn, these results and outputs should lead to the desired long-term impact on the target population (higher income, better health, people-controlled institutions, greater self-confidence, etc.). In general, these processes take place chronologically.

Thus, a development project strategy can be viewed as three project processes linked by two sets of assumptions, as illustrated in Figure 2.

The strategy of a project can be designed or identified by answering five questions, in the following order:

- 1) What is the desired long-term impact on the target group?
- 2) What are the major activities or inputs to be implemented by the "outside" agency?
- 3) What are the expected intermediate results or outputs of these activities and inputs?

Figure 2. PROJECT STRATEGY FRAMEWORK



- 4) What assumptions must hold for the activities and inputs (number 2) to lead to the results and outputs (number 3)?
- 5) What assumptions must hold for the results and outputs (number 3) to lead to the long-term impact (number 1)?

Once the answers to these questions have been developed and agreed upon by the planning team, they can be the basis for preparing a Project Concept Paper. The Project Concept Paper is a fairly detailed document which outlines the strategy of the project and the general plan of implementation. It also identifies the major resources required. The Project Concept Paper can be the basis of a project proposal to a funding agency. The Project Concept Paper format currently used by IIRR is attached for your reference. (See Attachment V)

### 5.3 Project Implementation Planning

This aspect of project planning focuses on the activities and inputs of the development agency. These include the set of facilitating activities for learning from and organizing the target group during the Intervention Process and also any technical or financial resources which the agency may provide during the People's Problem Solving Process. Careful planning of these steps is necessary if the intermediate results and long-term impact of the project are to occur.

There are a number of tools that can be used to facilitate project implementation planning. Four tools which IIRR has found useful in various aspects of implementation planning are described below. All of them require the chronological ordering of inputs or activities and this is the basic first step in implementation planning. Examples of each tool will be given during the session.

1) Gantt Chart

The Gantt Chart is a series of parallel horizontal bars that show at a glance the timing and status of various activities required to complete the implementation of a project. In short, it is a simple, graphical record of schedules and accomplishments plotted against time.

2) Task Analysis

Task Analysis is the systematic arrangement of the logical and essential operations required for implementing a major activity or project, and the identification of the person responsible for completing the task, the target completion date, and the measures of accomplishment.

3) Flow Chart

The Flow Chart is a graphical representation of organized procedures and information flow arranged in a chronological sequence of actions in order to show the relationship between each. A flow chart is useful in planning procedures (such as training or ~~mapping~~) which may recur throughout project implementation.

4) Network Analysis

Network analysis is a system for studying or examining interrelated, interconnected and interdependent activities in project implementation in order to identify in advance problems or opportunities which require decisions. Network analysis goes beyond the first three tools to show the relationships between various activities.

All of these tools can be used at the agency level. In addition, IIRR has shared the first two tools -- Gantt Chart and Task Analysis -- with the rural people for use in their Problem Solving Process.

#### 5.4 Project Evaluation Planning

The evaluation of the project should be planned at the beginning of the project. Based on the strategy plan, specific indicators should be agreed upon in advance for each activity or input, result or output and long-term impact objective. Reporting and information gathering activities should be scheduled during project planning in order to ensure that time, staff and resources are allocated for monitoring and evaluation.

Project evaluation will be discussed in detail in the next section.

### 6. PARTICIPATORY PROJECT EVALUATION

#### 6.1 Rationale

Evaluation is an assessment of whether or not the planned project strategy actually works in the field. Evaluation of a participatory development project should help us answer these general questions:

- 1) Was the planned intervention strategy actually followed? If not, what was done differently, and why?
- 2) Did the intended beneficiaries strengthen their capability to solve their problems? Is the process continuing?
- 3) What problems have they actually solved so far?
- 4) Were there any unintended outcomes of the project, either positive or negative? Who is benefiting?
- 5) How can the strategy be improved?

Evaluation should not be done to prove that a project is successful, or to prove that it is a failure. It should be done to improve the strategies and techniques that both out-

sidiers and insiders use to pursue development. Evaluation feedback should be used by project staff and the rural people to continually improve what they are trying to do; otherwise it is a wasted exercise.

Therefore, a fundamental requirement in this process is openness of the project staff to critical feedback from the people and from each other. It is expected, and even desirable, that strategies evolve during the life of the project as more is learned about what works and what does not work. It is only through this dynamic learning-by-doing process that we will come closer to our goal of rural development.

A useful article concerning evaluation as a means of improving projects is included as Attachment VI.

## 6.2 Types of Evaluation

Evaluation is usually viewed in terms of the phase of the project, as follows:

- 1) Monitoring: Focuses on the level, timing and effectiveness in carrying out intervention activities or providing inputs on the part of the development agency.
- 2) Ongoing (formative) Evaluation: Focuses on the intermediate results or outputs generated during the life of the project.
- 3) Final (summative) Evaluation: Performed at the end of the project and focuses on long-term impact as well as the overall effectiveness of the strategy.

Evaluation can also be viewed in terms of who perform it;

- 1) People's Self-Evaluation: Part of the continuous cycle of problem-solving at the village level and an input into all other evaluations.
- 2) Internal Evaluation: Conducted by the agency itself; a participatory internal evaluation also includes participation by the intended beneficiaries.
- 3) External Evaluation: Conducted by a third party from outside the agency. Has the advantage of being objective, but the disadvantages of being uninvolved and threatening.

### 6.3 Characteristics of Effective Evaluation

There are at least seven characteristics of effective evaluation of development projects:

- 1) Participatory: Evaluation should involve everyone in a project, including the staff, the intended beneficiaries, researchers and donors; participation should include more than merely answering questions, but also planning, ~~interpreting findings and using results,~~
- 2) Continuous: Evaluation cannot be a one-shot deal; it must be integrated into the project from the planning phase all the way to the completion stage.
- 3) Process and Content Focus: It should examine the process whereby the facilitators and the people achieve results, as well as the technical impact of those results.
- 4) Qualitative and Quantitative Data: While some numerical data may be required to measure changes and technical impact, descriptive data collected by observation and dialogue may be more useful for assessing processes and learning people's opinions and feelings.

- 5) Systematic: The information collected should be unbiased and representative of those involved; clear indicators agreed upon by all involved should be used.
- 6) Practical: Efforts spent on evaluation should be reasonable, economical and timely; since all aspects of a project cannot be examined, it should be focused on the most important elements and questions.
- 7) Used to make decisions: All our efforts on evaluation will be wasted unless the findings are actually used by managers, project leaders and the people themselves to make decisions for improving their development efforts. There must be commitment to the evaluation process.

#### 6.4 How to Evaluate

A complete and integrated evaluation system should include:

- 1) A system for monitoring and documentation throughout the project life;
- 2) Periodic self-evaluation by the village groups;
- 3) Periodic ongoing evaluation by the agency facilitation team,
- 4) Final evaluation at the end of the project.

The first three of these tasks can often be done in a fairly informal, though systematic, way. Results should be immediately fed back to the people and the staff for necessary adjustments in the project.

The final evaluation, however, should be done somewhat more formally and comprehensively. Actually it makes use of the outputs of the other three evaluation activities. Therefore, we shall concentrate on how to implement a participatory, internal, final evaluation of a rural development project.

In order to ensure that no important tasks are overlooked, it is recommended that the following sixteen steps be followed in implementing such an evaluation:

- 1) Form a Project Evaluation Team (PET) composed of the project facilitating team, researchers and representatives of the people if feasible. The PET should implement or coordinate all further steps.
- 2) Establish rationale for evaluation:
  - who will use the findings?
  - for what purpose will they be used?
  - what general questions are expected to be answered?
  - who should be involved in the evaluation?
- 3) Review and clarify project strategy in terms of timing, process, and content:
  - project inputs and activities
  - expected intermediate outputs or results
  - expected final impact
- 4) Together with project participants, identify key or specific evaluation questions relative to:
  - activity/input targets and processes
  - intermediate objectives process results/outputs
  - final objectives (long-term technical and process impact)
- 5) For each evaluation question select content and process indicators that will be used and identify possible measures for each.

- 6) Collect and study all existing baseline data or reports on project implementation and progress as well as results of people's self-evaluations.
- 7) Select methodologies for obtaining additional information based on indicators. (e.g., sample survey, key informant survey, group dialogue, individual dialogue, observation, etc.)
- 8) Prepare draft formats (such as outlines and dummy tables) to be used for presentation of information.
- 9) Prepare instruments (questionnaires, interview guidelines, discussion points, etc.) for information collection.
- 10) Pre-test, and revise instruments if necessary.
- 11) Collect information using more than one methodology.
- 12) Compile, tabulate and analyze (if statistical tests are used) the information. Integrate quantitative and qualitative information.
- 13) Feedback to project participants for validation and recommendations (using simple information-sharing methods).
- 14) Interpret information in light of indicators, targets and objectives, as well as people's reactions. This should be done by the Project Evaluation Team involving both persons involved and those not involved in the project intervention.
- 15) Prepare report covering evaluation process, findings and recommendations.
- 16) Discuss findings with all project managers and implementors and make decisions on recommendations.

During the rest of this module we will focus on a number of those steps, especially identifying key evaluation questions, selecting indicators, methodologies for collecting information, and using the results.

## 6.5 Key Evaluation Questions and Indicators

Perhaps the most critical steps in effective evaluation are asking the right questions and selecting indicators for the answers. We have to know what we are looking for in an evaluation and how to recognize it when we see it.

There are general evaluation questions which should be asked about all participatory development projects, such as those under 6.1 above. There are also specific questions related to the project strategy and objectives. A starting point, then, are the three project processes: activities/inputs, results/outputs, and long-term impact objectives. These objectives are usually stated in fairly general terms. Therefore it is necessary to generate more specific questions about each one.

Finally, any other questions which the people themselves, the facilitators or the funding agency may want to ask about the project should be identified.

It is probably not possible to answer all of the questions in one evaluation. Therefore, the questions should be prioritized and the most important ones identified.

Once we have a set of key evaluation questions we must identify specific, observable or measurable indicators as a basis for answering each. For example, a question might be: "Has a viable problem solving group emerged in the village?" What will be the basis for answering "yes" or "no"? What does a "viable problem solving group" look like? Everyone involved in the evaluation must agree on these indicators before collecting information.

An entire workshop during the training session will be devoted to identifying key evaluation questions and measurable indicators. The attached worksheet (Figure 3) is prepared to facilitate this planning phase of the evaluation.

Figure 3. WORKSHEET FOR PLANNING A FINAL EVALUATION

Target/Objectives	Key Evaluation Questions	Indicators with Measures	Sources of Information	Methodologies for Collecting Information
<u>Activities/Inputs:</u>				
<u>Results/Outputs:</u>				
<u>Long-Term Impact:</u>				

## 7. INFORMATION GATHERING

At every stage in a project -- planning, implementation, evaluation -- it is necessary to collect and use information. Since development projects are a joint effort of the rural people and the agency, the full participation of the people even in information gathering is necessary. Participation means much more than being a respondent for a survey. It means that the project beneficiaries should participate in deciding what information to collect, in collecting the information and in using the information.

### 7.1 Kinds of Information

If information gathering is to be participatory it must be relatively simple and direct. Qualitative (or, descriptive) data as well as Quantitative (or numerical) data should be collected.

Quantitative data refers to information that can be measured or stated in exact quantities. There are several kinds:

- 1) Exact measurements -- e.g., 50 kilograms, 200 square meters, 100 Pesos.
- 2) Counting -- e.g., two radios, 10 share tenants, 4 injections
- 3) Ordering -- e.g., first place in a race, last need in priority, group with highest yields.

On the other hand, qualitative data refers to information which can be described but not directly measured. This includes such things as attitudes, values, reason, descriptions, history. Sometimes we try to use substitute or approximate measures, such as ordering (first, second, last); assigning different weights to particular answers or using a scale (e.g. from 1 to 5, with 1=least satisfied and 5=most satisfied).

Other kinds of qualitative data may not be quantifiable at all, but can give us deep insights into the social dynamics of a community's behavior. For example, rural households' reasons for borrowing from private moneylenders, despite usurious interest rates, can only be fully discovered and explained by in-depth dialogues with farmers.

## 7.2. Methodologies for Information Gathering

There are a large number of methodologies for collecting information in rural areas. Some are more suited for collecting qualitative data, others for quantitative data. Some can be used to collect both kinds of data. The major methodologies will be identified briefly here. The advantages and disadvantages as well as the kinds of data they are most useful for collecting will be discussed during the session.

- 1) Survey -- This very common methodology uses a questionnaire or interview schedule which is prepared in advance. Though most suited for collecting quantitative data, some qualitative data can also be gathered using survey. Though surveys tend to be controlled by the researcher or agency, techniques can be used to make them more participatory. There are three types of surveys:
  - a) Census: a complete enumeration of a community or population;
  - b) Sample: interviewing a sub-group which is chosen to represent the larger group about whom we are gathering information; there are simple random samples stratified random samples; and purposive samples.

- c) Key Informant: interviewing one or a small number of persons to gather information on a group about which they are well informed.

More information on survey, questionnaires and sampling is available in Attachment VIII.

- 2) Record Keeping -- A small sample of households keep daily written records of activities related to income, expenditures, labor time, etc. In this way it is possible to obtain very detailed and accurate data on items about which it may not be possible to obtain accurate data in a one-shot survey.
- 3) Structured Dialogue -- In a structured dialogue the interviewer uses written guide questions or structured exercises to elicit information from respondents. The agenda of the dialogue is controlled, for the most part, by the researcher. The respondents may be chosen randomly or purposively. Both quantitative and qualitative information can be obtained, though the questions are usually open-ended and more conducive to qualitative information. There are two general types of structured dialogues:
- a) Individual In-depth Interviews: This is conducted in a one-on-one situation to obtain detailed information concerning the respondent himself or concerning a larger group.
- b) Structured Group Exercises: The researcher gathers information from a group of persons using exercises or games which ensure that all participate and contribute. Examples are S/OT, Key Informant Panel, and Self-Actualizing Methods. This is especially useful for collecting qualitative data -- needs, opinions, feelings -- either as a group consensus or as differing points of view.

- 4) Unstructured Dialogue -- With this methodology the researcher engages individuals or groups in free and natural conversation using no written instruments or exercises. This is also called "small talk." The researcher has some topics of interest in mind, but gains information about these only if it is offered in the natural course of the dialogue. Occasions for dialogue are not artificially arranged, but naturally occurring encounters are taken advantage of. Notes are not taken during the dialogue but are recorded later. This method is suited only for collecting qualitative data. We can also distinguish the two types:

- a) Small Talk with Individuals;
- b) Small Talk with Groups.

The only important difference in the two types is that with individuals the researcher must play an active role in the dialogue and will learn only one person's point of view; with a group the researcher can play a less active role and observe the dynamics of the group as they exchange views.

- 5) Pure Observation Some objective data can be collected merely by observation; without entering into a relationship with other people. Sometimes this is called "ocular survey" or "rapid appraisal". Examples might be the presence or absence of irrigation systems or TV antennae; condition of housing; types of crops grown; or extent of malnourishment of children.

is the response

- 6) Pure Participation -- This approach requires that the researcher actual join, work with, or live with the group he is trying to understand. His research role may be known or unknown to the group. One example would be a researcher who lives and works with a farm family for a crop season. An example of even purer participation would be a researcher who becomes a migrant worker for a year in order to experience their hardships and then writes a book on his experience.
- 7) Case Study -- The case study is an "in-depth analysis of a single example which is more or less representative of a larger group or collection. The subject may be an individual (e.g., a Barangay Scholar), a household (i.g., tenant farm family) an organization (e.g., a cooperative), or a village. By concentrating on one case only, the researcher is able to examine all the relevant details that explain a real-life situation, including factors which make it similar or different from other cases.
- Actually, an in-depth study of one specific case may give us a deeper understanding of a general reality. In evaluation, we can conduct case studies of clearly different outcomes in order to learn what might explain the different results. For example, case studies of one clearly successful cooperative, one clearly unsuccessful cooperative, and one in between could extremely useful.
- 8) Documentation -- Much useful and important data can be obtained by examining existing published and unpublished documentation at the village and local government levels. Household lists and demographic

data may be available from a government census; land titles and tax records may be available; the local extension agent may have crop statistics for a number of years; maps and local histories are often useful.

## 8. USING INFORMATION FOR EVALUATION

### 8.1 Who Should Use Results

Evaluation results should be shared as widely as possible so that people, both within the project and outside, can learn from the experience and improve their development efforts. Sharing the weak points, along with the strong points of a project can actually enhance the credibility of the agency among the people themselves and among other development workers. There are at least four groups with whom results should be shared:

- 1) The project beneficiaries -- The rural people participating in the project should be involved in both interpreting the findings and using them to further strengthen their own problem solving. Preliminary results of the evaluation should be shared with the people through structured group dialogues. Results can be presented in simple tables and pictures for discussion. The people's reactions to the findings should be sought in order to validate and amplify them. Also their suggestions on how to improve the weak points of the project -- both the agency's intervention process and their own problem solving process -- should be sought, and these should become part of the final write up.

- 2) The facilitation team and agency managers -- Those in the agency who planned and implemented the project should thoroughly discuss the preliminary findings. They should focus on: (a) how to improve the present project, if it is to continue; and (b) how to design a more effective strategy for future agency projects. Out of this dialogue should also come recommendations for any needed policy decisions and a plan for following them up. These points should also become part of the final report.
- 3) The project funders -- Very often evaluations are carried out by non-government development agencies only to answer the questions or meet the requirements of this group. As we have seen, this should not be the case. Evaluation should satisfy the donors, but it should go beyond that and even attempt to educate them in the complexities and challenges of participatory development work with the poor. This will make donors more likely to support realistic, people-oriented development efforts in the future. Therefore, the final report that is shared with the donor should accurately reflect the successes and shortfalls of the project and also lay out what has been learned for future efforts.
- 4) Other development agencies -- Development must not be approached as a profit-making private enterprise. There should be no hoarding of findings and results; no "industrial secrets". As co-workers in the vast undertaking of development we are obliged to share our findings as widely as possible with our fellow development workers. This is done through publication

either by the agency itself, or by the donor with the agency's permission. Rather than worry about the professional appearance of such publications, we should be concerned about the content and its ultimate aim of benefiting the rural poor in areas or countries beyond the scope of our work.

## 8.2 Format for Reporting Results

After dialogues with the people and the staff concerning the preliminary findings, a final evaluation report should be prepared. This report becomes part of the "organizational memory" -- the accumulated knowledge that an agency uses as a basis for all future planning and implementation. It is also the report which is shared with donors and other development agencies.

In order for others to benefit from the experience, the report should include an explanation of the original project strategy (what the agency was trying to do), a description of the intervention process (what actually happened), and the results of the intervention (how the people responded and what they accomplished). It should also include a description of the evaluation process and a discussion of findings along with recommendations.

A suggested outline for a Final Evaluation Report is as follows:

1. Executive Summary (5-10 pages)
  - 1.1 Summary of Project Strategy
  - 1.2 Rationale for Evaluation: General Question  
to be Answered
  - 1.3 Summary of Evaluation Process
  - 1.4 Summary of Major Findings

- 1.5 Recommendations for Improving this Strategy
2. The Project Strategy
  - 2.1 The original problem to be addressed and how it was identified
  - 2.2 The planned activities and inputs of the Facilitator's Intervention Process
  - 2.3 The expected process and content results of the People's Problem Solving Process.
  - 2.4 The expected long-term impact of the project.
  - 2.5 Assumption that would have to hold if the strategy is to work.
3. The Evaluation Process
  - 3.1 The key evaluation questions and indicators
  - 3.2 Information gathering methodologies used
  - 3.3 Problems or limitations of the process.
4. Evaluation Findings

Note: This section should be organized around the key evaluation questions and indicators. All relevant qualitative and quantitative data should be integrated to answer each question one at a time.

- 4.1 The Actual Intervention Process
  - a) Did it follow the planned strategy? (Discuss relevant key evaluation questions).
  - b) Reasons for variance from original plan.
  - c) Did variance in implementation significantly alter the strategy itself? Should we expect different results?

## 4.2 The Problem Solving Accomplishments of the People

- a) Was a problem solving capability generated?
- b) What actual problems were solved and how?  
What concrete accomplishments?
- c) What linkages have been established? Will the process be self-sustaining?
- d) Explain any constraints or unexpected developments that may have affected the results.
- e) Describe any unexpected outcomes, either positive or negative.

## 5. Overall assessment of the Project Strategy and Recommendations

5.1 Was the original problem identified a valid one?

5.2 How well does the project strategy seem to work?

5.3 Was the strategy and implementation process in conformity with people-oriented principles?

5.4 Is the strategy ready for extension by the agency or adaptation by others?

5.5 Suggestions for adjusting the strategy

## 6. Case Studies and Appendices

Case studies can be very valuable in making an evaluation come alive. Short case studies (5-10 pages) of one successful village or group and one less successful village or group can communicate to others the concrete experience of the project. An outline for such case studies is included as Attachment VII.

Rural Reconstruction or development is a long and difficult process. There is no simple formula which can automatically set this process in motion. Nevertheless, if we approach our development work as a

learning process, useful lessons can be generated and built upon. Success as well as failure should be examined as a basis for improving our approaches. It is only through this process of learning-by-doing in partnership with the rural people that development agencies can gradually design more effective strategies for enabling the rural poor to release their potential for development.

THE MISSION AND KEY RESULT AREAS OF THE  
International Institute of Rural Reconstruction

MISSION

Identity:

IIRR is a world center promoting human development in rural communities of the developing world through people's participation in an integrated, holistic program of rural reconstruction.

Operational Goal:

IIRR's operational goal is to generate and disseminate knowledge of how to enable rural people in developing countries to release their own potentials and capabilities in improving their lives and the lives of people in all sectors of their communities.

KEY RESULT AREAS

1. Operational Research
2. International Training
3. International Extension
4. Organizational Management Effectiveness
5. Resource Development

## OPERATIONAL RESEARCH QUESTIONS, 1983-85

International Institute of Rural Reconstruction

- I. How can the components of the People's School System be further developed into a participatory Integrated Approach to Rural Reconstruction with effective People's Organizations and responsive Service Support Systems interacting for the solution of the basic problems of the rural poor?
1. How can the formal leadership development component be further developed as a strategy for stimulating both municipal and village leadership groups to recognize and effectively respond to the articulated needs of the rural poor?
  2. How can the people's organization component be further developed as a strategy for stimulating the emergence of informal and formal acquisition groups of the rural poor with the necessary management and problem solving capabilities to become effective forces for rural development?
  3. How can the technology and resource transfer component be further developed as a strategy for supporting the development of effective people's organizations and leadership groups by responding to their expressed training and support needs?
- II. What are innovative solutions to some of the critical rural problems in livelihood, health, education and culture, and self-government which can further improve the methodologies, technologies and resources available for implementation through an Integrated Approach to Rural Reconstruction.
- 114

- III. How can the strategies, lessons and insights which emerge from addressing Operational Research questions I and II be effectively implemented as a participatory and self-reliant Integrated Approach to Rural Reconstruction at the municipal level?
  
- IV. What other Integrated Approaches to Rural Reconstruction might be effective in enabling the rural poor to improve their lives?

SOME USEFUL REFERENCES  
ON PROJECT PLANNING AND EVALUATION

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INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
Silang, Cavite, Philippines

PROJECT IDEA SHEET

Date Submitted: \_\_\_\_\_

1. Name of project: \_\_\_\_\_

2. Project type: sectoral/integrated/adaptation/support (circle one)

3. Relevant 1982-84 OR question (from approved plans):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Relevant 1982 OR objective (from approved plans):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Specific OR question(s) to be addressed by this project:  
5.1 \_\_\_\_\_  
\_\_\_\_\_  
5.2 \_\_\_\_\_  
\_\_\_\_\_

6. Estimated number and type of communities/groups/sites required to adequately answer identified OR project questions:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

7. Specific target group: \_\_\_\_\_  
\_\_\_\_\_

8. Problems of the target group to be addressed:

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9. Project results/outputs (situation of target group at end of project):

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10. General strategy to achieve results:

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11. Estimated life span of project from \_\_\_\_\_; to \_\_\_\_\_

12. How will the information generated in this project be shared?

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13. Suggested members of the Project Implementation Team:

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Submitted by: \_\_\_\_\_

## SEVEN QUESTIONS TO ASK ABOUT A DEVELOPMENT PROJECT\*

1. Whose project is it? Is it the donor agency's?  
or  
Does it originate with the people involved?
2. Does the project diagnose the problem to be tackled as a technical or physical deficiency (e.g., poor farming methods or depleted soils) that can be overcome with the right technique and skills?  
or  
Is the physical or technical problem seen as only a reflection of social and political relationships that need to be altered?
3. Does it reinforce the economic and political power of a certain group which then becomes more resistant to change that might abolish its privileges?  
or  
Does it generate a shift in power to the powerless?
4. Does it, through the intervention of outside experts, take away local initiative?  
or  
Does it generate a process of democratic decision making and a thrust toward self-reliance that can carry over to future projects?
5. Does it reinforce dependence on outside sources of material and skills?  
or  
Does it use local ingenuity, local labor, and local materials, and can it be maintained with local skills?
6. Does it merely help individuals adjust to their exploitation by such external forces as the national government or the international market?  
or  
Does it encourage an understanding of that exploitation and a resistance to it?
7. Will success only be measured by the achievement of the pre-set plans of outsiders?  
or  
Is the project open-ended, with success measured by the local people as the project progresses?

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\* From Food First, by Frances M. Lappe and Joseph Collins, Boston: Houghton Mifflin, Co., 1977, pp. 365-366.

INTERNATIONAL INSTITUTE OF RURAL RECONSTRUCTION  
 Silang, Cavite

PROJECT CONCEPT PAPER

1. Project Title:
2. Implementing Unit:
3. Duration of Project:
  - a. No. of Months\*
  - b. Starting and completion dates\*
4. Relevant long-range OR question:
5. Relevant 1982 OR objective:
6. More specific OR question(s) to be addressed by this project (what do we expect to learn from this project; may be general objectives for support projects):
7. Brief Description of Project (1-2 paragraph summary of rationale, objectives, strategy):
8. Specific target group(s)/project area(s):

Target Group(s)

Suggested Project Area(s)

TOR(S) NG	
PRIME MOVER FOR ACTIVITY	

General Plan of Implementation

MAJOR ACTIVITIES OF IIRR STAFF (In Chronological Order)	APPROXIMATE SCHEDULE (Month)	SPECIFIC PURPOSE OF ACTIVITIES (Expected outcome at barrio level necessary to achieve final objectives)	OBSERVABLE/MEASURABLE INDICATORS THAT PURPOSE IS ACHIEVED/ ACHIEVED



15. Prerequisites and constraints (list down all prerequisites which you feel are needed to assume achievement of project results, and all anticipated/actual constraints which may negatively affect the project and what you propose to do to avoid/minimize these constraints or their negative effect on the project):

a. Prerequisites:

b. Constraints:

PREPARED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

## EVALUATION: AUTOPSY OR CHECKUP?

by Catherine D. Crone

"Pity you didn't call us sooner. We might have been able to save it." The project is dead and the corpse is laid out for the experts to dissect. Maybe they can tell us what went wrong. "Here," they say, "you should have had an injection of money. Not much. A couple of hundred would have done the job. Here the timing was bad," they go on. "And there you didn't leave enough time for training." "Why did you start the second level of classes just as the planting season was about to begin?" And they gather around, and shake their heads ponderously. "What a pity you didn't call us earlier."

It's a story that's all too familiar to those of us working in development projects. But it doesn't have to be that way.

As educational planners and program administrators, we would do well to learn some lessons from the practice of regular checkups in the health field. If we don't, we will continue to find ourselves in the unsatisfying position of trying to figure out where our well-thought-out plans went wrong. And this is where evaluation procedures become a necessary tool for aiding project staff to carry out the periodic checkups that will tell them how the program and its various parts are functioning as they go along. Those procedures also lay the groundwork for determining at a later date what kinds of impact the program is having on the participants and communities it is designed to help.

Traditionally, evaluation has been thought of as a means to find out if a program "worked." The standard procedure in the best of circumstances has been as follows. First, the program goals and objectives are laid out. Then, some kind of baseline measure is taken of what the situation is before the start of the program. Finally, after two or three years of project activity, a similar post-test or survey is administered to see if there has been any change, and whether those goals and objectives have been reached.

This post-project activity---which is generally carried out by some external agent---is often seen as threatening by those who are running the project. It is of course important to know the impact of the project, but the reluctance of program staff to undergo "evaluation" in

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\* From Reports Magazine, No. 15, October 1977, published by World Education, where Ms. Crone is director for research and development.

127

the traditional sense I have described is understandable. They see the outsiders coming in to tell them whether or not they have done a good job. This judgment usually has implications not only for the continuation of funding for the project but for their own job security. Further, in development projects, the outside experts may be persons who are sent at the behest of the funding agency, and who may have expertise in evaluation techniques but very little understanding of the project itself or of the culture in which the program is rooted. The criteria on which their judgments are made are often not clear; and if they are clear, the project staff may disagree with the evaluators about whether the criteria are appropriate for judging success.

But let us leave aside for the moment how criteria for success should be developed, what procedures for external evaluation should be developed, and who should participate in making those decisions---all of which contribute to the degree of threat. Suffice it to say that the word evaluation has traditionally been linked with the external process of judging the degree of success or failure at the end of a project. It is no surprise that evaluation has not, in most cases, been a high priority for those involved in the complicated daily tasks of running a project.

Evaluation as a diagnostic tool. More recently, however, emphasis is being placed on another aspect of evaluation, one that has always been there but perhaps too neglected in the past. Evaluation is increasingly seen as a valuable internal process for assisting staff to make more effective decisions while the project is actually going on. By designing ways to gather information on a regular basis from the outset of the project, staff members are able to receive feedback periodically on the way various aspects of the project are working. They can "checkup" on the progress of those well-thought-out plans and make quick and timely changes in practice which, if not modified, could seriously impede potential positive outcomes of the project.

In nonformal education programs, these internal evaluation or "feedback" procedures can help to answer questions that deal with the basic health of the project: "Are the topics in the curriculum relevant? Are they of interest to the participants?" "Do the teachers---or group leaders, or facilitators, or promotores---feel comfortable with the teaching process? Do they need additional training?" "Are the materials effective? Do the visuals convey the meaning they were intended to convey?" "Are resource people available to help explain, or to provide skills training in a particular topic area?"

Questions, questions, questions. There are of course many other questions that feedback procedures can help project staff answer. The nature of those questions depends upon what the staff decides at the outset of the program are the most critical components.

Not everything can be answered. To try to do so would be foolish. Evaluation costs money and takes time; trying to answer all the questions would mean that members of the staff would be spending all of their time collecting data instead of running the program.

The project staff must look carefully, therefore, at the pieces that make up the program as a whole. At the very beginning of the program, they must begin to decide what kinds of information will be most useful to them in understanding how various parts are functioning as the project proceeds. And then they must set up the simplest possible mechanisms for gathering that information---mechanisms that will not divert too much staff energy from running the project itself.

Also at this point, very early in the program, everyone concerned with the project---staff, funders, coordinating agencies, and others concerned directly with the program---needs to look two or three years down the road and make some preparations for judging the impact or outcome of the project. Like it or not, it is important to know how well the project worked. What kind of impact did it have on the lives of the participants it was designed to serve?

All of those connected with the project, directly or indirectly, will have various things that they want to know about that impact. Therefore it is important at the outset for all the concerned parties---even the participants---to decide what the criteria for "success" should be, what kinds of indicators will tell the degree to which those criteria are being reached, what kind of information is needed to arrive at those indicators, and finally, how that information will be gathered and by whom.

The reason for making some decisions about the final evaluation at the outset is to ensure that comparable data is those who provide the technical assistance and those who provide the funding---understand and have agreed on the criteria for judging success and the process by which that will be done, it is more likely that the final evaluation will be handled in a spirit of cooperation and the results taken seriously by all those who have a stake in the project.

SUGGESTED OUTLINE FOR A  
CASE STUDY

Note: This outline would be appropriate for documenting the process of project implementation in a single community, or the development of a specific organization or group.

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1. Introduction: Rationale for this case study
  - 1.1 What is the general development issue or question to which this case is related? (e.g., reaching the poor, cooperatives, credit, women, etc.)
  - 1.2 How is this case related to IIRR's overall program of Operational Research? To which general Operational Research question is it related? What are the specific project Operational Research questions?
  - 1.3 What specific question should the reader keep in mind? (e.g., What to do next? What went wrong? Why is this a success? How to improve the strategy?)
2. Description of the Setting
  - Describe the project setting with emphasis on items most relevant to the case:
    - 2.1 Geographical features
    - 2.2 Brief history of the community
    - 2.3 The people: number, origins
    - 2.4 The land: area, use, tenure
    - 2.5 Socio-economic conditions: income sources, economic groups, health conditions, education levels, housing, etc.
    - 2.6 Agricultural production: farming systems, crops, input sources, markets, credit, labor sources, etc.

2.7 Power structure and organizations or institutions in the community

2.8 Infrastructure facilities

### 3. The Project: Intervention in the Community

3.1 Rationale for the project: origin and development of the project idea

3.2 What specific problem is the project addressing and who is the specific target group?

3.3 Project strategy: What were the major planned activities and what changes were they expected to bring about?

3.4 Chronological description of the actual implementation

-- A story-like narrative of the activities of the staff and the people during the life of the project; covering each phase, such as:

a) Going to the People

-- entry and rapport building

b) Learning from the People

-- Methods used to gather information on the group or community

c) Planning with the People

-- How were needs identified?

-- How were projects selected?

-- How was implementation planned?

d) Organizing

-- How were groups or organizations formed?

-- Who are the members; the leaders?

-- How did it develop?

e) What inputs (training, materials, services, linkages) were provided by the staff?

- f) Selection, implementation and outcome of the people's projects/activities
- g) Problems encountered and how they were resolved.
- h) Process of phase out by the staff (if underway)
- Highlight decision points, changes in direction, successes, failures, feelings of the people and the staff.
- Give details of methods used by the staff and the reactions of the people using direct quotes when possible.
- Document up to present time and describe what is expected to happen next; or what decision is needed now.

#### 4. Analysis

- Identify and discuss major issues raised by the implementation by addressing such questions as:
  - 4.1 Was the original identification of the problem valid?
  - 4.2 Was the strategy implemented according to plan?
  - 4.3 Did the expected results occur?
  - 4.4 Did the implementation follow the principles of Rural Reconstruction?
  - 4.5 Was the process integrated?
  - 4.6 Is the strategy adaptable?
  - 4.7 What was learned relevant to the Operational Research questions identified at the beginning? Sum up what has been learned and what needs more study.

#### 5. APPENDICES

- Attach any materials which would help the reader understand the case.

## I. When to do a Survey

A survey is a systematic activity of gathering information through a questionnaire or interview schedule. In practice, it is used to collect data at the beginning of a project (as a baseline or before the program information) at the midpoint of the program, and at the end of the project (terminal or after the program information).

## II. Steps in Implementing a Survey

### A. Planning the Survey

1. Establishing survey objectives
  - What is the purpose of the survey
  - Why do the survey
2. Determining the respondents
  - Who is the best respondent to the survey
3. Designing the survey instrument
4. Preparing the sampling design
5. Determining the logistics of the survey

### B. Actual Information Gathering

6. Pre-test and revision of survey instrument
7. Actual survey

### C. Data Processing and Analysis

8. Editing data
9. Data processing or tabulation
10. Analysis and interpretation

### D. Documentation

### III. Designing the Survey Instrument

#### A. QUESTIONNAIRES AND SCHEDULES\*

As things generally work out, a questionnaire is a set of printed questions to which people fill out their answers, while a schedule is a set of questions that an interviewer asks a respondent. In terms of saving time, there is nothing like a questionnaire. If you want information from school children, for example, the principal can call them together, you can pass out your questionnaire, they can fill it out and return it, and within half an hour you have data on a couple of hundred kids. Or you can mail out a questionnaire along with a self-addressed stamped envelope, and you don't even have to be present when the questionnaire is filled out. You just stand by the mailbox and wait for the data to pour in. But where the questionnaire may save time, it also suffers limitations: your respondents have to be literate. If you are to get a fair proportion of the group you are after, you need to have a captive audience. If you mail out questionnaires, you will be lucky to get one-third of them back, and you will have no way of knowing what sort of a selective bias characterizes who answered and who didn't. You can just be fairly sure that there was some selective bias. And this makes you cautious about what you can really say with your findings.

A schedule takes lots longer to administer, since you (or somebody) must read the questions and write down the replies. However, the advantages of using a schedule include the fact that you know whom you interviewed. Furthermore, if points are not clear to your respondent with a schedule you are right there to help clarify the questions for him or to probe his more interesting answers. A schedule is generally considered to provide richer and more accurate data than a questionnaire, however, it costs more in terms of time and effort, and it can reach only a relatively small number of people. The costs have to be weighed against the type of questions being asked and the type of people from whom answers are being sought.

#### B. WORDING THE QUESTIONS

Since one of the purposes of asking questions is to get unambiguous answers, the structuring of the questions is vitally important. Below are some questions in their original and final form:

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\* Taken from *On Asking Questions*, Joseph W. Elder (Department of Sociology, University of Wisconsin.)

a) are you a vegetarian or non-vegetarian?

This question covers too much ground. There are themes and variations of vegetarians that would make it hard for certain respondents to reply. The following is an improvement:

"Which of these is correct in your case:

- I eat neither eggs nor meat.
- I do not eat meat, but I eat eggs.
- I do not eat eggs, but I eat meat.
- I eat both eggs and meat."

b) "How often do you go to the temple for puja?

- Never?
- Rarely?
- Sometimes?
- Very often?

A problem with this question is that different respondents may have different notions of what is meant by "very often", "Sometimes" etc. A less ambiguous way of asking the question would be:

"During the past four weeks, how many times have you gone to the temple for puja?

- Never?
- Once or twice?
- Three or four times?
- Five times or more?"

c) "How important do you think it is to have better bathing and latrine facilities in this neighborhood?

- Very important?
- Somewhat important?
- Not important?"

Here again is the problem of what one means by "very important". A crisper way of asking the same question would be:

"If the government had Rs. 2,000 to spend per year in this neighborhood, what do you think it should spend its money on first? second? third?

- More school space?
- Better bathing and latrine facilities?
- A dispensary?
- A park and playground?"

- d) "The government is encouraging husbands and wives to practice family planning. Do you think the government should be doing this?  
 Yes?  
 No?  
 Other response?"

Here a major problem is that the question really contains two parts: one about family planning and the other about government involvement in family planning. Since the question is unclear, the answer cannot help but be unclear too. A better way would be for the question to be divided into its two parts:

"Some people say that family planning is something the government should be concerned with. Other people say that family planning is not something the government should be concerned with. Do you think the government should or should not be concerned with family planning?

- Should?  
 Should not?  
 Other response?"

"Some people say that husbands and wives should practice family planning. Others say that husbands and wives should not practice family planning. Do you think husbands and wives should or should not practice family planning?

- Should?  
 Should not?  
 Other response?"

Obviously there is no guaranteed way to make sure that questions are perfectly clear and not open to misinterpretation. But the best security against poorly-worded questions is obtained by working them over during the initial inquiry period.

### C. SOME POINTS TO CONSIDER IN DRAWING-UP A QUESTIONNAIRE\*

1. Formulate hypothesis to be tested and decisions to be made before gathering the information.
2. Frame the questionnaire in an analytical order. For example, do not ask first "What do you think of Family Planning" but find out if the respondent has indeed heard of Family Planning before asking him what he thinks of Family Planning.

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\* Febe A. Abenoja, Research Specialist, IIRR, Silang, Cavite Philippines.

3. Include check questions if possible. For example, if you want to find out from a farmer how much money was lost due to illness, include questions on how much was spent for medicine, doctors fee, man-days lost due to illness, etc.
4. Keep the interest of respondents in mind by starting with easy and non-controversial questions. The more difficult questions can be asked later in the interview.
5. The questions that are explicit, i.e. those which can be answered directly as with yes or a no or a quantified amount, are most likely to provide data that are readily amenable to analysis.
6. Open-ended questions should be used to obtain opinions, preferences or reasons for some actions. These can be grouped and coded after the data collection stage.
7. Avoid asking double-barrel questions. For instance, What are the principal crops you planted last year and which crops gave you the most income.
8. Omit questions that are not relevant to the survey objectives.
9. Gather only as much data as you can analyze and use in the proposed time frame.
10. Involve the People in the preparation of the questionnaire.
11. Pre-code answers as much as possible to facilitate analysis.
12. Leave ample room for all answers.
13. Time and place of reference should be established in the questionnaire.
14. Construct mocked up tables for every question before going to the field.
15. Pretest carefully the questionnaire, and amend it as necessary.

#### IV. SAMPLING

Sampling begins with the definition of the group (or "universe") from which you are going to draw the people you will actually question. You may, for example, want to question "school teachers". Obviously you can't really have a universe of "all the school teachers in India"... you'd never get back to the States. So you reduce your universe to - let's say - "all public elementary school teachers in

Hyderabad". Now, there is a universe you can probably work with. A trip to the municipal education office (or three or four trips) will finally produce a list of "all municipal elementary school teachers in Hyderabad". There are thousands of names on the list. If you wanted to use a questionnaire, you might select 500 of them. However, you want to use a schedule, and you figure that at the most you can interview 80 of the teachers (even that's a lot if each interview takes the better part of one hour). Now... the question is: which 80?

### RANDOM SAMPLING

The principle behind random sampling is that when you begin to draw the 80 names, every person on that list has an equal probability of being selected. The simplest way of doing this is to divide the total number of names on your list by 80 (let's say the answer comes out to be 50). Then, closing your eyes and pointing to one of the first 50 names on the list, you select that name and every 50th name until you reach the end of the list. If you have done your division right, you will end up with a list of 80 names. These are the ones you will interview.

With the reasonable probability one has to assume in these operations, the 80 teachers you have selected will reflect in a pretty general way the characteristics of "all municipal elementary school teachers in Hyderabad"... their sex and age distribution, academic qualifications, years of teaching experience, etc., etc. And after you have interviewed them, whatever your results are can be considered - again in a pretty general way - to apply to "all municipal elementary school teachers in Hyderabad", and not to "all school teachers in India" nor even to "all school teachers in Hyderabad" but to "all municipal elementary school teachers in Hyderabad". Your sample allows you to generalize only back to the universe from which you drew your sample. (I am leaving out masses of complex supporting statistics here that explain why. It is the broad picture we are after).

### STRATIFIED SAMPLING

Let us say that you have a slightly different problem...you want to compare Muslim and Hindu "elementary school teachers in Hyderabad". Holding 80 as the maximum figure you can interview, it makes most sense to interview 40 Muslims and 40 Hindus and then compare their answers. The principle is still the same, except that you take the list of "all municipal elementary school teachers in Hyderabad" and break it down into two strata - "all the Muslim municipal elementary school teachers in Hyderabad" and all the

Hindu municipal elementary school teachers in Hyderabad". (If you can't identify the difference between Muslim and Hindu names on your original list, your roommate can help you set up the two lists). Now from the Muslim list you select 40 names and from the Hindu list you select 40 names, using the same process described under "random sampling above. And out you go with your clip board to interview the names so drawn.

With the reasonable probability one has to assume, the Muslim teachers you finally interview will be representative of the "Muslim municipal elementary school teachers in Hyderabad" and the Hindu teachers you interview will be representative of the "Hindu municipal elementary school teachers in - you guessed it - Hyderabad" still. Whether the differences you find will also apply to Muslim and Hindu teachers in Bombay or Delhi you can't tell. Once again, you can generalize only as far as the universe from which you drew your sample in the first place.

There are other types of sampling that one can find in handbooks, but the above two are probably the most relevant as far as your fieldwork project is concerned.

## V. Interviewing: Some Pointers to Consider

### A. THE ROLE OF THE INTERVIEWER

When the basic purpose of the interview is to ascertain the facts that a respondent has in his possession, the interviewer must be active in two ways:

1. In motivating fullness and accuracy of response.
2. In directing the communication to the specific objectives of the interview.

There are certain things the respondent needs to know about the interview. Those things must be told to him in the introduction to the interview if he is to perceive some goal for himself in the interview, and thus be motivated to participate in it. It is important that he clearly understands:

1. The purpose of the interview. It is especially important that those purposes of the interview that may relate to the respondent's own goals and values be made apparent to him.

2. The ways in which the information he contributes is to be used. The fact that the information he gives is strictly confidential must be made clear to him.
3. In a general way, what will be expected of him in the course of the interview; that he is qualified to answer questions about his farming operations and practices; and some idea of the length of the interview.

Transition statements between general topics of the questionnaire to express appreciation for answering the questions just completed and introducing the next topic serve to encourage respondent cooperation, maintain motivation and prepare him for the next group of questions.

The enumerator consistently rewards the respondent for full and complete response, responses focused on the objectives of the interview by showing approval. He tends to discourage communications irrelevant to those objectives. In this fashion, he directs the communication to the specific objectives of the interview.

Through the careful formulation of the questions in the design of the questionnaire and the use of supplementary probe questions, the interviewer ensures that the flow of communication which he has motivated is directed to specific objectives.

#### B. THE INFORMATION GETTING INTERVIEW

The task of the enumerator is to elicit frank and complete answers from the respondent. In attempting this task the enumerator faces a complex individual with a personality of his own (the respondent), an individual who is already reacting to him, and with whom he must interact for the duration of the interview. The interview is an interactional process, and both enumerator and respondent contribute to the communication that results.

If we are to understand the process of interaction between interviewer and respondent, we must concern ourselves not only with the interviewing process, but more importantly with the perceptions, attitudes, beliefs, needs, goals and motives of the principals in the interview, especially of the respondents.

### C. PERCEPTION

Much of the success of the interview depends upon how the respondent sees or perceives the enumerator. The basic condition for optimum communication is when the respondent perceives the enumerator as one who is likely to understand and accept him and what he has to say. The interviewer must be perceived as a person who is capable of understanding his point of view, and of doing so without rejecting him. This perception will depend far more on the interviewer's attitudes and the relation he establishes than on such external factors as dress or appearance.

A feeling of superiority on the part of the enumerator toward the holder is disastrous to successful motivation of the respondent. Respect toward the respondent is absolutely essential.

### D. PROBING

When the written questions included in the questionnaire are successful in getting adequate and apparently reasonable answers, probe questions are unnecessary. The purpose of each probe or series of probes is to change an inadequate response into one that meets the interview objectives.

How this may be done will vary depending upon the circumstances.

A probe must be tailored to fit the type of response inadequacy, and to consider also the probable causes of the inadequacy.

In any case, the enumerator must not in any manner suggest the answer in the question, that is, "not put the answer in the respondent's mouth." Enumerators are likely to do this, either because they "want to get on with the interview," or more frequently, because they want to help the respondent.

SELF-SURVEY: TOWARDS A NEW APPROACH  
TO CONDUCTING SURVEYS IN THE DEVELOPING WORLD

by

Larry Cross, Fobe Abenoja and Francial Garcia

Statement of the Problem

In this study, we were attempting to assess the trade-off of quality data for less expense involved in utilizing Volunteer Village Enumerators (VVEs) instead of Professional Research Aides (PRAs).

In order to operationalize this cost-effectiveness analysis, we formulated the following three null hypotheses which will be stated and briefly annotated: 1) The proportion of non-interviews for the VVEs is equal to that of the PRAs. We speculated that the volunteers might be less diligent than our paid employees in discharging their commitments. 2) The variance in the VVE data would be the same as that of the PRAs. We thought that the VVE data might be more erratic with a wider dispersion of results than those obtained by professional and experienced enumerators. 3) The percentage of internal contradictions for the VVEs would be the same as that of the PRAs. The authors wondered if the VVEs might be more inconsistent and careless in the acquisition and recording of the information.

The Design

The experimental design adopted for this study is the Randomized Complete Block (RCB). In this design, the whole study population is divided into blocks or areas and the experimental units included in each block are then randomly allocated to the different treatments.

The Controls --- To be able to compare the treatments (types of interviewers) objectively, an attempt to control other factors that may have some effects on the experimental data was done.

Profile of Interviewers --- There were 22 VVEs and 11 PRAs involved in the study. Of the 22 VVEs, about 90 per cent of them are single, 65 per cent are female; their mean age is 22 years and their mean education is eight years of schooling or roughly second year high school. Of the 11 professional research aides, about 75 per cent are married, 80 per cent are female; mean age is 33 years and mean education is 13 years of schooling or three years of college education. The VVEs are younger and with lower years of schooling compared to the research aides.

### Results of Analyses

Interview Skill----- Although the interview instrument (questionnaire) consisted of about a hundred questions, only six were considered for the study. Each of the selected questions represented some "features" typical in questions included in survey interview instruments. It was foreseen that by analyzing the responses by interviewer types and by question, we would not only obtain a good comparative analysis of the data (in terms of quality) gathered by the VVEs and PRAs but we would also gain some insights on future instrument design for "self-surveys" and formulation of training plans for indigenous village enumerators.

On the six selected questions, differences between the interviewers (VVEs and PRAs) separate results were observed. Methods of analysis of variance (ANOVA) in RCB, using F-test, are employed to determine if the differences could be ascribable to interviewer-type (treatment) variation or sampling error (chance occurrences). Blocking (grouping) the experimental data according to villages eliminated the potential biases the barrio conditions could have on the respective experimental data, resulting in a more accurate measurement of the treatment effect.

Results of the F-test for the different variables are reflected in Table 1.

Internal Contradiction --- In each interview, the absolute value of the difference between the results of questions 5 and 6 was computed to give an estimated amount of internal contradiction (inconsistency of responses within the same interview) that is undetected by the interviewer. The average amount of undetected contradiction was then computed for each interviewer-type (refer to Table 2) and tested for any statistical difference (ANOVA in RCB). The F-test showed the difference to be non-significant. This implies that both types of interviewers committed the same "amount of negligence" of not realizing any contradiction in the responses they have respectively encountered.

Non-Interviews --- The proportion of those "not interviewed" by the VVEs and the PRAs was also investigated. A household is considered "not interviewed" if after the third visit the HH head (respondent) or his wife (eligible substitute) was not present for the interview. Table 3 shows that there is a greater proportion of HHs "not interviewed" among PRAs (16.0%) as compared to VVEs (3.0%).

The difference in proportion was tested by the use of the Chi-square and it was found to be statistically significant. This could be due to the fact that the VVEs had the chance of interviewing some respondents in the night who are usually not in their homes during the day because of work. No interviews were done by the PRAs at night as compared to the 23.4 per cent of the total interviews done by the VVEs.

#### Cost vs. Quality Analysis

Cost of Interview --- The VVEs were able to accomplish their interviews for a unit cost of about £14.70 vs. £41.20 for the PRAs. In other words, on average it costs 180 per cent more for a PRA to complete an interview form than for a VVE.

Quality of Interview --- Of course, the cost aspect is only half of the picture. We need to know the relative quality comparisons also. A "quality index" was constructed in an attempt to assess the differences in the quality of the data gathered. This quality index was composed of the following three major components: 1) interviewer skill, 2) internal contradiction and 3) proportion interviewed. Each component was given a possible score of 100 so that the overall, composite score would be 300 points maximum.

In order to compare the difference in interviewing skill between the two groups, we analyzed the results presented in Table 4. All six questions were given 15 points except that the question on annual income was given 25 points since it was considered more important. Using this procedure, the PRAs were given a score of 100 as opposed to only 70 for the VVEs for their skill in interviewing. Table 1 indicates that there was a significant difference between the VVEs and the PRAs on their responses to question 4 and 5. We assumed that the PRAs were correct and that the VVEs were wrong. Hence, we gave the VVEs the two zeroes shown in Table 4. If our assumption that the PRAs should be the standard of performance is wrong, it does not change the conclusion of this paper.

From Table 2, we find that the VVEs had contradictions in 18 per cent of their forms as opposed to only 16 per cent for the PRAs. Taking the complement of these numbers gives the figures shown in Table 5 which summarizes the derivation of a composite quality score of 268 for the PRAs vs. 249 for the VVEs.

From Table 3, we see in the same number of days the VVEs were able to interview 97 per cent of their assigned households as opposed to only 84 per cent for the PRAs.

### Conclusions

Using PRAs instead of VVEs costs 100 per cent more, but yields data 8 per cent better according to our quality index (See Table 5). It is our interpretation that this cost versus quality trade-off suggests that the developing world should seriously consider the greater utilization of VVEs in survey and census work. We suspect that this conclusion will not surprise a number of people in the field of development; however, we hope that we have contributed some solid evidence to support our previous intuitions on this matter.

### Suggestions for Future Research

One may conceive of the following phases in some ideal self-survey system: (1) truly participatory questionnaire design; (2) participatory interviewing, coding and data processing; and (3) effective utilization of the facts obtained to develop villages in a better manner. IIRR had considerable experience in Phase I, but we are currently consolidating, refining and confirming our previous lessons for this phase. During the early months of 1981, we plan to go into a production Phase II of using VVEs for a major survey in Cavite. We also hope to do further research on the Phase III of effective utilization of facts for the development of villages.

### Final Remarks

A general outgrowth of this survey is a greater concern for the cost-effectiveness for all of the surveys that the Institute conducts. At present, we are placing more emphasis on the manageability of our future surveys. By careful stratification into homogenous groupings, substantial savings can and have been realized. After carefully considering the cost of acquiring information with five per cent or less error, our management team chose to tolerate a 10 per cent level of error for our next self-survey. Finally, the costs of various levels of representation should be analyzed. We settled on 95 per cent representation for our next project.

Table 1. Summary of Results of the F-test\* for the Different Variables

Variables	Results of Enumeration			Result of F-Test
	VVEs Mean (A)	PRAs Mean (B)	Mean Difference (A - B)	
1. Age of HH Head	43.95	42.43	1.52	Non-significant
2. Age of HH, HH member other than HH head	16.72	16.99	(-)0.27	Non-significant
3. Annual income of the HH from farm source, 1979 (in pesos).	2645.30	2716.99	(-)71.69	Non-significant
4. Value of operators' share in pesos	3078.97	2609.46	469.51	Non-significant
5. Percentage of total days in the year 1979 that was devoted to work by the HH Head	58.41	61.57	(-) 3.16	Significant
6. Percentage of productive days in the year 1979 of the HH head	67.06	68.13	(-) 1.07	Non-significant

\* The F-test was administered to determine if the mean difference could have significantly contributed to the treatments.

Table 2. Average Amount of Contradiction,  
by Interviewer-type

Type of Interviewer	Average Amount of Contradiction	Complement of (A) = 100 - (A)
VVEs	18%	82
PRAs	16%	84

Table 3. Households Visited According to Whether  
Interviewed or not, by the Type of Interview

Type of Interviewer	Visited (%)	Interviewed (%)	Not interviewed (%)
VVEs	149 (100.0)	145 (97.0)	4 (3.0)
PRAs	149 (100.0)	125 (84.0)	24 (16.0)
TOTAL	298 (100.0)	270 (91.0)	28 (9.0)

Table 4. Quality Index Factors

Component	VVEs	PRAs
1. Interviewing Skill:		
Question 1.	15	15
2.	15	15
3.	25	25
4.	0	15
5.	0	15
6.	15	15
	<u>70</u>	<u>100</u>
2. Contradictions	82	84
3. Proper timed interviewed	<u>97</u>	<u>84</u>
Grand Total	<u>249</u>	<u>268</u>

Table 5. Cost vs. Quality Trade-Off

	<u>VVEs</u>	<u>PRAs</u>	<u>% Difference</u>
Cost per completed interview	F14.70	F41.20	180%
Quality Index	249	268	8%

## VII. Example of a Survey Instrument

## NHO UPLAND RICE PROJECT RESURVEY

Date of Interview: \_\_\_\_\_ Survey Year: \_\_\_\_\_  
 Time Interview Started: \_\_\_\_\_ Interviewer: \_\_\_\_\_

## I.A. INFORMATION ON RESPONDENT

1. Name \_\_\_\_\_ Sample No. \_\_\_\_\_

2. Barrio \_\_\_\_\_

3. Town \_\_\_\_\_  
                   \_\_\_\_\_ 1) Silang

                  \_\_\_\_\_ 2) Amadeo

4. Sex \_\_\_\_\_  
                   \_\_\_\_\_ 1) Male  
                   \_\_\_\_\_ 2) Female

5. Birthdate \_\_\_\_\_  
   Month                   Day                   Year

6. Age \_\_\_\_\_

7. Number of years completed in school \_\_\_\_\_

8. Civil Status

\_\_\_\_\_ 1) Married

\_\_\_\_\_ 2) Single

\_\_\_\_\_ 3) Separated

\_\_\_\_\_ 4) Widower/widow

\_\_\_\_\_ 5) Living with somebody else

I.B INFORMATION ON HOUSEHOLD

151

1. General Information							2. Vaccination (0-6 yrs. old only)			
(a)	(b) Relation- ship to head of family	(c) Birth Date Mo. Day Yr.	(d) Age	(e) Sex	(f) Civil Status	(g) No. of yrs. com- pleted in school	(h) Have had vaccina- tion? Yes No		(i) (If yes) Against which disease?	(j) How many times?

I.C ADDITIONAL HOUSEHOLD INFORMATION

9. (a) All sources of family income (may include more than one):

- \_\_\_\_\_ Planting Rice
- \_\_\_\_\_ Planting Fruits/Vegetables
- \_\_\_\_\_ Planting Coffee
- \_\_\_\_\_ Other crops: \_\_\_\_\_
- \_\_\_\_\_ Raising animals
- \_\_\_\_\_ Hired Farm Laborer
- \_\_\_\_\_ Hired Laborer (Nonfarm)
- \_\_\_\_\_ Regular Salary
- \_\_\_\_\_ Business
- \_\_\_\_\_ From family outside barrio
- \_\_\_\_\_ Pension
- \_\_\_\_\_ Others, mention: \_\_\_\_\_

(b) From those you mentioned above, which is the lone source from which the family receives most of its income?

\_\_\_\_\_

10. How large is the land you farm?

(a) Land Area

Owned Property	_____	hectares
Leased/Rented	_____	
Borrowed/others, specify	_____	
	_____	
TOTAL	_____	hectares

11. How many animals do you raise at present?

_____ 1) Cow	_____ 3) Pig	_____ 5) Horse
_____ 2) Carabao	_____ 4) Chicken	_____ 6) Goat

12. Do you have the following in your home?

	<u>Yes</u>	<u>None</u>
1) Water from pipeline (inside the house)	_____	_____
2) Electricity	_____	_____
3) Radio	_____	_____
4) Television	_____	_____
5) Gas/electric stove	_____	_____
6) Refrigerator	_____	_____
7) Tricycle	_____	_____
8) Jeepney or other vehicle	_____	_____
9) Reading newspaper/ magazine regularly	_____	_____

13. Let's take for granted that there exist three groups of families in your village according to standard of living:

- a) The poorest of the poor (Low)
- b) Those in the middle bracket (Medium) and
- c) The well-off (High)

Under which group do you think your family belongs?

13.1 Why? \_\_\_\_\_

13.2 (If standard of living mentioned is Low or Medium) What characteristics do the family higher to your own standard of living possess?

14. Interviewer: From among 10 photographs, choose one that most resembles respondent's house and indicate below.

- |    |    |    |    |     |
|----|----|----|----|-----|
| #1 | #3 | #5 | #7 | #9  |
| #2 | #4 | #6 | #8 | #10 |

## II.A FARMING INFORMATION

15. Did you plant rice in the previous year (1981)?  
       \_\_\_\_\_ Yes                    \_\_\_\_\_ No (Go to Q. 20)
16. What was the area of the land planted to rice in the previous harvest (1981)? \_\_\_\_\_ hectares
17. How much did you harvest in the previous planting season (1981)?  
       \_\_\_\_\_ cavans (include harvester's share)
18. How many cavans were the harvester's share? \_\_\_\_\_ cavans
- 18a. How many cavans were the owner's share? \_\_\_\_\_ cavans
19. How much were the other expenses you incurred during the previous rice planting season (1981)? P. \_\_\_\_\_.
20. Did you plant rice this year (1982)?  
       \_\_\_\_\_ Yes                    \_\_\_\_\_ No (Go to Q. 20.2, then Q. 23)
- 20.1 (If yes) What was the area planted? \_\_\_\_\_ hectares
- 20.2 (If no) Why did you not plant? \_\_\_\_\_  
       \_\_\_\_\_
21. What is your tenure status on the land you farm which is planted to rice (1982)?
- |                                     |                            |
|-------------------------------------|----------------------------|
| _____ 1) Tenant                     | _____ 5) Amortizing Owner, |
| _____ 2) Share-tenant               | _____ 6) Overseer          |
| _____ 3) Land-owner (Skip to Q. 22) | _____ 7) Free Borrower     |
| _____ 4) Mixed/Combination          | _____ 8) No land           |
22. What is the area of the land planted to rice which you rent or lease (1982)? \_\_\_\_\_ hectares
23. Which crop gave the biggest percentage of income last year?  
       \_\_\_\_\_

## II.A.1 HEALTH CONDITION

24. Did you ever experience, within the previous year, not being able to work due to an illness or any health problem:

	Yes	No	No. of days unable to work
24.1 Yourself? Or farmer?	_____	_____	_____
24.2 Family members	_____	_____	_____

25. If yes to any of the items above:

(a)	(b)	(c)	Expenses				
			(d)	(e)	(f)	Healer's Fees	
						(g)	(h)
1.							
2.							
3.							
4.							
5.							

II.B KNOWLEDGE ON UPLAND RICE PRODUCTION

Based on your knowledge on upland rice culture:

26. What is the most important factor to consider in order to have an abundant rice harvest?

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_

27. May we know the name of the recommended upland rice seed?

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_

28. When is the proper time for applying fertilizer to rice crops?

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_

## III. FAMILY PLANNING PRACTICES

29. How many years have you been married/living together?

\_\_\_\_\_ years

29.1 How old is your spouse? \_\_\_\_\_ years  
(IF LIFE IS MORE THAN 45 YEARS OLD, SKIP TO Q. 37)

29.2 What is the birthdate of your spouse?

Birthdate: \_\_\_\_\_  
Month Day Year

30. At present, do you deliberately limit the number of your children?  
\_\_\_\_\_ Yes \_\_\_\_\_ No (Skip to Q. 33).

31. How long have you been limiting the number of your children?  
\_\_\_\_\_

32. How do you limit the number of your children?

- |  |                                    |
|--|------------------------------------|
| _____ 1) Condom                            | _____ 6) Vasectomy (Skip to Q. 37) |
| _____ 2) Withdrawal                        | _____ 7) Pills                     |
| _____ 3) Rhythm                            | _____ 8) Abstinence                |
| _____ 4) IUD (Skip to Q. 37)               | _____ 9) Absence of spouse         |
| _____ 5) Tubal Ligation<br>(Skip to Q. 37) | _____ 10) Others _____             |

## IV. PREGNANCY HISTORY OF WIFE/FEMALE RESPONDENT

33. Is your wife pregnant? (IF RESPONDENT IS FEMALE) Are you pregnant?

- |                             |                                     |
|-----------------------------|-------------------------------------|
| _____ 1) Yes                | _____ 3) Don't know (Skip to Q. 37) |
| _____ 2) No (Skip to Q. 37) |                                     |

34. (If pregnant) When was her last menstruation? (IF RESPONDENT IS FEMALE) When was your last menstruation?  
\_\_\_\_\_

35. Has she/have you been immunized against tetanus?

\_\_\_\_\_ Yes \_\_\_\_\_ No

36. (If yes) Who did the vaccination? \_\_\_\_\_

V. KNOWLEDGE ON NUTRITION

37. What is the best milk for baby?

- |                          |                         |
|--------------------------|-------------------------|
| _____ 1) evaporated milk | _____ 3) powdered milk  |
| _____ 2) mother's milk   | _____ 4) condensed milk |

38. Which among the following are the sources of protein which builds tissues and muscles?

- |                           |                               |
|---------------------------|-------------------------------|
| _____ 1) cabbage          | _____ 5) fish                 |
| _____ 2) mung bean        | _____ 6) oil                  |
| _____ 3) tomato           | _____ 7) corn                 |
| _____ 4) softdrink        | _____ 8) dried fish (anchovy) |
| _____ 9) others (mention) |                               |

VI. KNOWLEDGE ON FIRST AID

39. How do you lower a child's fever?

\_\_\_\_\_

(If answer is medicine) What kind of medicine and how many times in a day should it be taken?

_____ medicine	_____ no. of times
----------------	--------------------

40. What illness does Oresol cure?

- |                   |                       |
|-------------------|-----------------------|
| _____ 1) fever    | _____ 4) others _____ |
| _____ 2) cough    | _____ 5) don't know   |
| _____ 3) diarrhea |                       |

41. What is the lowest number of injections against diphtheria, pertussis and tetanus that must be given a child so he will have enough protection?

- |                |                     |
|----------------|---------------------|
| _____ 1) one   | _____ 4) four       |
| _____ 2) two   | _____ 5) don't know |
| _____ 3) three |                     |

VII. DEATHS IN THE HOUSEHOLD

42. Has there been a death in the family in the previous year (1981)?

\_\_\_\_\_ There is  
 \_\_\_\_\_ None (End of interview)

(USE THE FORM BELOW TO RECORD RESPONSES ON Q. 43 THROUGH Q. 46)

43. (If there is) Who is he/are they?

44. How old was he/were they when he/they died?

45. When did he/they die?

46. What was the cause of death?

Name (Q. 43)	Age (Q. 44)	Month & Date (Q. 45)	Cause of Death (Q. 46)
1. _____	_____	_____	_____
2. _____	_____	_____	_____

Time Interview Ended: \_\_\_\_\_

VIII. More on Sampling

The group of people or households about whom you want to learn something is called the "population" or the "universe" of a study. This may be everyone in a village, all households in a country, tenant households in a district, or program participants. Often there are too many in this group for us to talk to everyone. Therefore we choose a sub-group, or sample, to represent the larger group.

For the sample to be representative it must be chosen randomly. Also, the sample must be large enough in order to accurately reflect the differences within the population. But, how large should the sample be? There is no absolute sample size that can be used in every survey. This is because the size of a representative sample depends on three things:

- 1) The size of the population,
- 2) The variation within the population,
- 3) The risk of error that we are willing to accept.

In general, the larger the population, and the smaller the variation and the greater the risk of error -- then the smaller the sample need be as a proportion of the population. There are exact formulae for taking all of these factors into consideration.

In order to make things easier for you, we have used a formula to calculate safe sample sizes for different population sizes. This table appears below. The calculation assumes (for those who are familiar with the terms) a level of significance ( $\alpha$ ) of 0.05 and also a margin of error ( $\epsilon$ ) of 0.05. The variation within the population was set at an assumed value of Proportion = 0.5

SAFE SAMPLE SIZES AS PERCENTAGE OF  
DIFFERENT POPULATION SIZES \*

<u>Size of Population (Target Group of Study)</u>	<u>Sample Size as Percentage of Population</u>
0 - 150	100 %
151 - 300	50 %
301 - 450	40 %
451 - 600	33 %
601 - 750	25 %
751 - 2000	20 %
2,001 - 4000	10 %
4,001 - higher	5 %

\* Prepared by R. Kasala, RSS, IIRR.