October 21, 1976

PD-AAN-887

ACTION MEMORANDUM FOR AA/TA, DR. E. J. LONG

THRU: TA/RES, M. Rechcigl

FROM: TA/EHR, R. Schmeding

SUBJECT: Approval of a Small Research Project in Nonformal Education, to be undertaken by North Carolina State University, "Participative Education Programming"

Problem: In spite of a theoretical commitment to maximum participation by target populations in NFE activities, most projects/programs are designed, and their content determined, by persons or agencies external to the groups they purport to serve. The result, to quote a report from the recent MSU NFE Conference, is that "programs are not fully assimilated into the local community and are often viewed with fear and little confidence."

Project Plan: To address the problem, NCSU proposes to examine the following hypotheses:

Sustained popular participation in educational activities will result where:

a. People are provided an opportunity to determine for themselves or in joint action with their peers the content to be dealt with in a particular learning experience.

b. People are involved in the choosing and/or development of the teaching-learning strategies, methods, and materials to be used in a particular learning experience.

c. The people themselves frequently assume leadership or instructional roles.

d. The achievement of learning objectives is immediate and substantial.

e. The application of content learned is immediate and rewarding.

As a first phase, NCSU will complete a literature review (see attached bibliography for work already begun) of material on participatory education programs and will consult with other academicians and NFE practitioners on approaches to solving the problem.

Two highly participatory NFE projects will be chosen in consultation with TA/EHR staff as exemplary case studies to test NCSU hypotheses re: the effects of participation on program design and success. Staff

members of the selected projects will be trained in interview and data collection techniques, and will undertake the actual information gathering process over a period of three months.

Study results will be compiled in a report directed to NFE project designers and practitioners, highlighting the rationale and methods for increasing participation in NFE.

Products: The project will produce a final report, to include the following:

a. Review of the literature on participation in nonformal education and development, focusing on the Third World; a comprehensive annotated bibliography. It will be functionally geared toward planners of development.

b. Two case studies of highly participatory popular education efforts in the Asian and African regions to ground the literature review in the reality of the developing world.

c. Based on the field investigation, the paper will include a set of assumptions, principles, and suggested guidelines for promoting popular participation in education programming.

d. Formulation of hypotheses, research specifications, and a suggested time-phased plan of work for follow-on action-research and development activities.

Anticipated Contribution to TA/EHR Program:

The project as described proposes to investigate an area of fundamental importance to the development of a nonformal education program in TA/EHR. As we learn more about participatory programming in NFE (i.e., about how people define their own learning needs, and how those needs are then addressed in an organized way), we will relate that knowledge to our current projects which are developing NFE materials and methods, evaluation designs, and networks for exchange of NFE experiences and insights, making each of those activities relate as closely as possible to perceived needs of target populations. This small research project, while a significant investigation in itself, is the beginning of our planned activities in NFE organizational development; it is intended to lead into a project examining community organization designs which encourage participation, and from there to a larger project aimed at developing a national organizational structure which will provide disparate NFE activities with support in the areas of material development, training, communications, and finance.

TA/RD supports the proposal. After review and discussion with the TA/EHR, TA/RD sees it as complementary to their work, and suggests that LDC university research capability be utilized to the maximum extent feasible. That suggestion has been incorporated into the Project Statement.

Probability of Success: Both researchers presenting this proposal have substantial experience in the field, (See CV's attached to Project Statement) and are especially strong in the area of field work. Initial conversations with NFE field people have been positive, i.e., it appears that a number of exemplary (i.e., highly participatory) projects may be interested in being selected for the case studies. Further, a quid pro quo is built into the project design, in which project staffs receive valuable training in data collection and evaluation procedures in exchange for assisting with information gathering.

One outcome of the MSU conference was that NFE practitioners in developing countries made it clear they are more interested in learning from the experience of others in the field than in theoretical model building. This project should produce organized data of considerable appeal and utility to that most important target group.

TA/EHR strongly recommends approval of this small activity, and suggests the possibility of a grant funding approach.

Attachments:
1. Project Statement
2. Bibliography
3. CV's

Approved: Ernest J. Konz
Disapproved: 0
Date: Oct. 16, 1976

Clearance:
TA/PPU:CFritz _____ Date 11/1/76
TA/RD: Harlan Hobgood _____ Date 10/21/76

TA/EHR:JHoxeng:fbk:10/21/76:X-29063

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PROJECT STATEMENT

Title: Participative Education Programming

New or extension: - New

Contractor: North Carolina State University

Principal Investigator: Dr. J. Lin Compton

Duration: 9 Months

Total Estimated Cost: $33,600

Project Manager: AID/TA/EHR, James Hoxeng

Narrative Summary:

Knowledge of principles and procedures for increasing and improving learner participation in the design and implementation of nonformal, development-oriented education is grossly inadequate in light of new emphases being placed on expansion of educational programming to encompass larger numbers of people and resources. This fact, combined with a growing recognition of the positive effects of learner-determined and learner-directed education on personal, social, and economic development, underscore the need for research designed to delineate the relevant principles and conceptual base of 'participative education programming' (PEP).

This research proposes to investigate two case examples of PEP in two separate countries and cultural settings in the Asian and African regions in order to develop a tentative framework of basic assumptions, principles, hypotheses, and methodological procedures to stimulate and guide subsequent and more extensive research efforts. As such, this research will be precursory in nature but nevertheless aimed at an essential phase of the overall 'research and development' process.

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Research Purpose and Expected Products

If participative education programming is to be developed into a process whereby social groupings (women, farmers, youth, etc.) come together to identify learning needs and problems, seek solutions among themselves, mobilize the necessary resources, and design and execute a learning strategy, then we need to better understand the underlying principles, techniques, and conditions that make such participatory involvement in education work. Many questions remain unanswered.

1. What are the most typical and essential features of local participation in the programming of education? How does it occur? How does it get started? What are the political, social structural, cultural, economic, social-psychological, and other forces serving as either prerequisites or impediments to this process?

2. What are existing techniques for stimulating participation? What does existing indigenous participation look like?

3. a) What is the functional relationship of participation and learning and other behavioral outcomes? Is there a direct correlation between type and level of participation, participant characteristics and/or environmental conditions and learning outcomes, i.e., ability to self sustain, etc.,? b) Is there a spread effect? How does it happen? How could it be improved?

4. What happens to those who participate? What attitudinal and behavioral changes have been observed in nonparticipants who become participants? What rewards accrue to those individuals experiencing success in group participatory efforts in learning?

5. Who are the facilitators of participative education programming? What characteristics (attitudes, values, behavioral traits, etc.) are most typical of such successful promoters of participation?

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Hypotheses: Sustained popular participation in educational activities will result from situations where:

1. People are provided an opportunity to determine for themselves or in joint action with their peers the content of a particular learning experience.

2. People are involved in the choice and/or development of the teaching-learning strategies, methods, and materials to be used in a particular learning experience.

3. The people themselves frequently assume leadership or instructional roles.

4. The achievement of learning objectives is immediate and substantial.

5. The application of content learned is immediate and rewarding.

To answer the questions and test the hypotheses above we propose a case study of two education programs (one in Africa, one in Asia) wherein the promotion of learner participation has been a recognized and central feature.

Products of this research will be incorporated into a final report as follows:

(a) Review of the literature on participation in education and development focusing on the three major continents of the third world, and will include a comprehensive annotated bibliography. It will be functionally geared toward planners of development.

(b) Two case studies of successful popular education efforts in the Asian and African regions will be agreed upon with TA/EHR and written up and appended above to ground the literature review in the reality of the developing world.

(c) The paper will include some assumptions, principles, and suggested guidelines for promoting popular participation in education programming along with additional hypotheses to guide further action-oriented research, based on the field investigation.

(d) Formulation of requirements, specifications, and a suggested plan of work for follow-on research and development activities.

Significance and Rationale for the Research

There is a general belief currently coming to the forefront of development circles that popular participation, and the stimulating and educational nurturing of such, is not merely a desirable but a necessary element in successful development effort. Yet, there is no explicit statement of principles, techniques, and conditions extracted from the reality and rich description of these experiences that might serve as an operational guide to others.

There are many reasons why popular participation is now being viewed as a serious ingredient of development beyond the ideological mandates of "Pluralistic and Democratic States." First, and foremost, is the growing awareness among many developing nations that the resources needed to develop diverse and populous areas are so massive that a major portion of them must be mobilized from within the area itself. Governments are coming to realize that their greatest resource in the development process is the people themselves. The mobilization, organization, education and training, and the people's concentrated application on local problems are a challenge that might only be met through predetermined schemes to foster mass participation. The study of any successful peasant movements (see Wolf, Peasant Wars of the Twentieth Century) substantiates this.

Second, is the growing realization by varied government delivery systems, i.e., agricultural extension, that the ready receptivity of delivered services depends on demand. In short, the rate of consumption of a delivered product or service is directly related to the receiver's perceptions of its fit with his needs

This, then, would suggest a strong relationship between the popular use of government services and popular participation in the prior determination of what those services should consist of. Where delivery and reception are co-equal forces continually interacting they acquire "program relevance."

Thirdly, and related to the above, centralized patterns of decision-making have generally been unable to accommodate local variation or to obtain needed local resources. Highly centralized strategies result in minor mobilization of economic resources, little improvement in planning and management skills of local people, and little incorporation of indigenous experience and knowledge into development efforts. Popular participation is a means of coping with problems of scale, resource scarcity, and the adaptation of development efforts to local conditions.

Fourthly, popular participation appears to be an important socio-psychological ingredient in individual and community development. The relationship between participation and ensuing positive self-concept, a sense of control, a sense of commitment, and responsibility to others readily gives motivation for personal and community change. The importance of popular participation to a sense of identity and belonging, cannot be under-estimated (see almost any literature relating Black identity to encumbent social change in America).

Finally, from the change-agent's perspective, there has frequently been over-emphasis on the importance of program objectives and neglect of integral process objectives in development efforts. Only now are we beginning to see the interrelationship of community development and popular education programming as a basis for development.

Plans to Coordinate to Link Research -- Including Networks

The work sponsored and/or conducted by AID/TAB's office of Educational and Human Resources in the LDCs provides the major supporting framework for this research. The ongoing activities of the AID-supported Nonformal Education Information Center at Michigan State University are also directly related to the thrust here.

Many of the developing countries are launching programmatic efforts in non-formal education, with major World Bank-funded projects in Thailand[1] and Indonesia[2]. International conferences have been held (Philippines, Kentucky, Tanzania, and Michigan State University, September, 1976).

With the increasing interest of professional adult educational circles in nonformal education (especially the International Council on Adult Education) and the formation of a development-oriented professional association (ICAE International Associates), spokesmen and racilitators for program development are emerging.

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1 Compton is part of a five-person 'resource consortium' from five US universities to deliver technical assistance to this project.
2 Colletta is presently serving as a consultant in Indonesia to this project.

World Education, Inc., a private organization effectively involved in promoting the educational development of the peoples of the world's rural villages, recently implemented a 'participatory education programming' project among rural women in the Philippines. This organization, because of its involvements in many Asian, African, and Latin American countries, represents another channel for the dissemination, application, and further testing of knowledge derived from the research proposed here.

Technical Review

The proposal has been discussed with LDC NFE practitioners, with World Bank Staff, and with academicians from several US universities. Their consensus is that it is of prime importance. A World Bank professional expressed strong interest in being kept abreast of the project's progress, and stated (unofficially) that were this proposal not already being processed by AID, the bank would have been interested in funding it. Dr Budd Hall, of the International Council on Adult Education, is a proponent of participatory research (Convergence, Vol VIII No. 2, 1975). He has discussed the proposal with Drs. Colletta and Compton, and endorses both the importance and the design of the proposal. TA/EHR staff have discussed the proposal with TA/RD, who concur in the need for work in this area, and with the approach.
At the recent Michigan State University Conference on Nonformal Education and the Rural Poor, the proposal's authors held a round table discussion with a number of NFE practitioners from Asia, Africa, and Latin America. Their consensus was that the study should be initiated as soon as possible; several possible field sites were discussed with knowledgeable persons.

Phase 1:

An extensive effort will be made to confer through correspondence, phone conversations, and, wherever convenient (i.e. at conferences), and in face-to-face dialogue sessions, (University of Massachusetts, Michigan State University, Columbia University, Florida State University, University of California, Berkeley, and Morehead State University-Kentucky) to incorporate this effort wherever appropriate, into the elaboration of themes, and the methodological refinement of the method of field inquiry to be employed. A more extensive review of the literature will also be conducted to add further insights to the research and facilitate the establishment of a schema for organizing the results of the review that will continue over a six months period.

The events described thus far will be completed prior to December, 1976.

Phase 2:

The two field sites will be visited in January and field research assistants selected and trained. The two sites will be visited again three months later (May) and the data will be checked and completed. The case studies, the literature review, the theoretical paper, and the 'state-of-the-art' position paper will be written up before August 31, 1977.

Time	Activity
November 1 to December [illegible], 1976	Consultations with experts in North America. Complete preliminary review of literature. Elaborate themes and style of field inquiry. Establish Criteria, select field sites, and make necessary arrangements for visits.
December 26 to January 30, 1977	Visit the two field sites, select and train two field assistants at each site in interviewing and data collection techniques, and establish data collection plan/schedule.
February 1, 1977 - April 30, 1977	Data Collection
May 1 to May 31, 1977	Return to Field sites, check and complete data collection.
June 1 to Aug 31 , 1977	Write up case studies. Put paper on the literature review and the state-of- the-art in research (with recommendations for further study) in final form.

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Research Methodology

An inductive research model will be employed utilizing case study and enthnographic field techniques, i.e., participant observation, diary account, in-depth interviews with key informants. We will enter the field with a tentative set of thematic questions and hypotheses constructed early on as a result of our review of the literature and consultations with experts in the States. Because we have not been participants in the sphere of social life that we propose to study, we do not want to unwittingly prejudge the area of life we propose to study. We will try to circumvent possibly unwarranted conclusions by selecting indigenous field assistants at the project sites.

The field research strategy -ill begin in January 1977 and continue for a period of five months to May 1977. In the initial months the principal investigators will visit both field sites to recruit and train field researchers (host country nationals).* At this time local descriptive and background data will be gathered, and a data monitoring system will be set up between field researchers and the principal investigators.

The next three months will concentrate on the administration of questionnaires and participant observation.

In the fifth month, the principal investigators will return to both sites to complete the data collection. We shall prepare the field assistants to utilize data collection of both an "exploratory" (seeking what is) and "hypothesis-testing" (predicting relations to be found) nature.

* LDC university research capabilities will be utilized to the maximum extent feasible.

Hypothesis- testing will not in and of itself be the major feature of this research however. We will prepare the field assistants to make a conscious effort to adapt their opening remarks in interviews to the peculiarities of the situation confronting them, and, through explaining and probing, adjust the interview in order to obtain frank responses from the interviewees. A current small research project (University of South Carolina) is demonstrating that they are more responsive to local interviewers than to outsiders.

The assistants will have to rely extensively upon the use of open-ended questions and they will be coached to put a minimum of restraint on the answers and their expression.
In order to obtain information on a single important topic or a single set of related topics, 'funnel' questions will be employed, starting with a broad question and narrowing down progressively to the important specifics. Thus it will be possible to prevent any early questions in a sequence of questions from redetermining the respondents frame of reference.
In some cases, the interview will start with an open general question with follow-up, specific closed questions then used.

Some projective questions (e.g. sentence completion, semantic differential, etc,) and pre-coded, fixed alternative questions will be used: the former to ascertain effective responses to various stimuli and the latter to obtain opinion data.

Milestone Life-of-Project Schedule

Objective/Product	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Project Completion August 1977
1. Finalize project proposal to correspond with USAID objectives and priorities	S	—	—	C									
2. Consultation with experts in North America			S	—	C								
3. Review of the literature			S	—	—	—	—	—	—	C			
4. Elaborate themes and style of field inquiry			S	—	—	C							
5. Establish criteria and select field sites			S	—	—	C							
6. Make necessary arrangements for visit			S	—	—	C							
7. Initiate field studies					S	—	C						
8. Collect field data										S	—	C	
9. Write up case studies											S	—	
10. Prepare paper					S	—	—	—	—	—	—	—	
11. Prepare state-of-the-art position paper					S	—	—	—	—	—	—	—	

Contract Budget and Life-of-Project Cost Estimate

Salaries		$13,645
Researchers (2) :		
2 man months x 2 x $1,800=	$7,200	
Secretarial:		
9 months x ½ time x $645	$1,445	
Graduate Research Assistant (1) :		
6 man months x 1 x $300	$1,800	
Field Research Assistants (Host country nationals)		
4 man months x 4 x $112	$3,200	
Overhead (48.3% of salaries and wages)		$6,590
Travel & Transportation		$12,996
In US (see attached document):	$796.00	
International:		
two round trip x 2 x $2,000	$8,000	
In-country (foreign)	$4,200	
Equipment (General office supplies)		$119
Other Direct Costs (phone)		$250
		$33,600

Overall Cost Estimates

Domestic travel cost will include:

1. One round trip air fare for both researchers from their respective sites to Washington for the purpose of conferring with USAID/TAB office of Educational and Human Resources personnel to select project sites.

2. round trip air fare for two conference trips between the respective sites of the two researchers, and

3. per diem for lodging and board and ground transportation costs.

International travel costs include:

1. two round trip air fares for both researchers,

2. in-country transportation costs and,

3. per diem for 60 days for both researchers.

Salaries include:

1. the two man months for each researcher.

2. a one-fourth time secretarial support for 9 months, and

3. six-months research assistantship stipends for a graduate student who will be conducting research and developing materials for the annotated bibliography and state-of-the-art paper.

4. 16 person-months for field assistants data collection activities on sites.

Equipment costs include:

1. basic office supplies.

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"Past experience, professional training, and present practice lead me to believe that while the nature and extent of popular participation in development leaves much to be desired, nevertheless, it is a most important and essential dimension of development and, just as importantly,

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there is much that can and must be done to nurture and support an increased role for popular participation in development; to indeed base much of development upon it."

NAT J. COLLETTA, Ph.D., Michigan State University, Sociology, Anthropology, and Comparative Education, 1972. Presently, Assistant Professor in the Department of Foundational Studies, State University of New York at Buffalo with responsibility for curriculum, instruction and research in comparative and cross-cultural studies in education and Consultant to the Research, Planning, and Development Division, Ministry of Education, Indonesia, focusing on a major World Bank funded ($30 million) project in community and nonformal education in rural areas. Previously, Visiting Fulbright-Hays Lecturer in Education and Society at the Science University of Malaysia (1972-73); Ford Foundation Research Grantee in Ponape, Eastern Caroline Islands, Micronesia (1971) focusing on formal-nonformal and informal learning; Research Assistant in International Studies in Education, Michigan State University (1970-71); and Peace Corps Volunteer in District Education Office in Ponape, Eastern Caroline Islands, Micronesia (1968-70).

"Increased educational opportunity for /the world's rural people/ could contribute to the general quality of their lives by promoting their ability to better identify and articulate their needs, assess and mobilize existing resources, and understand, 'demand,' and use government services such as health care, agricultural extension, and basic education."

"The inability of the formal education sector to 'quantitatively' meet the learning needs of the large numbers of the Indonesian population is but one area to which the development of alternate systems of mass education might direct itself. There has been much attention drawn to the 'qualitative' limitations of the formal school model in its inability to perform all education functions, especially those related to the rural environment. The dual challenge that faces Indonesian educators is how to identify learning needs of prospective learners outside the formal school system, and how to mobilize non-school learning resources to meet these needs in a cost efficient and effective manner."