

# FAO RURAL ORGANIZATIONS ACTION PROGRAMME (ROAP)

## RESEARCH GUIDELINES

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for field action projects  
to promote participation of the poor  
in rural organizations



FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

**RURAL ORGANIZATIONS ACTION PROGRAMME (ROAP)**

**RESEARCH GUIDELINES FOR FIELD ACTION PROJECTS**

**to promote  
Participation of the Poor in Rural Organizations**

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**FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS**

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## INTRODUCTION

1. A Framework for research and action by local institutions, to involve the participations of the poor in development through their rural organizations, was initiated early in 1975 by the Human Resources, Institutions and Agrarian Reform Division (ESH), FAO, Rome. 1j

The draft Framework was disussed and revised by officials and experts in FAO, UN, ILO, COPAC, IFAP (International Federation of Agricultural Producers), ICA (international coooperative Alliance), WOCCU (World Council of Credit Unions) and the Plunkett Foundation, Oxford, during 1975-1976. Consultations were also held with the three International Federations of Rural Trade Unions: IFPAAW, Geneva; WFAW, Brussels; and TIUAFPW, Prague.

The FAO initiative was received with interest by all the organisations consulted, useful comments on the Framework were received, and a desire to continue cooperation was expressed. ROAP (Rural Organisations Action Programme) was begun late in 1976 a substantial programme with an increased number of activities (see the introduction to the Framework). ROAP's objectives are indicated here in Part I, Section 1.

2. This paper is meant to be a supplement to the Framework, which introduced the research and action staff to the complex but basic issues of the involvement of the poor in development through their rural organizations. This supplement is a preliminary practical guide, containing a number of basic considerations, proposals, core elements, and requirements for the preparation of specific research designs. Such designs, of course, will ultimately be decided by local researchers, according to the widely differing economic and socio-cultural conditions in each of the countries and areas selected for ROAP projects.

This paper has as its main purposes:

- a) to facilitate the briefing of local research and action personnel as well as other persons interested in ROAP..
  - b) To help safeguard the required comparability of the outcome of the ROAP research projects in various areas and countries.
3. ROAP research is to consist of two types of action-oriented studies:
- a) country studies for which the necessary data are mainly collected from secondary sources, or from existing documentation;
  - b) field surveys to be set up in selected areas, either as self-contained projects or as essential components of comprehensive rural development programmes.

This paper offers guidelines for both types of studies, but particularly for field surveys.

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1/ Bernard van Heck, the Involvement of the Poor in Development through Rural Organisations, Framework for research-oum-action for the FAO Rural Organisations Action Programme (ROAP), ESH, FAO, Rome, 1977. In this paper the above document is referred to simply as "the Framework".

4. As precedents of ROAP research or similar studies, are not yet available, this supplement to "the Framework" can only be provisional. The preparation of guidelines which might be universally applicable was a daunting undertaking, considering the vastly differing countries and areas (to be) selected for ROAP activities. Moreover, such a project should ideally be the work of a team and not, as is the case, that of one author. Thus, it seemed practical to provide only suggestive guidelines with limited elaboration and leaving as much as possible to the discretion of the local researchers.

5. Following these considerations, the guidelines are designed at a medium level of abstraction and generality in order to:

- a) guarantee the subsequent comparability of the research findings of various areas and countries; and
- b) at the same time, to leave sufficient scope or choice to the local researchers in their preparation of viable research projects.

Such projects should, of course be geared to the different economic, social, legal and political conditions, particularly of the rural poor and the rural organizational and institutional patterns prevailing in the countries or areas to be studied. Only the local expert can be sufficiently familiar with those conditions. Thus, overly detailed researchers, and people who are to become involved in the projects.

Too rigid or detailed guidelines also would not allow adequate overlook i.e. consideration of each country's different possibilities regarding funds, staff, and time available for ROAP research projects\*

6. These guidelines obviously cannot indicate exhaustively the details of any ROAP field project\* It is hoped that the basic points and core elements presented herein are such that local researchers can incorporate them effectively into their locally relevant research designs as appropriate.

## PART I THE SET UP OF ROAP RESEARCH

### 1. Objectives of the research projects

#### General objective

To collect enough practical information to allow the planning and implementing of efficient action for the involvement of the rural poor in the LOCAL development process, through their active participation in adequate rural organizations.

#### Specific objectives

- To collect and analyze information on factors, conditions, trends, and problems affecting existing rural organizations, particularly the extent to which they do or could involve the rural poor in development, as well as those which affect the non-organized poor. The main focus of the research will be to clarify why the vast majority of the poor *can* not or do not join rural organizations, and why at the same time, most of these organizations do not sufficiently attract them. In other words, to explain the large disproportion between members and non-members among the poor.

- To offer, on the basis of the research findings, proposals and guidelines for follow-up action-programmes.

The action-programmes have the following main objectives:

- To ensure that existing rural organizations, wherever and whenever required, are reorganized or adjusted in such a way that they become at least adequate and attractive to the rural poor and thus can encourage them to participate in (self-) development efforts.
- To stimulate, where needed, the creation of participatory types of rural organizations, which probably will need to be articulated according to the specific characteristics and problems of the poor in order to better meet their particular needs.
- To create critical awareness of their conditions and capabilities and to encourage the unorganized poor to self-mobilization and to participation in rural organizations.
- To promote self-supporting socio-economical group activities among the rural poor through their organizations. Various examples of such activities are indicated in Section 4 of the Introduction to the Framework.

### 2. Basic requirements for ROAP research projects

#### 2.1 The research aims at spectator-cum participant knowledge

In order to shape efficient action, it is necessary to combine spectator and participant (sometimes also called experiential) knowledge of the conditions of the rural poor and their potentialities for becoming organized. To explain this basic approach, the views of Huyzer and Maslow are hereunder briefly presented, 2/

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2/ See Gerrit Huyzer, *Applied Social Science and Social Action: a note on new approaches* Third World Centre, Nimeguen, 1975 (mimeographed paper).

Spectator knowledge is "neutral, quantifiable, objectified, detached, non-involved knowledge", ...; it is a result of the "classical, scientific laissez-faire, don't care objectivity, which is the ideal of the physical sciences".

Participant/or experiential knowledge. In order to achieve real understanding of social realities, "scientific" objectivity has to be combined with a "caring objectivity, seeing the object as much as possible in its own nature". Participant knowledge "is a result of identification, of becoming and being what is to be known rather than remaining totally the outside spectator",

"Only a few scientists have attempted to combine research as *an* integral part of action in favor of their 'subjects' and in direct consultation — or dialogue — with them", resulting in "fruitful practical accomplishments as well *as* valuable theoretical insights". Most applied anthropologists "came as outsiders and remained so — in their own attitude as well as in the eyes of the people studied — and were generally identified with the authorities or agencies responsible for a project ... but not with the people who were supposed to be the beneficiaries of the project".

Researchers have been "generally reluctant to be aware of the fact that they were operating in, a conflict situation ... in which they may be forced to take sides". Ignoring conflicts "is generally the same as taking the side of those in power", "Most applied and pure social scientists ..., do not want to get involved with conflicts (e.g., between peasants and landlords, money lenders, merchants, etc.), out of their prejudice that this would interfere with their 'scientific' approach. However, the result of ignoring conflicts "is generally the same as taking the side of those in power". On the other hand, by not remaining outside but by merging with the peasants in a specific area ... one can with some measure of political intuition more adequately search with peasants for ways to mobilize against injustice, <sup>3/</sup> Of course as a background a rather detailed knowledge of the local situation should be obtained through surveys, interviews and study of historical documents, government regulations, plans, laws and all other relevant material",

"A slow process of organization and mobilization can thus be started by investigating existing contradictions together with the people concerned utilizing their and one's own experiential knowledge".

Thereafter "concrete operational insights into peasant reality at the local level can be generalized when various cases are compared. Thus broader theoretical insights can be developed, which can, in turn, serve action at the local level".

To conclude, participant and spectator knowledge can and should supplement each other step by step,

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<sup>3/</sup> **Bruyn reflects** a similar view: "While the traditional role of the scientists is that of a neutral observer who remains unmoved and unchanged in his examination of phenomena, the role of the participant observer requires sharing the sentiments of people in social situations, and thus he himself is changed as well as changing to some degree the situation in which he is a participant". (Severyn Bruyn, 1963:244)



## 2.2 The research should be action-oriented and participatory

2.2.1 From the ROAP objectives earlier formulated, it follows that any research for ROAP projects should either be strongly action-oriented where action programmes will follow the studies, or action-based where such programmes are already in existence. In fact, practical research will be needed continuously throughout any ROAP activity in order to:

- prepare action;
- accompany action, that is, to review, re-orient, improve or adjust activities in progress;
- evaluate the completed action in order to replicate or expand it more efficiently in the same area or elsewhere.

### 2.2.2 The action-based research proposed by ASARRD

An illustrative example of the strongly action-oriented research approach which is needed for ROAP projects is explained in the ASARRD Document "Action-based Research". 4/ The most relevant considerations for ROAP are summarized hereunder:

"The reasons for the inadequacy of classical research for field-work lies not merely in the contents but even more in the approach, methodology and process". Some experts have therefore attempted various alternative approaches in the field. 5/

"The Action-based Research proposed here as a support to the development of small farmers and peasants incorporates some of these ideas into the experience gained from the Problem-identification, Problem-solving Field Workshops held in fifteen rural areas of eight countries in the Asia and Far East Region",

The main characteristics of action-based research as required for field action for and with peasants, are the following:

- Action-based research is different from observational field research (leading to "spectator knowledge") in which scholars

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4/ See: Action-Based Research, Document FA0-10:in: A Manual on initiating field action for development among small farmers and peasants in Asian countries, FAO Regional Office for Asia and the Far East, Bangkok, July 1976 (mimeographed).

5/ See Filstead: Qualitative Methodology, Chicago, Markham 1970. Neil Roling: From Theory to Action. "Ceres" (FAO), May-June 1974. R. Carr-Hill: Developing Educational Services for the Needs of Population Groups; testing some concepts. (Mimeo UNESCO, Paris EPP June 1974). Manja Liisa Swantz; Research as an Educational Tool for Development. (Convergence Vol. VIII. Toronto, 1975) • Also - Participant Role of Research in Development (Mimeo 1974| Bureau of Resource Assessment and Land Use Survey - BRALUP). Budd L. Hall: Participatory Research - An Approach for Change, (Convergence Vol. VIII, Toronto, 1975.). Michael Pilsworth and Ralph Ruddock: Some Criticisms of Survey Research Methods in Adult Education, (Convergence: VOL VIII, No. 2, 1975).

spend considerable time in rural areas by observing and recording various aspects of community life through questionnaires and their own perception. In action-based research small farmers are encouraged to participate in projects and research tools are used to stimulate action. This research is thus of some immediate and direct benefit to the peasants.

- Action-based research "uses the tools of research (data-collection, systematization, monitoring, evaluation) to stimulate and to manipulate change—factors (and not to gather information on a range of variables which are not subject to manipulation) so that problems may be solved as best as possible and a prototype of systematic action may emerge".
- Action-research "should bring gain to the people in the process of research itself, apart from the final outcome". Therefore, small farmers, tenants, and landless labourers as well as field change agents such as Government officials, professionals, et al., **should be involved as partners in the research. "The contribution will be both in sharing the tools of survey and to some extent even in analyzing the gathered information and project-experience"**.

2.2.3 The ROAP research should also be participatory as indicated above. Such research — as the ASARRD paper explains — might be contrary to the principle that researchers should be absolutely objective and the persons interviewed as neutral as possible. However, such objectivity and neutrality do not exist in reality. Furthermore, the action-oriented, (or action-based) research yields far more substantial and useful results because the people and their leaders/officials are not treated as passive informants but as active research partners.

### 3. Limiting conditions and practical requirements for ROAP research projects

- 3.1 For the research as well as for the action projects, unfortunately, staff, funds, and time will likely be limited in most developing countries. These limiting conditions as well as the basic characteristics of ROAP research indicated earlier, indicate the following requirements for the preparation of research designs.
- 3.1.1. Only the most needed and useful problem-areas, topics, and variables are to be selected from the numerous possible ones and only those methods which are less costly and less time-consuming are to be applied.
- 3.1.2. The solutions, proposals and guidelines for action to be provided by the research should be as clear, operational, practical and inexpensive as possible. The research results should thus be really useful: on the one hand for the planners and implementors of action-programmes, e.g., for local and outside change agents such as leaders, Government officials, promoters, animators, group-organizers, etc., and, on the other hand, for the target population, the people to be involved.
- 3.1.3. The data-collecting and presentation of the results of the studies should be such that they will be sufficiently comparable so that a valid, relevant and useful data base, or bank, can be obtained. The data bank will serve:
- a) to plan and implement wider scale action more readily and efficiently

in other areas at intra- and intercountry, regional and even global levels. The data bank thus also will save funds, personnel and trial and error efforts, as it will take advantage of experiences in research and action in various other areas.

- b) to provide field-derived elements for outlining a kind of manual, which will indicate well-devised strategies, policies and programmes for the organization of the rural poor.

#### 4. Types of research projects needed for ROAP

##### 4.1 Country studies

These studies serve to collect data on a nation-wide scale, mainly from secondary sources, but when possible also by means of exploratory interviews with well-selected informants at national level. Such studies provide a kind of national inventory, or review, of rural organizations and their efforts, if any to encourage the rural poor's participation in these organizations, (the internal and external impediments) and through these in the local development process.

These studies should not end with academic and informative reports, but should include recommendations and proposals for more in-depth follow-up research, and particularly for action. They should be useful in guiding the selection of action-areas, They also could be considered as preparatory studies in those countries where in-depth research and action projects, as indicated hereunder, are to be planned and implemented:

##### 4.2 In-depth field research projects

These are carried out in one or more limited, selected areas of a country and include field investigations with observations and interviewing at the grassroots level.

Possible types of projects:

- self-contained research-cum-action projects  
these are planned and implemented more or less as single, autonomous projects, not forming part of wider, more comprehensive rural development programmes.
- component projects  
these are conceived as an essential component of a ROAP action project, or a multi-subject, comprehensive development programme in a certain rural area.

It should be noted that the latter type of project is to be preferred, in view of the fact that promoting the organization of the rural poor is a delicate operation in many countries which could therefore better be incorporated in wider programmes. Moreover, the researchers could greatly benefit from the background and other information already available, or from that to be collected for the wider programme.

It also should be stressed that rural development cannot be carried out adequately without the proposed research-cum-action, particularly in countries where the majority of rural people belong to the poor. The reason is, as indicated in the Framework, that one of the major goals of rural development is to achieve full motivation, mobilization, and participation of all people and groups to be involved. This objective requires a strategy for building strong local organizations, particularly adequate peasant organizations, in order to enhance popular participation.

Finally, the ROAP research will need to be organized in most countries, at least initially, as exploratory surveys for the following reasons:

- the already-mentioned limited availability of funds, staff and time;
- in most developing countries the statistical data required are either unavailable, outdated, insufficiently reliable and/or lacking the necessary breakdowns. Therefore it will be almost impossible to identify the various categories of rural poor with statistical criteria, or to apply sampling procedures, based on quantitative data. Such procedures would also likely be too costly and/or time-consuming.
- comparable precedents of the type of research proposed are practically non-existent. Little use can be made of previous efforts in research design and methods.

Exploratory surveys, if properly conducted, however, can yield a considerable amount of information for the planning and improving of action-programmes at a small cost.

## 5. The people to be involved in the research and action

### 5.1 The rural poor

The main target group for the research and action are the rural poor, but in certain countries, the terra rural poor is inopportune and should be avoided, (See Framework, section 1,3.). Furthermore, a narrow "ghetto" approach to the essential objective of organizing the rural weak, by exclusively planning research and action for and with them, would be inappropriate and less fruitful. Thus, certain categories of non-poor have to be covered by the ROAP projects also, such as, for example, local chiefs and notables, leaders of rural organizations, Government officers, executives of development programmes, *et al.* In other words, all those who might support suitable organizations for the lowest income people.

- There is no place in these guidelines for theoretical considerations of how best to define the rural poor, and all attempts to define them will remain imperfect and relative. Synonymous terms in common use are: the rural weak, under-privileged, lowest-income groups, peasants, marginal farmers and fisherman, small cultivators and so on.

For ROAP projects, the rural poor can be defined in general terms as all people who;

- live in rural (that is, non-urban) areas at or below subsistence level

- are full or part-time engaged in agriculture, forestry, fisheries, handicrafts and/or a related occupation;
- are largely dependent or work and livelihood upon the powerful and rich, often also upon the relatively less powerful and less rich.

The rural poor could also be defined as those who, to an inhuman and unjust extent, lack basic human needs such as food, shelter, clothing, health care, education, adequate employment, not to mention the opportunity of participating in local decision-making.

As these variables can be defined and measured, they could be of use in identifying the poor.

Apart from the poverty which is at the individual and family level, one also could distinguish poverty on a zonal or areas basis. An area is poor when it presents some or all of the following conditions:

- poor physical and human resources
- lack of infrastructure and basic services and facilities
- inequitable land tenure conditions
- shortage of employment opportunities
- presence of institutionalized forms of oppression and exploitation of the poor
- absence or inadequacy of institutions which provide opportunities for people's participation in local Government or decision-making.

Zonal poverty and individual/family poverty usually are closely interrelated: most rural poor live in poverty-stricken areas or originate from these (e.g., urban Blum-dwellers).

## 5.2 Rural poor or rural workers?

Considerable thought was given to the question of whether the main target population was to be called the rural poor or the rural workers, as defined by the ILO Conference Convention No. 141 of June, 1975.

The term poor was eventually chosen for reasons given in Section 1.3 of the Framework.

Nevertheless, it would be well to remember that the definition, identification, and classification of rural and poor workers is equally difficult. Moreover not all rural workers belong to the poor. (See the Framework, Section 1.4).

## 5.3 Main categories of rural poor

In the Framework, nine main categories of rural poor are indicated, of which the most important are male and female marginal owners-farmers and fishermen, tenants, sharecroppers, landless agricultural, fisheries and forestry workers, and some categories of artisans. In reality, various combinations of these categories frequently are found.

In each country and/or study-action area a specific categorization of the rural poor has to be determined according to the local economical and social conditions.

This would be necessary in order to:

- identify who are the poor. Certain categories of rural people, such as irregularly employed landless workers live below the subsistence level in poor areas and| as such, belong all to the poor.
- design the field surveys, particularly to prepare a representative sample of people to be interviewed based on the assessed numbers and proportions of the various categories of rural poor.
- plan the (follow-up) action programmes according to one or more specific categories of rural poor, for example, the tenants

#### 5.4 Identification of the poor

##### 5.4.1 Reasons for identification and assessment

As indicated in the Framework (Section 1.4) for the proposed research, we are excluding the determination and application of complex quantitative indicators or standards for the identification and classification of the rural poor, e.g. standard subsistence or poverty lines. However, such an exercise a) would require, in practice, a specific, costly, and time-consuming research; b) would be highly problematic in most countries as the statistical data (on incomes, farm sizes, etc.) needed to apply (monetary) poverty lines, etc\*, would likely be either unavailable or inadequate, and c) however desirable a detailed, quantified picture of the rural poor would be, it is not essential for ROAP research and action.

Poverty lines are moreover almost useless. In those many rural areas where the people are still self-provisioning and do not figure in the money economy, poverty lines cannot adequately indicate the actual inhuman living conditions. In fact, they constitute arbitrary dividing lines between the poor and the presumed non-poor all participants in the same systems. Instead, guidelines for an alternative approach in general operations operational terms are proposed. For each country/study area, these and/or different procedures need to be established, elaborated further and applied.

##### 5.4.2 Recommended approaches to be used

For the identification of the poor, a combined indirect and direct assessment could be applied as described hereunder.

- 5.4.2.1 All available data on the rural population of the study area are to be gathered, first of all. This would include data on population, land tenure, economic activities, income, (un) employment, housing, etc. With this information in hand, an overall direct assessment can be obtained of the numbers, proportions, etc, of the various categories of poor and non-poor farmers, fishermen, artisans, et al.

5.4.2.2. Then in each selected village or sub-zone the study/ action area numbers of rural poor could be indirectly assessed by sorting out the non-poor. This procedure is less complex and time-consuming because in poor areas the non-poor locals are relatively few, well-known, and easily identifiable.

For each project area a number of relevant indicators for the identification of the non-poor (and also to some extent of the poor locals) should be operationalized. For example:

a) Scale of production:

For farmers!

- numbers of hectares of arable land owned and, if any, rented out, and area cultivated
- types and quantities of crops grown for marketing
- level of farm management, of farming technology; numbers of labourers hired and for how long usually, etc.

For fishermen:

- types and numbers of fishing boats and gear owned
- level of fishing technology
- quantity of fish marketed
- numbers of workers regularly hired, etc.

b) Type and size of non-farm businesses

c) Types of housing!

Perhaps a local classification of existing dwellings could be prepared or applied, indicating the usual types of houses for the rich, less rich, and the (various categories of) poor people. For example, for the better-off: houses with concrete floors and/or brick walls and/or cement or tiled or metal roofing, houses of more than one storey, etc. Furthermore, ownership or access to/elite" facilities each as electric power, piped water, telephone, etc. could be used.

- d) Possession of certain relatively "conspicuous" durable goods like cars, TV, urban-type furniture and also clothing.
- e) Frequencies and modes of using economic and social services and facilities, such as those for education, health, agricultural and fishery extension, credit, farm input supply, and so on.  
*or* if not utilizing certain services, such as those of money-lenders, traders, etc.
- f) The distribution among the locals of certain important leadership roles, mostly assigned to the better-off.
- g) Belonging to (and/or occupying functions in) associations, rural organizations, etc., which the poor are not allowed or expected or cannot afford to join.

It is evident that for this information exploratory field trips to the study area are indispensable. Once the non-poor are assessed as to characteristics, numbers and proportions in each village and/or sub-zone selected, the total numbers of both the non-poor and the poor can be determined approximately by extrapolation for the entire project area, on the basis of the population and other data collected.

- 5.4.2.3. For the direct assessment of the poor, the following factors may be utilized and checked against the available background data already collected on the project area:
- a) all the landless cultivators, such as tenants, sharecroppers (at least those farming on a small basis), squatters, irregularly employed agricultural fishery and forestry workers, et al., belong to the poor;
  - b) part of the regularly employed rural workers, like plantation wage-earners might not be poor. Their numbers, however, can be easily determined as they normally have a fixed income. For this purpose, an average minimum amount of income for subsistence, or a poverty line, needs to be determined for the study area;
  - c) the identification of landowning poor is more problematic. A purely statistical criterium, like the amount of land owned (all who own less than say five or three acres are poor) is notoriously relative and arbitrary. Productivity varies greatly and land tenure data are frequently lacking or deficient.

In order to solve these identification problems, use can be made of the above indicated indirect assessment of the poor.

- 5.4.2.4 In the application of these assessments, the following considerations are to be borne in mind:
- a) the direct assessment of the non-poor can only, or mainly, be carried out in the areas selected for field research;
  - b) in certain very poor areas, which are nearly exclusively inhabited by peasants, the quantitative assessment of the non-poor, as described above, may be less useful or less relevant;
  - c) in addition to a quantitative, and to a certain extent qualitative, picture of the non-poor and poor locals, more detailed information on the numbers/proportions as well as the characteristics of the various categories of the poor is, of course, still desirable if not necessary;
  - d) the identification of the non-poor does not imply that they are to be excluded from the interviewing. On the contrary, a certain number of better-off locals are to be included in the sampling. Many of them will belong to the local decisionmaker's or influentials and are to be taken into account in any action for the improvement of the plight of the rural disprivileged.



## 6. The rural organization to be included in the research

6.1 Rural organizations are meant by FAO to be the people's own organizations, which perform certain bargaining/claim making and socio-economic functions. A rural organization is thus a body which is run and controlled by its members to a sufficiently large extent. This means, in practice, any organization which is considered by all or most of its members as their own organization. Pure examples are voluntary organizations which are not only run and controlled but also were founded by its past or present members. The determination of which local institutions are people's own organizations could turn out to be rather problematical in certain countries or study areas.

In many cases organizations are labelled as people's organizations but are in fact far from it. They are frequently started and also to a large extent managed and controlled by a Government or other outside agency. The locals naturally do not conceive of such organizations as their own, because they neither created it, nor had a sufficient say regarding its structure and functioning. However, as long as the outside agency has the clear intention and provides certain conditions (expressed in the statutes, by-laws or otherwise) that an organization for rural people will gradually and eventually be run democratically by its membership, the organization could be provisionally considered as a rural people's organization.

6.2 For an overview of the basic functions as well as for the classification of rural organizations we refer to the Framework, Section 2.

The ROAP projects should naturally include all formal rural organizations of a certain area but also where opportune, certain selected informal ones.

The formal rural organizations should include not only those of rural workers or of the rural poor, but also those of rural employers, producers, landlords, "fishing-boat lords" and so on. The reason is that a stocktaking and analysis of all rural organizations cannot be foregone, particularly in areas where ROAP projects are or will be incorporated in (integrated) rural development programmes. Relatively more attention should, of course, be paid in the research and action to those organizations which do or could involve the poor in the local development process.

The formal rural organizations comprise cooperatives, trade unions and other organizations such as:

- farmers' and fishermen's associations;
- committees or groupings for common facilities (e.g., tube wells), joint farming or fishing;
- mono-functional bodies such as irrigation, milk-marketing, settlement, training, etc., groups.

Informal rural organizations are mostly traditional, non-conventional. Groups which do not seek to be registered or to be recognized by an official authority, for example, mutual-aid groups among farmers.

Where possible and opportune those informal organizations should be included in the research which have the potential to grow to be transformed into formal ones.

However, in reality, it could become quite difficult, not only to identify and study informal organizations, but also to select from among them the potentiel formal ones, because informal rural organizations are normally characterized by a very loose and fluid structure closely interwoven with the local culture.

## 7. Prototype Hypotheses

### 7.1 Preliminary

The prototype hypotheses presented below, for illustrative purposes, are inevitably formulated in rather general terms. They are mainly based on the conceptual scheme of the Framework.

For each country/study area there is obviously a need for more detailed and "to the point" hypotheses to be based on the specific objectives, of the research to be undertaken as well as on the local economic and social conditions particularly the existing forms of peoples' participation, and types of rural organizations,

It also should be noted that certain ROAP projects will have to start with so little factual information on the rural people of the country/project area, the agrarian production structure, existing rural organizations, etc., that the research will have to be organized, at least initially, as exploratory or reconnaissance surveys. For such type of studies relevant and detailed hypotheses understandably cannot (yet) be made, at best only general ones.

### 7.2 Examples of General Hypotheses

7.2.1. The rural poor are not or insufficiently involved in the local development process because adequate means and forms of popular participation, particularly rural organizations suitable for them, are lacking.

7.2.2. The lack of popular participation is to a large extent due to the fact that the various existing types of rural organizations in the country or study area reach only or mainly the better-off locals.

#### The main reasons are the following:

- a) prevailing inequalities of the power structures at local and higher levels result in rural organization that:
  - are started, managed, dominated and/or manipulated by the (local) powerful;
  - meet mainly the needs and promote the interests of the better-off locals;
  - are subject to excessive Government supervision and control;
- b) transplantation of alien development concepts and procedures not fitting into the local economic and socio-cultural conditions, this refers particularly to the creation of certain types of organizations which have been developed and function well in more developed areas but which are inadequate, particularly in reaching the poor, in most developing countries.
- c) indifference of ruling elites toward the rural poor or their fear that once the latter are organized, their position, power and interests, might be threatened;
- d) the lack of information on the part of policy makers, top organizational leaders, etc., on the specific conditions, needs and problems of the rural poor so that no adequate attention is paid to the creation or promotion of organizations which are suitable for the poor.

7.2.3. In areas where the rural organizations reach only or mainly the better-off, that is, where the poor lack one of the cardinal means of popular participation viz. adequate organizations, the following effects of this type of situation can be observed:

- a) an overwhelming majority of the rural poor remain unorganized, and mainly for this reason marginalized, oppressed and/or exploited. Thus they cannot participate in the decision-making of local Government and other bodies regarding their economical and social development or at least regarding the improvement of their ,often inhuman living conditions;
- b) the poor cannot or do not contribute (or far below their potential) to local development efforts through rural organizations.

Concretely this means:

- the poor insufficiently or not at all utilize various available (agricultural, medical, educational communicational, etc.) services and facilities, many of which are provided by rural organizations;
- the poor insufficiently or not at all adapt those agricultural, fishery, health, sanitation, etc., innovations which are in their reach.

One of the serious consequences is that agricultural/fishery/ forestry productivity is strained far below its potential.

- c) the living conditions of the poor are worsening, remain at the same low levels or improve less and/or more slowly than if they were properly organized.

It is clear that as long as the poor remain unorganized they do not, or only insufficiently, share in development benefits such as increase of production and of farm and off-farm income, shewing in the economic social and political gains of local organizations, etc.

7.2.4. A rural organization is more attractive to the rural poor, or any particular category thereof, and more adequate to involve than in development to the degree that such an organization is capable of meeting their felt and real needs, of promoting their interests, of solving their problems and of providing them with meaningful services.

7.2.5. A rural organization is attractive for the poor when;

- a) it includes relatively many of them in its membership;
- b) the poor members can and do participate actively in its leadership and in its activities;
- c) services provided are interesting for the poor; and
- d) they can utilize these satisfactorily.

### 7.3 Specific Hypotheses

Prom the foregoing general hypotheses a number of specific ones can be formulated which indicate the factors and reasons which explain:

- on one hand why certain types of rural organizations are inadequate and thus unattractive to the rural poor and consequently incapable of involving them in the local development process;
- on the other hand, why certain categories of the poor remain wholly or partly unorganised.

The responsible factors or variables are related either to specific inadequacies or impediments within a certain type of rural organization (in other words to internal obstacles) or to certain factors, conditions outside the organizations or external impediments.

Part II of the Framework, "problems of rural organizations to involve the poor in development", presents an indicative description of a number of possible internal and external impediments for the organization of the poor. Several specific hypotheses could be formulated by the local researchers which are related to the obstacles described in the Framework and/or to other impediments likely to be found in the study/action areas.

The hypotheses may thus refer to certain internal factors/impediments of a rural organization which are due, for example, to its:

genesis	recruitment procedures
objectives	leadership
legal status	services and activities
organizational set up	facilities and finances
membership	external relationships

The hypotheses may also refer to certain external factors/impediments which explain why the rural poor are not, or are insufficiently organized and which usually affect all or most organizations of a country or study area, i.e.:

- certain authority/power structures at local and/or higher levels, which affect negatively the creation, structure, functioning, control, etc., of one or more types of rural organizations;
- inadequate legislative frameworks for rural organizations;
- inefficient relationships between certain Government bodies and rural organizations, etc.;
- certain economic and social conditions of (one or more categories of) the rural poor, e.g., relative geographic isolation; low standards of living, levels/education and exposure to non-local information; lack of capable leaders among the poor; the image of rural organizations among the poor, etc.
- certain other socio-structtiral and cultural impediments; e.g., opposition to (certain) rural organizations by local powerholders; forms and degrees of dependence of the rural poor upon rural and urban elites; ethnic and tribal groups and their (negative) mutual relationships; the degree to which the local economic and socio-cultural systems are still traditional.

## 8. Major topics and variables for which information is needed

### 8.1 Preliminary

As indicated earlier, the action-oriented ROAP research will comprise country studies and in-depth field surveys. The former will mainly collect information from secondary sources (existing documentation, etc\*), whereas the latter will gather data from primary sources (by observation, interviewing, etc) in certain areas.

Following the objectives and hypotheses presented earlier, any ROAP study should focus mainly on the various impediments existing in a country and/or action area, which prevent the poor from becoming (more and better) organised. This broad issue implies the need to collect the following two major types of information:

- a) From the leaders and members of existing rural organisations to find out what impediments render these inadequate or less suitable for the (active) participation of the poor. In more concrete terms to explore whether and what obstacles are perceived by the already organized rural people (leaders/members of existing organizations)• And furthermore of course to obtain their views on how certain constraints within and outside their organization, could be overcome.
- b) From the unorganised rural poor to find out:
  - How they look at, or feel about the existing organizations, if any in their area;
  - what minimum requirements they think should be present or created either in existing organizations or in new ones to be set up for and with them in order to become motivated to join and participate actively in these groupings.

From the foregoing it follows that the country studies can collect practically only data related to (a), whereas the field surveys will also and particularly gather information related to (b).

For any ROAP project it is imperative that the information sought is inspired and guided by the bottom-up approach (see the Framework, Section 10.2.) That is, in short: the problems of how the poor could become organized (more and better) are to be analyzed and solved starting from, and taking into account, all their views, needs and desires\*

### 8.2 Indicative overview of topics for country studies

The following topical outline is mainly based on the panorama of issues presented in the Framework. In all the following topics, where it is relevant, full attention should be paid to the rights, participation, problems, etc\*, of female workers in agriculture, forestry and fisheries.

## OUTLINE OF POSSIBLE TOPICS FOR ROAP COUNTRY STUDIES

1. Introduction to the country
  - 1.1 Geographical data
  - 1.2 Demographic data, numbers, rates of growth, distribution by ethnic groups, economic sectors and urban-rural; settlement patterns, mobility, etc.
  - 1.3 Overall economic, socio-cultural, and political characteristics, including data on religion, education, social structures and the secondary and tertiary sector.
  - 1.4 Overview of regions/zones in the country according to geographic, economic social, public administrative and political characteristics/criteria. The presentation of maps is of course very useful.
2. Agriculture
  - 2.1 Basic data on land tenure and production structures (crops, livestock, farming methods, farm inputs, outputs, marketing, processing, etc.)
  - 2.2 Numbers and percentages of the various categories of farmers
  - 2.3 Farming income data: changes over time
  - 2.4 Similar data as under 2.1, 2.2, 2.3 on industrial and small-scale, coastal and inland fisheries/fishermen
3. Rural Development
  - 3.1 Historical background (describe briefly the recent salient periods, with emphasis on the past ten years)
  - 3.2 Present objectives/trends/policies/programmes
    - 3.2.1 General political, social and economic objectives and priorities of the country's development efforts
    - 3.2.2 Rural development objectives/policies/programmes, particularly regarding land reform and further (re)settlement plans/schemes, provision of services and facilities, etc.
4. The rural poor

(where opportune they could (also) "be called the rural weak, low-income people, disadvantaged, underprivileged, etc.)

  - 4.1 How defined and identified by government and/or other bodies; average incomes, changes over time; poverty lines etc.
  - 4.2 Main categories \classification e.g. small owner-operators, tenants, sharecroppers, (landless) agricultural and fishery laborers, etc.; also mixed categories such as peasant/fishermen, etc.
  - 4.3 Numbers and percentages of these various categories of rural poor; also per region/zone in the country.
  - 4.4 List, summarize briefly, studies on the (rural) poor made in the country by local and other experts and/or research institutions. (All this could be attached as an appendix to the report.)

5. Rural organizations:the solutions attempted by different types of rural organizations to involve poverty-groups in rural development

First should be presented a summary of the different types of formal rural organizations existing at national and/or lower levels. For example: cooperatives, trade unions, farmers' associations, peasant groupings, etc. (See Framework, Section 2.3).

Informal rural organizations, i.e., traditional ones (mutual aid groups, etc.) which do not seek to be registered and/or recognized by a Government authority, should not be considered in the study. Also local Government bodies at grassroots and higher levels are to **be** excluded.

5.1 Overview of the different types of rural organizations in the country

This inventory should include a list of the existing types of rural organizations. Further needed for each type of organization are:

- a) essential statistical data: total number of organizations (or organizational units, branches) and of their membership, etc.
- b) geographical distribution in the country: (where possible, present maps and graphics).
  - action and influence zones in the country: areas where the organizations (or units) are concentrated to varying degrees, scarcely present or absent; the reasons for all this, etc.
  - total number of organizations (or units),total and average membership per organization (unit) in each action zone.
  - zones where the type of organization is more or less active or successful as to membership and activities and why.
- c) "Apex" bodies of or for the type of rural organization at national, provincial and/or at lower levels:
  - Apex organizations for cooperatives: federations, secondary, tertiary level cooperatives, etc.
  - Trade unions for one or more categories of rural poor.
  - Industrial trade unions which have one or more sections for various categories of rural workers or for their organizations at lower levels.
  - Other non-Government organizations, which encourage,promote, run, supervise and/or support rural organizations, like political parties, churches, international development agencies, etc.

5.2 Overview, description and examples of each type of rural organization

5.2.1 The major characteristics, efforts and problems of each type of rural organizations are to be described briefly, particularly those which are seeking to involve the lowest income groups in rural development programmes. Moreover, it will be necessary, for illustrative purposes, and above all, for the planning and implementation of efficient follow-up action, to provide and describe for each type of rural organization some concrete examples.

These should represent as far as possible:

- a) The specific areas of the country, again particularly those where rural development programmes, if any, are carried out;

- b) specific poverty groups such as landless labourers, tenants, sharecroppers, marginal farm owners/operators, small scale fishermen, etc\*;
- c) organizations which are successful, particularly concerning the participation of the poor, and those which are not so successful because inactive, dormant, or not supported by higher level Government and/or other bodies, etc.

Of each specific example of a rural organization a clear and informative description is needed, including the concrete difficulties, limitations and (planned) efforts to resolve them.

5.2.2. The following issues/topics/variables are of particular relevance for the description of each type of organization as well as of the concrete examples of these to be presented. (See also the Framework, Section 6 and 13.)

a) Genesis and growth history

- when, where, why, by whom founded; by local initiative or by outside (Government or other) change agents/agencies\*
- history of growth (in this history include the salient characteristics of the local socio-economic and political environment).
- Government-supported or not? Why?

b) Objectives

- stated and actual goals
- overall, long and short term objectives, etc.

c) Legal status

- registration; under which laws, by-laws, etc\*
- legislative obstacles in the country/region for registration, etc.

d) Organizational set-up

- decision-making structure, procedures, organizational chart, degree of centralization, etc.
- geographical distribution: various action, influence and concentration zones in the country, and why (where possible to be described in a more detailed way as under 3.1).

e) Membership

- total numbers and numbers per action zone in the country (where possible more detailed as in the overview under 5.1).
- relevant prevalent characteristics of the members (particularly explain ing the non-membership of (most of) the rural poor:
  - ethnic group, oasts, socio-professional class, religion, level of education, etc.
  - land tenure status, sizes of farmland owned, etc.
  - categories of rural poor, who are members (small owner-operators.tenants, sharecroppers, landless labourers, etc.); numbers, proportions per category, etc\*
  - numbers and proportions (and if possible characteristics of active members.
  - conditions for entrance in the organization (formally and in practice: e.g., mostly the better-off farmers, males, etc.).
  - proportions of actual to potential members in the country and/or parts of it. Particularly the proportions of actual members to total numbers of the various categories of rural poor. It will be crucial to high light the reasons for these (dis)proportion8: why are the rural poor
  - not joining this type of organization?
  - recruitment policies, actions (campaigns), particularly among the rural poor.



f) Leadership, management and member participation

- background, main characteristics of the leaders (e.g. age, education, caste/class, religion, economic position as well as their functions, roles outside the organization).
- recruitment of leaders, criteria for election etc.
- responsibilities, performance of leaders, style of decision-making (from autocratic to democratic), etc.
- full and part-time managers, professional staff, secretaries, etc.
- relationships between leaders and office holders, etc.
- training of leaders and managers
- information/training systems to enable members to participate in decision-making and to perform their control functions competently.
- the different forms and expectations of all participants in decisionmaking like members, management and (where applicable) Government/ authority (formal and informal) structures.

g) Services and activities

- policies, programmes, particularly those, if any, for the rural disadvantaged
- bargaining/claim making activities at national and/or lower levels to improve the living/working conditions of the rural poor
- socio-economic services and activities for the poor, e.g., provision of credit, input, transport, marketing, processing, etc., facilities; promotion of self-development projects, better housing, employment opportunities, etc.
- the obstacles, problems, solutions, results and failures of the various services and activities, particularly of those which are relevant for the rural poor.

h) External relationships to:

- units at similar and different levels of the same organization.
- other rural organizations (cooperatives, trade unions, etc.)
- Government and other bodies, particularly those dealing with extension work, agrarian reform, rural development and/or rural organizations
- sponsoring organizations, if any, like political parties the position of the organization in the power structures at national and lower levels\*
- To be analyzed are the overall characteristics and content of each of these relationships (which may range from cooperative to antagonistic) as well as the issues, costs and benefits involved, and also the changes over time.

i) Other relevant problem areas.6. Conclusions and recommendations for further research and for action programmes7. Appendices

- Bibliography of rural organizations in the country
- Bibliography of poverty studies made in the country (see above under 4.5)
- List of persons/informants contacted
- Other (e.g., tables, maps, etc.)

\* \* \* \* \*

### 8.3 Major topics and variables for field surveys

#### 8.3.1. Introductory notes

For an indicative panorama of information to be collected, we refer first to the Framework Part III and also to the foregoing section on country studies.

Hereunder follow only a limited number of the most crucial and relevant topics and variables which should be included, wherever possible, in the research designs. For each study/action area it may turn out that other important topics/variables are to be added, or that some of the ones proposed are irrelevant and should be omitted.

However, particularly for the purpose of comparability of findings, it is necessary to include in the research design at least all those topics/ variables presented which are applicable and useful for action in a certain area. However, the researcher ought not embark on an exhaustive analysis, neither of each rural organization of a project area nor of certain less relevant conditions and/or characteristics of the poor.

The foremost need is the identification and analysis of the stumbling-blocks and bottlenecks for the organization of the poor as well as workable proposals for action to overcome them. The research in certain areas should accordingly concentrate on the presumed obstacles like, for example, the elitist, oligarchic leadership of rural organizations, the oppressive local powerstructure, the lack of support from higher levels for certain organizations, and the isolation, low level of concentration of the poor, and so on.

From the foregoing considerations, it follows that the initial research designs can only be provisional and flexible because during the preparatory or field phases it may turn out that certain topics are (more) crucial and relevant, and need to be included, stressed or elaborated in the design.

#### 8.3.2. Selected essential topics and variables

For a more exhaustive and itemized overview of topics and variables which could be considered, see the Framework, Part III.

- I Background information on the country and study/action area(s). (See Framework, Section 11.) Most important here are data on population and on agriculture, forestry and fishery, particularly the numbers and proportions of the various categories of farmers and fishermen, and of course of the poor rural workers. Also, all possible information on income distribution, and on specific institutions, policies, programmes if any, for the rural weak will be needed.
- II. Inventory of rural organizations at national, provincial and project area levels (See the Framework section 12} Relatively more attention to details than at the national level is required for useful survey of rural organizations in the province or region where the study area is located and to the organizations in the area itself.
- III. Analysis per rural organization in the study area (see the Framework, Sections 6 and 13) As said earlier, the study should concentrate on a number of selected factors within each organization which constitute impediments for the poor in joining it. For the reasons explained in the Framework, Part III, the following topics are likely to be very crucial:

1. Genesis

How was the organization founded? what were the driving forces; local initiative (local powerholders/influentials or peasant leaders, etc.) or outside Government and/or other change agents/agencies?

2. Objectives

The formal, and stated, and the actual and non-formally stated objectives. For example manipulation of the organization by non-local authorities, a political party, local powerholders or bigger farmers in order to promote certain (vested) interests, e.g., to increase influence; to obtain privileges, subsidies, licenses, to monopolize the market, etc.

3. Organizational set-up

- formal structure, organizational chart, functions, autocratic or democratic set-up, etc.
- the formal and informal decision-making structures how, to what degree are leaders and members as well as outside groups, if any, involved, particularly when major decisions are to be made.
- internal communication and control: channels, modes, frequencies of contacts, etc.

4. Membership

- a) total number and numbers per branch/unit; changes over time and the reasons.
- b) conditions for entrances. formal and in practice; recruitment of members; modes and efforts, if any.
- c) prevalent characteristics of the members:
  - proportions of male and female members;
  - age classes, ethnic belonging, clan/caste, family status, religion, level of education, etc.;
  - land tenure status: size of farmland owned (or fishing boats/gear owned), rented, leased;
  - as far as possible: (family) income in cash and kind, from farm I farming and other sources, etc.;
  - active members: numbers, main characteristics and proportions to the non-active, nominal members. Possible indicators are: holding of functions in the organization at present or in the past, engagement in the organizations' activities, frequencies and modes of attending meetings, etc.
- d) poor and non-poor members; on the basis of the above indicators are: other data, it will be crucial to obtain a survey with numbers and proportions of the various categories of poor and non-poor members, e.g.:
  - large and middle landowners (or fishing boat/gear owners);
  - small and marginal owner/operators, tenants, sharecroppers;
  - local, migrant, immigrant, regularly and non-regularly employed agricultural and other labourers

The survey should possibly include correlations with important variables such as active/passive membership, functions held at present and in the past, any other public or social activity.

- e) Proportion of actual to potential members in the study area and/or parts of it. In particular, the reason **for** these proportions: why are certain categories of fanners and fishermen joining the organization while others are not?

5. Leadership

- a) the formal and informal (influential members, etc.) leaders
- b) main characteristics: age, sex, education, caste/class, religion, economic position, income, functions and roles outside the organization, etc.
- c) recruitment of leaders: formal and informal criteria, procedures for election, modes of replacement, etc.
- d) whether and how are leaders trained.
- e) responsibilities, performance, level of (mis)management.
- f) modes and style of decision-making; from autocratic to democratic, etc.
- g) relationships of leaders with higher and lower level units, leaders and/or groups.

6. Services and activities

- a) policies, programmes, and resource allocation, particularly for poor members, if any; changes over time.
- b) general activities; meetings, education and training actions for members and leaders; and degrees of participation by groups.
- c) bargaining/claim-making activities, particularly for the rural weak.
- d) socio-economic services and activities.
- e) internal and external support and obstacles.
- f) performance: degrees of success and failure, and why.

7. Facilities and finances

- a) available and lacking material facilities.
- b) financial situation: sources, modes of collection, insufficiency of financial means; assets and liabilities, etc.

8. External relationships ("bases, content, direction of initiative and other characteristics) to:

- a) higher and lower level units of the same organization;
- b) other rural organizations in the area;
- c) Government and other bodies at local and higher levels (sponsoring employers', employees', voluntary, etc., organizations);
- d) local/zonal power structure and the position of the organization in it.

IV. Selected external factors impeding the organization of the poor  
(See Framework, Section 14.1 and 14.4)

1. Authority/power structures, at action area and higher levels in as far as these affect rural organizations.
  - a) relationships between (local) Government (agencies) and rural organizations, particularly:
    - the legislation regarding various types of rural organizations;
    - the interpretation and application of these laws by local Government bodies or officials;
    - the presence, functioning, problems, etc., of local Government bodies specifically dealing with and/or promoting rural organizations.
  - b) forms and degrees of opposition to certain (types of) rural organizations and/or their leaders  
which/who could help to organize the poor or are in fact doing so. This opposition can be enacted by:
    - local powerholders or groups (political or pressure groups, landlords, moneylenders, traders, castes, etc.)
    - and/or by certain groups of better-off farmers, fishermen, etc., who have specific (vested) interests.
2. Economic and social conditions of the rural poor  
(See the Framework, Section 14.2, 14.3 and 14.4)

Detailed and practical information is needed only on those conditions of the target groups which constitute serious obstacles for their mobilization and organization. These impediments are, for example, the following:

- a) the relative isolation and thus "unreachability" of part of the poor due to the geographic and deficient infrastructural conditions of their living area or to their patterns of settlement (scattered and/or in countless small clusters, etc.).
- b) the relationships between ethnic and/or tribal groups: rivalries, enmities, tensions, conflicts, if any, between these groups are to be identified and analyzed, as far as they affect negatively the function of existing rural organizations and/or could hamper the creation of alternative ones for the poor.
- c) low levels of living: sub- and malnutrition, inhuman housing, bad health and sanitation conditions, etc., of the poor. Needless to say that such situations strain or block the organization of the poor.
- d) (related to c); low levels of education of conscientization and of exposure to non-local information.
- e) availability of (potential) capable local leaders for organizations which are adequate for the rural weak.
- f) for certain categories of rural poor specific variables are to be added, for example, for seasonal workers, tenants-cum-labourers, plantation workers, small owner-operators, etc.

3. The image of rural organizations among the poor  
(See Framework, Section 8.)

This crucial topic needs special attention.

Important variables are, for example:

- a) the prevalent positive or negative perceptions and attitudes among the (various categories of) the poor vis-a-vis one or more (types of) rural organizations in their living area.

This variable will most likely have to be differentiated according to the organizations, objectives, organizational set-up, leaders, formal and/or practical requirements to join than, relevance of goals and activities for them, etc. Heedless to add, reliable information on these topics will be indispensable either for the reform of existing organizations or the creation of alternative ones. (See the Framework, Section 9.).

- b) Occurrence and tendencies among the poor to consider joining an organization operating in their area; the type(s) of organizations considered by them; the numbers, proportions of the poor who considered joining an organization; their reasons for not (yet) joining, and so on.
- c) The advantages and disadvantages of joining an organization in the views of the poor.

PART II – SELECTED GUIDELINES ON METHODS AND PROCEDURES

9. County studies

9.1 Most of the data needed for these studies will be collected from secondary sources, that is from all sorts of documentation available. Where possible, a number of essential data should also be gathered from primary sources, that is by means of exploratory interviews with knowledgeable informants at national and/or lower levels. Such interviews could also help to locate other documentary material.

9.2 The documentation to be sought and analyzed should concern in particular the various types of rural organizations and the conditions of the rural poor as well as the attempts to improve these.

The documentation possibly should include the followings:

a) Statistical, economic, social and other (yearly or occasional) reports, of:

- governmental statistical or census bodies;
- the Government agencies dealing with rural development, rural organizations etc.;
- the central, regional and local offices of cooperatives, trade unions and other rural organizations;
- sponsoring bodies of rural organizations (political parties churches, etc.);
- research institutions attached to universities, ministries, etc\*, and independent ones.

b) laws, by-laws, statutes, programmes, records of meetings, files, etc., of the rural organizations under study.

c) documents, reports of relevant development projects in the country.

d) any other relevant publication, report, etc., on rural development, rural organizations and the poor, available in the country or elsewhere.

9.3 The persons to be contacted for exploratory interviews could include:

a) members of the Boards and/or Executive Committees of the various types of rural organizations in the country

b) a selected number of well-informed officials in public administrative bodies, particularly those which deal with rural development, rural organizations and anti-poverty programmes, education and social welfare

c) other relevant informants such as teaching and research experts in universities and other institutions who deal with the topics under study

For the interviews one or more checklists of topics to be covered will be very useful. The topics/variables presented above in section 8.2 could be taken as starting points for the preparation of these checklists.

## FIELD SURVEYS

### 10. Criteria for selection of adequate research institutes to be responsible for the studies

- 10.1 The institute should be oriented towards applied, action-oriented social research in rural areas; to be excluded are institutions which engage exclusively in purely academic research. Such orientation can be determined from the statutes, objectives, etc. of a candidate institute as well as from its activities here as explained under c);
- 10.2 the actual composition of the Board of Supervisors or Governors should not only consist of academic staff, but also of high-ranking decisions-making officials of Government bodies which plan and execute rural development programmes. The institute should be located as centrally as possible in the decision-making machinery of the country. This requirement will not only help to ensure a practical, action-oriented set-up for the research, but also might facilitate and accelerate the transformation of the research conclusions and recommendations into efficient follow-up action;
- 10.3 the past, present and planned studies of the candidate -institute in the planning, implementation and/or evaluation of rural development programmes and projects. The institute thus should stay in continuous contact or dialogue not only with public administrative and other development planners, but also through its past and present studies and training activities with grassroots realities, that is, with local leaders, change agents and the people to be engaged.
- 10.4 an institute would be still more eligible if it has experience with the ROAP topics. In other words, when its completed, ongoing and/or planned research is related to one or more of the main issues of the ROAP research projects and/or when this research is, was or will be carried out in the ROAP project areas to be selected:
- 10.5 another heavyweight factor to be considered is of course the actual or potential availability of suitable staff for the research and action proposed.

### 11. The selection of personnel for research and action

The selection and formation of an efficient team for ROAP research projects is naturally of paramount importance. The institute chosen must either include in its staff or be in the position to recruit a small core group of say four or five qualified men and women.

- 11.1 They should be well trained in social and related sciences and experienced in grassroots research and possibly also action.
- 11.2 They should be local; expatriate experts could only be asked when needed for advisory functions.
- 11.3 They must be motivated to engage in grassroots research and action, particularly among the rural poor. A good deal of effort is required from the researchers to identify themselves as much as possible with the poor, in other words to combine spectator with experimental knowledge (see Section 2.1).



It frequently has been found that young specialists are not only less tied to family commitments but also more flexible and enthusiastic toward living and working in remote and poor villages. Usually they can get along and communicate

11.4 They must be capable of providing workable proposals for efficient action. Too theoretical, academic researchers are thus to be excluded.

11.5 They must be competent in relations with all types of people, in order to reach adequately the entire target group of rural poor, the research team should comprise female specialists.

Moreover it would be highly desirable that some of the researchers engage also in the planning and in the implementation of the follow-up action. Thus adequate job-security for the project staff would be an incentive. Finally, the various researchers selected must be able to cooperate efficiently with each other and develop a sound team spirit.

## 12. The selection of study and action areas

The selection of the project area(s), particularly the first ones, requires careful preparation for the following reasons:

- the limited availability of funds, time and personnel;
- the complex and delicate nature of the projects proposed;
- the necessary spreading of the projects later in other areas.

Criteria for selection of project areas:

12.1 areas with a relatively high number of poor inhabitants;

12.2 areas where different types of organizations are allowed to operate, not only as far as the country's laws regarding rural organizations are concerned, but also where the local authorities /elite are too opposed to one or more types of these organizations,

12.3 areas where at least one, but preferably different types of organizations already function sufficiently at grassroots level,

12.4 areas where not only the research proposed but also the follow-up action can be carried out readily and properly. In other words areas where relevant Government and other bodies dealing with peasants are in a condition and willing to help promote action-programmes for the creation of suitable organizations by the poor.

12.5 areas where certain development efforts are already in execution. In other words, areas which are no longer entirely traditional but where a certain process of modernization and conscientization is taking place, and where active rural organizations and/or peasants' movements are found.

The following Criteria are desirable:

12.6 areas where one or more rural development programmes are planned or in execution, and what is still more opportune, where the proposed research and action could become a component of these programmes. In certain countries this may be the only way to promote ROAP efficiently.

- 12.7 areas with different farming conditions so that the areas are sufficiently representative for the country. For example, areas with wet, intermediate and dry zone conditions and with different agrarian production structures (cropping patterns etc.)
- 12.8 areas for which the crucial background and other data (on the rural organizations, the poor, etc) are to some extent already available because relevant economic and social surveys have been carried out in these territories.

The size of the areas to be selected depends upon many factors. In general they should not be too small: each area should contain a sufficient number of villages so that, for the field research, communities with different situations can be selected

At the same time, the areas should not be too large or too heterogeneous and thus insufficiently "overseeable"

### 13. Overview of the Research Procedure

Once a responsible research institute as well as possible project areas have been selected the field research can start.

For this research a plan of operations with a time-table needs to be prepared, which indicates the various steps and operations to be carried out in different phases.

Some of these operations will of course partially overlap in time, so that the preparatory, field and final phases cannot be regarded as entirely separate periods.

An indicative list of operations normally to be performed follows below

#### 13.1 Preparatory phase

- a) Selection of headquarters and field staff responsible for the research and later, it is hoped, also for the action projects.
- b) determination of the general as well as of the specific objectives of the research\*
- c) in as far as possible and opportune, identification of one or more Government and/or other agencies which will be responsible for, or might support, the follow-up action. The earlier these agencies are identified, contacted and informed and, as far as possible, co-involved in research, the better.
- d) preparation of a timetable, and where not yet already determined, a detailed budget.
- e) preliminary determination of the topics and variables to be covered by the research.
- f) selection of the research methods and techniques to be applied, according to the concepts and principles of participatory research (see Section 2.2).

- g) collection of relevant background data from secondary sources.
- h) formulation of general and specific hypotheses as a basis for selecting topics and items for research.
- i) recruitment and training of additional staff including one or more field teams for interviewing, etc.
- j) preparation of flexible lists of topics for exploratory interviews,
- k) holding these interviews with suitable persons at national and provincial levels (see for the types of persons to be selected, Section 9.3 above).

### 13.2 Field phase

- a) reconnaissance trips to the region or province where the project area is located for systematic observations and for holding exploratory interviews with the administrative and rural organizational leaders of these territories. During these trips detailed information should be given on the proposed research and action to all officials and leaders concerned.  
Furthermore, where necessary, the final delimitation of the project area should be carried out as well as the individualization and classification of its subzones needed for research and action.  
Ideally, all or most researchers should reside or at least stay for prolonged periods in the project area in order to acquaint themselves thoroughly with the local people and their problems
- b) preparation of a stratified area sample for interviewing at grassroots level
- c) drafting of one or more questionnaire schedules for the various categories of local people to be interviewed, where possible with the help of representative locals (participatory research)
- d) testing and retesting in the field, reformulating and finalizing of the questionnaire schedule(s)
- e) systematic observation and interviewing in the villages selected for the field-research
- f) cross-checking in the field of the data collected.

### 13.3 Final phase

- a) checking on internal consistency and editing of the questionnaire data for processing.
- b) classification, coding and tabulation of all the data collected.
- c) comparison, interpretation and generalization of the field findings, also by means of group-discussions involving research directors, supervisors, interviewers, etc.

- d) drafting of report with conclusions, recommendations and practical proposals for action.
- e) discussions of survey findings with relevant officials and leaders of rural organizations at various levels, with the planners of follow-up action and the people to be involved.
- f) preparation, presentation and distribution of the final report.

The handling of most operations listed above needs no explanation to experienced social scientists. Therefore only selected points and guidelines regarding part of the operations indicated above are presented in the following sections.

#### 14. Operational subzoning of the study/action area

14.1 The individualization delimitation and classification of sub-zones in the action area will be indispensable for, among others, following purposes:

- a) to prepare a stratified area sample (see Section 13);
- b) to carry out the field inquiries;
- c) to plan and implement follow-up action programmes.

14.2 The sub-zones are to be conceived as groups of small territorial units like villages with similar ecological, economic, socio-cultural and power-structural conditions.

The delimitation of the sub-zones, among other criteria, should take into account:

- a) existing public administrative and other territorial subdivisions;
- b) action or influence zones for economic and social services in the sectors of health, education, religion, agricultural and/or fishery extension, commerce, etc.
- c) different agricultural, fishery, etc\*, zones with typical cropping, animal husbandry, fishing systems, etc.

For each sub-zone it also should be determined as far as possible:

- the sizes and proportions of the various categories of rural poor (see Section 5.3).
- presence and degree of impact of the various types of rural organizations.
- presence, status quo, impact, etc., of development projects or actions, if any.

By superposition and comparison of the various maps indicating the geographic, public administrative and other sub-zones (determined according to selected background and other descriptive data on the study area) a preliminary overall map of the project area could be prepared which indicates the provisional boundaries of the subzones

Doubtful boundaries are to be checked thereafter with knowledgeable locals on the basis of the findings in the field.

In fact, a final map of the study area indicating its sub zones and their classification likely can only be obtained after the processing of all relevant field data.

14.3 The operational classification of the sub-zones which is to be based on the above-mentioned criteria for their identification, should indicate for each sub-zone:

- a) whether and to what extent one or more categories of rural poor prevails in the sub-zone.
- b) whether one or more types of rural organizations:
  - are strongly present, that is, where the majority of peasants, fishermen, etc., are organized in these bodies, and/or where rural organizations are very active. influential, etc.
  - are weakly present, that is, where only a small number of the poor are organized, and/or where rural organizations are insignificant, unimpressive, etc.
  - have wholly or partly failed or are dormant or extinct, that is, where rural organizations have lost or are losing sizeable numbers of members and/or decreasing or ceasing their activities, and/or where these had insignificant or no results.
- c) the type and stage of development of the sub-zone, for example: fully traditional; traditional, but receptive for development; moderately, fairly or strongly developing or modernizing. These types and degrees of development could be explained by brief descriptions of the economic, social and political conditions of each sub-zone.

The classification of sub-zones will lead to, among other study and action requirements, the necessity to select for the field inquiries a number of sub-zones which represent their different types. For example:

- sub-zones *where* small owner-occupiers, tenants or landless agricultural laborers are prevalent.
- sub-zones with strong, weak or inactive rural organizations or none at all.
- sub-zones with various types and degrees of development.
- sub-zones with different types of farming structures and non-agricultural enterprises.

## 15. Sampling

15.1 In view of limited funds, personnel and time (this unfortunately must be repeated), as well as the fact that in most developing countries the required statistical data will either be unavailable or deficient (that is, insufficiently reliable, outdated and/or lacking the necessary breakdowns), the desirable construction of a stratified area sample, based on quantitative data, will be impossible for most ROAP studies.

Nevertheless a workable stratified area sample for interviewing the rural poor and other relevant informants can be made with the help of the existii^ local knowledge and the map indicating the sub-zones of the study area and their classification (see the previous section).

A number of sub-zones are to be selected which are representative for the different types of sub-zones found in the area, As explained earlier, these types indicate sub-zones with certain prevalent categories of rural poor, with strong and weak rural organizations, with slow and rapid development processes, etc.

- 15.2 Within each sub-zone selected, a similar procedure is to be followed for the selection of villages where the interviews will be held. For example, villages where a certain category of rural poor prevails, where one or more rural organizations are either well, badly, or not functioning, or where they are inexistant.

An alternative procedure could be to hold interviews in all or most communities of the selected sub-zones. Such choice depends on many factors: on the average number of villages per sub-zone; on the total number and the number of types of sub-zones present in the study area; on the available funds and personnel (to cover more sub-zones and villages will, of course, be more costly) and so on.

- 15.3 In each of the selected villages the first to be interviewed are the local traditional chiefs as well as other leaders and influentials like public administrative officers, some professionals such as medical doctors, teachers, etc\*, the leaders and committee members of rural organizations, if any, as well as their influential members (ex-chaizmen, ex-seoretaries, some better-off members, etc.).

In study areas with a sizeable number of (different types of) rural organizations, no in-depth analysis can of course be made of all these bodies. In such oases a representative sample is to be drawn from one or two of each type of organization, located naturally in the sub-zones and villages selected for the field inquiries.

#### 15.4 Sampling the rural poor

Before and where necessary also during the exploratory interviews with local leaders an assessment should be made:

- a) of the total number of poor adult inhabitants in the sub-zones and villages included in the sample and of the sizes/proportions of the various categories of rural poor such as small owner-occupiers, tenants, landless labourers and/or small fishermen (subdivided in boat/gear owners and non-owners/labouers).
- b) of the total number of poor members of rural organizations, if possible subdivided per category of poor.

Thus in each village selected for interviewing an approximate survey is to be obtained which indicates the total number of people belonging to each category of rural poor

Where rural organizations exist, these total numbers are to be subdivided according to the number of members and non-members. With these data a fairly representative sample can be drawn of the poor to be interviewed. For example, 5, 10 or 15 percent of the total of the rural poor living in the sub-zones contained in the sample, subdivided according to the percentages of members and non-members of rural organizations as well as according to the sizes of each category of poor.

When there are less subdivisions (when a sub-zone or village has no rural organizations and/or only one or two categories of rural poor) a relatively smaller sample may be sufficiently representative. Finally, it should be stressed that any sample should naturally include a representative number both of females and of males.

#### 15.5 Random sampling

In areas or villages where it turns out to be impossible (or too costly) to obtain the necessary minimum amount of information on the composition of the target population, and/ or where, according to the interviews held with local leaders and other informants, nearly all or most inhabitants belong supposedly to the poor, an alternative and less complex solution consists of taking a random sample.

In such cases perhaps every tenth or fifteenth household could be chosen for interviewing in the sub-zones and villages contained in the sample. It could be useful for this sampling procedure to prepare maps of the sample villages which indicate the location of all its dwellings, so that the ones selected for interviewing can be systematically indicated. Detailed aerial photomaps could be of great use for this operation. However, in most countries such maps are not available, outdated and/or not consultable.

A still less complex procedure is to take just a certain number, say 30, 40 or 50 of adult male and female poor in each village selected for interviewing. However, their solution should be on a specified systematic basis.

The number of interviewees depends of course upon the assessed size and composition of the population as well as upon the total number of villages selected for interviewer and also upon the total number of interviews which can be held according to the available funds, time and field research personnel, (in fact, as said, the last factor plays unfortunately a dominant role in the selection of any of the above-described procedures.) Further- more, one should avoid interviewer a disproportionate number of one category of rural poor (where various categories exist) and/ or of members of rural organizations (thus "neglecting" the non-memebers) and/or of members of one rural organization (where various of these organizations *are* operating).

These imbalances could be avoided simply by first asking the candidate interviewee to which category of rural worker he belongs and whether he/she is a member of a rural organization.

Finally, whatever sampling procedure is selected, the interviewing of more than one member of the same household is to be avoided. In the rural areas of most developing countries where a traditional family authority structure still prevails. it is usually unavoidable and thus preferable to interview household heads and/or their wives. In cases where these persons *are* not available or readily accessible, another senior household member could be contacted.

## 16. Observation

Together with interviewing, observation is an important method of data collecting in the field.

It must be applied as much and as systematically as possible in the preparatory and in the field phase of the research. Observation will be essential during the reconnaissance trips and thereafter during all operations of the field phase: moving to and from the various villages, interviewing in the houses, the backyards and fields of the poor, etc

Observation has to become gradually specified and focused as the relevance of elements of the physical, economical and social environment (e.g. houses, tools, clothing, etc) for the study/action becomes more clear. For example, from a general, overall observation of the villages, quarters and dwellings of the poor, a more and more systematic scrutiny of the different types of houses (building materials, furniture, facilities, etc.) will emerge.

The same process will take place in regard to the owned or rented farms of poor cultivators where through evermore structured observation useful information will be gathered on the crops grown, the cultivation methods used, etc., or in regard to the structures and interaction processes of local markets and so on.

Observation should take place ideally during longer periods, at least in all seasons of a year, so that all major relevant events (meetings, rallies, celebration days for births, weddings, funerals, election of local chiefs, etc\*) of the communities included in the sample can be observed systematically

Besides this non-participant observation also the participant form (e.g. the group participant observation) would of course be very desirable\* However, this method, regrettably will hardly be applicable for lack of time and personnel. What could be done is to include in the data-collection the findings by observation and to a certain extent by participation of various types of peasant- oriented change agents who lived and worked for longer periods with the village people. In fact, well-motivated extension officers, dedicated public administrative officials, teachers, medical doctors, veterinarians, missionaries, etc., who care for the local people, could be regarded as "informal" participant observers, whose observations only need to be recorded and systematized.

## 17. Interviewing leaders and influentials

17.1 The types of interviews are roughly twofold:

- a) exploratory interviews with flexible lists of topics to be held with suitable informants mostly not belonging to the target population, the rural poor.



- b) pre-structured interviews with one or more questionnaire schedules to be held with the rural poor included in the sample.

The exploratory interviews are to be held with a number of well-selected informants at national and lower levels. To be included are:

- a) public administrative authorities, particularly knowledgeable officials who deal with rural development or with the promotion and supervision of rural organizations, and/or with institutions, programmes or projects for rural (low income) groups.

Part of these officials will be located in Central Ministries or other Government bodies and part at provincial and at project area levels.

- b) leaders and other suitable exponents of cooperatives, rural trade unions, farmers' associations and other rural organizations.
- c) selected agricultural, fishery and forestry officers, extensionists and other exponents of development agencies for the primary sector who are supposedly well-informed on the grassroots realities of the action area.
- d) research and training experts in universities and other organizations who are specialized in one or more of the core subjects of the research proposed.
- e) a selected number of traditional and other local leaders and influentials as well as professionals who are well informed on (part of) the action area: e.g., village/ tribal/clan heads and elders, religious leaders, teachers, medical doctors, veterinarians, etc.

The selection of these informants will not be too difficult, also because after each interview it could be asked to the respondent to suggest other feasible informants. In order to reserve as much as possible time for interviewing the grassroots people, it is advisable to contact at national and provincial level only very informed and qualified persons; and particularly those who will likely play a significant role in the decision making regarding the follow-up action.

17.2 The importance of the exploratory interviews becomes evident from their scope, which is the following:

- a) to gather either fresh or more extensive, updated, detailed information on the rural organizations, on the poor, and also on the different sub-zones of the action area. The latter data will help to identify and classify its sub-zones (see Section 14). Most information collected also will help to formulate the schedules for interviewing the poor.
- b) to inform and to sensitize Government officials, leaders of rural organizations and other decision makers at various levels on the research, and particularly on the intended follow-up action, in order to obtain *as early as possible* their moral backing as well as other necessary organizational, managerial and financial support. For this purpose part of the interviews are to be held with high-ranking officials who are likely to be useful not only as informants, but also as key decision makers on the follow-up action.

- 17.3 For a fruitful conduct of the interviews it will be very useful to prepare flexible lists of topics. These will be based on the major topics and variables pointed out in the research design (see the indicative overview in Section 8). The lists of topics should be flexible in two senses:
- a) some of the topics to be covered will presumably be more familiar or congenial to certain types of interviewees. These subjects are of course to be discussed more at length and in-depth. For leaders of rural organizations a more detailed list of items concerning their organizations could be prepared in advance.
  - b) during the colloquium new topics might turn out to be very relevant and are thus to be added to the list, whereas other items could appear less significant up to the point that certain of them are to be cancelled from the list. After all, this is why the interviews are termed "exploratory".
- 17.4 For the exploratory interviews it is not so much their quantity but rather their quality which counts. Thus a careful selection of the informants is required and the time to be spent with the interviewees should be very flexible: with well-informed interviewees no time should be spared and even follow-up visits to them considered.

## 18. Interviewing the rural poor

### 18.1 Introduction

1. As explained in the Framework, information seeking from the "bottom" people is quite problematical, since they are poor, and "poor" is related also to information isolation, in both directions: information receiving (very limited exposure to non-local information) and giving. This refers to limited awareness of economic and social conditions, to limited means of verbal expression of ideas, needs and desires; and finally to limited "soundboards", channels to convey needs and problems to agencies or agents which could register them and take appropriate action. Even in cases where the poor have learned to articulate their problems and needs, there usually is the age-long habit of concealing them, to keep quiet, to avoid exposing oneself to the powerful and rich out of fear of being further exploited or even victimized. Moreover, the average poor are mostly so deeply rooted in the conviction that there is no real way out of their inhuman living conditions, that they do not see much sense and have little confidence in revealing their real opinions and feelings to strangers who happen to visit them in order to extract information from them, to exchange ideas and discuss their problems.

Genuine communication with the rural disprivileged is not easy. The process of making constructive contacts requires careful preparation and gradual adaptation to the peasants' slow, rural rhythm, to their different concepts of life, work, action and time. It therefore is necessary that the field-workers (interviewers, etc.) give the poor the feeling that they are really interested in them and on their side; they have to use all their imagination to understand the conditions and problems of the rural weak. It is, furthermore, essential to make it clear to the poor that the information provided by them will be used to improve — together with the interviewees — their plight.

Interviewing the poor is thus to be conceived as the opening of a long interaction and cooperation process, as a starting phase in which information is mutually exchanged between the poor and change agents in order to plan together efficient action. This action should thereafter be carried out by both, the poor and the change agents, as much as possible on an equal basis; the only real difference should be that the latter will operate more or less temporarily and the poor will become, it is hoped as soon as possible, self-developers.

18.1.2 From the foregoing basic considerations it follows that considerable attention is to be paid to the following:

- a) the preparation of the questionnaire schedules. As indicated below, this should be organized as a group work with the participation of all involved in the research and action, not in the least the poor themselves (participatory research, see Section 2.2).
- b) the recruitment, training and supervision of the interviewers, as explained below.
- c) informing systematically the local people on the research and action.

In order to create a favorable climate for the research and later for the action, the confidence, motivation and cooperation of all locals to be involved has to be gained. Thus it is necessary to inform all relevant leaders, officials and change agents living in the project area. This could be done during the exploratory interviews (see the previous section) and also by organizing ad hoc meetings with these leaders. Thereafter all other locals, particularly those living in the villages selected for interviewing, have to be informed by village meetings, use of mass media, etc. Finally, a brief plausible and acceptable introduction on the scopes and procedure of the research and action is, of course, to be given before each interview.

## 18.2 Interview-schedules

These should be as short, clear and simple-worded as possible. They cannot be lengthy because most rural poor are not accustomed to focus their attention for more than 30-45 minutes on a range of widely-varying topics and problems. Moreover, part of the topics to be brought up may be rather unfamiliar to them. The schedules should naturally also be clear and plainly worded, that is to say, the use of sophisticated, complex, unfamiliar and/or ambiguous concepts and formulations which are alien to the peasants' ideas, views and language, or go beyond their life experience, should be avoided.

The schedules should contain a number of open-ended questions in order to give ample opportunity to the interviewees to voice their needs, problems, grievances and aspirations. Such questions provide moreover the necessary rest-intervals and facilitate a two-way communication.

During the interview, and certainly at the end, opportunities are to be given to reverse the inquiring situation by asking the interviewee whether he has some questions. For the various categories of rural poor either separate schedules or specific sets of questions in one general schedule should be prepared. These schedules or sets are to be geared to the particular conditions and problems of the various categories of peasants. All this depends of course upon the presence and sizes of these categories in the villages.

Where possible the schedules could be made suitable, wholly or in part, for data processing by computer. Considerable attention is to be paid to the careful translation of the schedules into one or more local vernaculars. Last but not least, no efforts are to be spared to formulate the questionnaires as far as possible with the participation of the target population. As soon as the first draft is prepared it should be discussed with a number of representative peasants and also with suitable local leaders in various villages. In this way they could not only suggest useful additional items and/or modifications of the questions proposed, but also help to test the schedule on clarity and relevance of its contents.

In other words, it could thus be verified whether the schedule fits sufficiently into the peasants' local realities.

It is, of course, necessary to avoid these discussions and testing of the schedules in villages where the interviewing will take place later on. (See further Part III in which prototype field instruments are presented.)

## 18.3 Notes on the selection and training of interviewers

It is recommended to recruit a not too large number of interviewers in order to ensure their thorough training and supervision. Some requirements for their recruitment are the following:

- a) they should be dedicated and capable, care for poor people, and prepared to cooperate closely with other team members.

- b) it is preferable that they belong to the same ethnic group and/or region as the target population as this would facilitate their understanding of the local language, culture and living conditions.
- c) it is very desirable that the interviewers are also involved in the processing of the data collected and above all in the follow-up action programmes. This would motivate them to a greater extent as the interviewing could thus be regarded as an excellent opportunity to familiarize themselves systematically with the locals and their problems. The interviewing would in fact become a unique preparation for their future tasks.

Although it is supposedly well-known to the local researcher, how and on what to instruct the enumerators, some essential points in this respect follow below;

- a) The interviewers are to be briefed thoroughly on the objectives, issues, set-up, etc. of the research and action project. This serves to enable them to explain the survey and action fully and clearly to the interviewees and other locals in order to create a favourable interview climate. In this introductory explanation to the interviewees it should be stressed that the latter are actually the most important participants in the research and later it is hoped also in the follow-up action. They should benefit first and foremost from the information to be provided by them.
- b) The interviewers need further to be briefed as extensively as possible on the local culture, history and living conditions of the study area. Special attention should be paid to the "culture of poverty"\* This topic includes the prevalent mental structure, values, attitudes, outlooks, ways of communication, etc., of peasants in general, and, as far as known, of the local and rural poor in particular.

All this will help those responsible for the research as well as the interviewers to identify themselves with the poor to the largest possible extent.

- c) Some guidelines could also be given *as* how to behave best during the field inquiries in order to avoid arousing adverse feelings in the respondents. For example, the enumerators will be able to communicate better with the locals when they avoid dressing and speaking like urban, white collar officials.
- d) The interviewers should of course avoid by all means influencing and thus distorting the answers of their respondents by "suggesting" openly or covertly their own opinions or by showing their (dis)agreement with certain answers.
- e) The questions also are to be asked in the same sequence and wording as indicated in the questionnaire. Furthermore, answers are to be obtained to all applicable questions and they should be recorded as completely as possible. Otherwise the processing and comparison of the responses will be hampered, and the research findings less useful. Practice teaches also that the answers obtained should be written out fully, as well as checked as soon as possible after each interview.

18.4 Some further points for organizing the interviewing:

- a) As the quality of the interviews will be more important than their quantity, sufficient time has to be planned for each interview: four per day would be an adequate average. As is known, to contact and converse fruitfully with rural people requires ample time in order to create the necessary relaxing climate of confidence and easiness. (See also point 3 below).  
This point has a bearing on the determination of the compensation for the interviewing: in general, payment per day is preferable to remuneration per interview.
- b) It is also quite important to select a suitable site for the interviewing: this means a quiet spot, and as far as possible in rural environments, a place without the presence of and/or interference of family members and/or other locals. Hence the importance of appropriate interviewers, e.g. women for women.
- c) The interviewing should preferably take place in periods, days, and hours, in which the locals have less or no work, duties and/or social commitments.  
Thus agricultural or fishery peak seasons, election periods, celebration days, etc., are to be avoided.
- d) In most cases it is advisable that the interviewers do not stay for too long a time in one village. Otherwise, the interviewees already contacted could influence negatively those still to be visited. This could result in distorted responses  
It is thus advisable to have enough staff of interviewers and to spend enough time a day to finish each village quickly.
- e) Finally, close staff supervision during the interviewing will of course be necessary in order to assist the enumerators in solving certain problems coming up in the field and in seeing to it that reliable field information is obtained.

### PART III - PROTOTYPE FIELD INSTRUMENTS

#### 19. Introduction

The prototype schedules presented below are meant as illustrative, indicative and generalized schemes and certainly not as fully elaborated and finalized questionnaires\*

They contain, however, a number of essential elements - items and questions to be incorporated, where possible, opportune and applicable, into the questionnaires to be prepared for interviewing the rural poor and other informants. This incorporation is necessary because: (1) in view of the ROAP objectives, these essential elements refer to the necessary data to be collected; (2) only when these core items are included in the field instruments will the subsequent comparisons of the studies in various areas and countries be possible.

The final formulation of the questionnaires is to be prepared not only according to the various research designs, but also according to all the relevant background information on the study area gathered in the preparatory phase. The questionnaires should naturally be geared to the greatest possible extent to the various local conditions. According to this basic requirement it should also be decided whether to use one schedule with alternative questions for certain types of people, organizations and situations or various schedules. In areas with widely differing economic and social conditions, rural organizations and/or categories of rural poor, the use of different schedules might be necessary. However, in either case the ground patterns and core elements of the schedules should be the same as presented below.

As indicated in Section 5.2 of the Framework, the starting points for the preparation of the prototype questionnaire below are the basic needs, problems and aspiration of the poor, as well as their views on existing rural organizations and why most of them are not members.

Part of the questions to be put should regard not only certain individual or family needs, problems and desires of the interviewee, but also, as far as possible, those of his/her category (tenants, sharecroppers, etc.) in general, of his/her rural organization and/or of his/her community. This is necessary in view of the probably rather limited number of interviews which can be carried out in the villages. The questionnaire below refers to cultivators and in part to fishermen but, where needed, it can easily be adopted to suit also other categories of rural workers.

Some inevitably general terms like rural organization used below could be replaced where opportune, by specific ones referring to the organizations existing in the study area like cooperatives, trade unions, etc. Furthermore, part of the prestructured answers given below could possibly better be put as questions in certain areas or for certain categories of rural poor. As indicated in elements for a questionnaire, some types of information can best be secured by *further* probing after a spontaneous answer on the main question has been obtained.

Finally, some items or questions under certain topics are also found repeated elsewhere, but in different wording for reasons of clarity and/or completeness. The local researchers who will formulate the final versions of one or more *questionnaires based on* the prototype will however, find no difficulty in avoiding unnecessary repetitions.

20. Essential elements for questionnaires to interview the rural poor

*Such enquiries often have to be subdivided both as to methods used to secure the information and as to source and nature of the state of the information. Thus, there may be a certain amount of information already available for the area reading population and its social and economic characteristics. This may be located in the records of agencies of local and central government, in the records of existing organizations, etc. Often it is not broken down for the categories of persons or families required by studies of the rural poor as hereunder proposed. But, nevertheless, can be used for comparison with the outcome of such surveys.*

It is proposed to divide the essential elements of surveys of the rural poor into (A) Background social and economic factors usually required for such surveys; (B) social characteristics of the poor with respect to their income-earning and organizational affiliations, (C) special questions for those who are members of organizations, and (D) special questions for those who are non-members of organizations, Details are contained in the following outline.

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OUTLINE OF ESSENTIAL ELEMENTS FOR QUESTIONNAIRES TO INTERVIEW THE RURAL POOR

A. Background topics

The background topics, 30.1 to 30.4 hereunder, are usually included in economic and social surveys and need thus hardly to be elaborated here. Therefore, mostly items, rather than questions on these topics, are listed below. Depending upon the amount of information available, questions on these topics should be limited in order to save space for the more central issues of the research.

1. The household

- 1.1 Structure (nuclear, extended family, etc.) and composition of the household.
- 1.2 Age, sex, marital status, caste/clan/class, primary and secondary occupations (on and off farming, fishing, etc.) of the household members.
- 1.3 Degrees of employment: Full, under and unemployment, causes, frequency, attempts made to find work etc.
- 1.4 Migration of members, if any: of whom, to where (other rural or urban areas), permanent or seasonal, frequency, for what reasons (work, study, lure of urban centres, etc.).

1.5 The family house:

- owned, rented, etc,
- general aspects: to what extent traditional or modern; mud hut; one, two floors; number of rooms, kitchen, etc.
- building materials used: e.g., bricks, stones, mud, palm leaves, cement, metal roofs, etc.
- facilities and items available in the house: piped water, electric power, gas; Tv, radio, tape recorder, fridge, gas stove, sewing machine, types of storage containers, furnishings.
- size of compound/dwelling plot, etc.

This information on the house, to be obtained by observations and questioning, serves mainly to prepare a locally applicable classification of dwellings which could help to identify and classify the poor and non-poor locals. (See also Section 5.2



2. Farming

- 2.1 Size of farm, land parcelation.
- 2.2 Tenure status: amount of land owned, rented, leased out.
- 2.3 Crops: types; annual, double, triple, perennial; acreage per crop, etc.
- 2.4 Animals: types, numbers, for what purpose (draft and/or meat production, etc.)
- 2.5 Farming methods and practices: traditional, modernized, etc.; significant innovations adopted.
- 2.6 Yields: by crop and list, proportions for home consumption and for marketing, etc.
- 2.7 Income: natural, cash, from non-farming sources, etc.; how spent usually; degree of insufficiency, etc.

3. Fishing (where applicable)

- 3.1 Types and ownership or not of fishing boats and/or gear.
- 3.2 Fishing bases and facilities, also for processing and marketing.
- 3.3 Methods: traditional, modernized, etc.
- 3.4 Fishing groups: of boat owners, assistants, labourers, etc.
- 3.5 Fish catch, production; incomes.
- 3.6 Fish culture: types of ponds, of fish produced, etc.
- 3.7 Whether and how fishing is combined with farming (for peasant-fishermen)

4. Agricultural, forestry and fishery labourers (where applicable)

For each employed family member:

- 4.1 What does he/she do?
- 4.2 Permanent, temporary or occasional employment; in which seasons, months usually; average duration of employment.
- 4.3 Where employed: in the village or area of residence and/or elsewhere?
- 4.4 By whom, by what type of entrepreneur and/or enterprise employed (plantation, large farm, fishing company, etc.)?
- 4.5 The main conditions of employment; type of contract, wages; working conditions in the enterprise.
- 4.6 Whether labourers farm and/or fish also on their own account (e.g., on their homestead). If yes, inquire on the relevant items listed above under family and/or fishing.

B. Selected social characteristics

1. Felt needs and problems of the poor regarding their farming and/or fishing

This essential part of the questionnaire should deal with the felt individual, family and also village needs and problems of the interviewees. This issue is important because any action to improve the plight of the poor has to start from their felt needs and problems and not only, as usually occurs, from what planners and change agencies/agents "from above" think are their necessities. Only in this way can it be determined, either and what type of new, alternative or organizations are required for this broad scope.

A suggested list of topics and items, which could be relevant, follows hereunder:

1.1 Labour;

- excess, shortage of family and/or rented labour;
- the reasons for this, etc.

1.2 inputs:

- which are needed
- to what extent, by whom and how obtained (through Government and/or other input-catering institutions, middle-men, merchants, etc.)
- on what conditions.

1.3 marketing:

- which produce is or needs to be marketed
- how, where, by whom or by what organization is the produce marketed
- fluctuation of prices, etc.

1.4 credit:

- for what purposes needed
- what types of credit are needed (short, medium, long term)
- how obtained: from banks, cooperatives, money lenders, middle-men, friends, relatives, etc.
- usual conditions to obtain credit (collaterels, rates of interest, etc.)
- modes and problems of repayment; if not paid, what are effects of non-payment (loss of crops, of land owned, etc.)

1.5 extension (information and know-how)

- practical know-how needed: for what crops, fishing methods, etc.
- presence in the area or village of extension units and workers;
- frequency of contact with extension workers; types of problems discussed with the latter, etc.

1.6 other needs and problems

As found in the background information, during the exploratory interviews with leaders etc. Where relevant, a number of questions could be added on the specific needs and problems of:

1.7 tenants: lack of tenure security, exploitative tenancy conditions, etc.

1.8 sharecroppers: unjust sharing bases, etc.

1.9 agricultural, fishery and forestry (wage) labourers: lack of job security, too low wages, inhuman working conditions, etc.

1.10 mixed categories such as smallholder-labourers, peasant/ fishermen, etc.

## 2. The non-poor locals

The main purpose of this issue is to assess the salient characteristics, numbers and/or proportions of the local better-off in contrast to those of the poor.

2.1 What types of families are regarded as non-poor in the village? The families which:

- own more than X ha/acres of arable land (X refers to the assessed zonal or local average) or subsistence requirement
- have a yearly cash income which exceeds Y (fill in the assessed average zonal or local amount required for subsistence, perhaps indicated by a locally applicable poverty line)
- can dispose of sufficient or Z family and/or rented labour (Z to be derived from average local requirements)
- have sufficient food all year round, and also clothing, shelter, etc., and further sufficient means to "buy" basic services such as health and education
- has emigrated working children and/or other relatives who help to maintain the family.

2.2 How many families in the village are considered by the locals as clearly non-poor?

2.3 What types of families are regarded by the locals as really poor? For example:

- those of which the heads are landless agricultural or fishery labourers.
- those which own less than X dry, or Y wet ha/acres of arable land (fill in local averages.
- those of which the yearly cash and other income is lower than Z (fill in local average amount of cash and other income needed for subsistence).

## 3 Local leaders

On this complex topic enquiries should only be made where the exploratory interviews did not yield sufficient information. Among the *many* possible questions are the following:

3.1 Which types of locals are considered by the small (poor farmers as the most important (or most powerful, influential) persons of the village? For example and as far as applicable:

- public administrative officers? of which agency or office?
- political leaders? of which party or union?
- religious leaders? of which religious group(s) in particular?
- leaders of cooperatives, farmers' associations, etc.?
- middlemen?
- moneylenders?
- big farmers/or fishermen?
- professionals such as teachers, medical doctors, etc.?
- merchants and traders?

- 3.2 Why do the small (poor) farmers consider these persons as the most important (powerful, influential) in the village?
- 3.3 Who (or: what type of persons) do the small farmers consider as their representatives (or leaders?) Why?
- 3.4 Who (or: what type of persons) helps, promotes or defends the interest of the small farmers (or more specified; of the tenants, sharecroppers etc.)? In what ways? For what reasons?

4 Membership of local organizations

4.1 Are you a member of one or more local organizations?

4.2 If not: why?

4.3 If yes: which one? e.g.,:

- religious organization? since when?
- political party since when?
- club, association, circle, etc.?  
what type: cultural, recreational, etc.? since when?
- rural organization: what type? e.g.:  
cooperative (specify)  
trade union (specify)  
farmers' (or fishermen's) association,  
etc. (specify) since when?

C. Topics for members of a rural organization

1 Process of joining the organization

1.1 How did you become a member of your organization? (describe briefly)

- through the leaders of the organization
- through other members of the organization
- through a recruitment campaign of the organization
- by attending occasionally a meeting of the organization
- by friends, relatives
- other

1.2 Why did you become a member?

- to improve my farming (or fishing)
- to increase my income
- to benefit from the services provided by the organization.  
Describe: which ones in particular? inputs, credit, more know-how, government subsidies, etc.
- to solve certain specific farming (or fishing) problems (describe which ones)
- to obtain a "political" instrument. Why? For what kinds of benefits? To solve what problems?
- to please:
  - the village or clan chief?
  - other local leaders or influentials (where opportune: which? why?)
- relatives, friends and/or neighbors (who are/were members of the organization)

2 Degree of active membership

In order to assess the degree of active membership of the Interviewee (part of) the following questions could be useful.

- 2.1 Do you attend the organization's meetings? Regularly, occasionally or never? when "never" ask: Why?
- 2.2 What are the topics and problems discussed in these meetings which interest you most? Why?
- 2.3 Do you participate in these discussions?  
Regularly, sometimes, never?  
When "never", ask: why?
- 2.4 Do small, poor farmers (or fishermen) participate in the discussions?  
Regularly, occasionally, never?  
When "never" ask: why?
- 2.5 Do you (did you) hold leadership functions and/or perform specific tasks in the organization?  
Which ones? From when to when?  
Have you been re-elected for this function (or task)?
- 2.6 In which activities of the organization do you (or did you) participate actively? How? (Describe briefly) Why?
- 2.7 Do you pay regularly the contribution (fee) to the organization?  
If not: why not?
- 2.8 How many (or: what proportion) of the members do you think regularly pay their fees? If only a few or a minor part of the members, ask: why?
- 2.9 How many/ members (or: what proportion of the members) do you consider active? If applicable: how many of these are female members?
- 2.10 Why are the other members not active? (That is, not participating in meetings, decision making, activities and/or not paying their fees, etc.).

### 3. The leadership of the organization

- 3.1 Are you content with the present leaders of the organization? If yes: why?  
If no: Are you discontent with all the actual leaders or with some of them? (Where opportune, specify) Why?  
As far as opportune, inquire further, after the spontaneous answers given, on the reasons for being content or discontent with some of the following questions.
- 3.2 Were the present leaders elected in a truly democratic way? Or somehow "imposed" by certain local leaders and/or by local or outside powerful groups? (describe briefly).
- 3.3 Do the present leaders have a sufficient number of good ideas?
- 3.4 Do they take initiatives?
- 3.5 Are they strong in taking decisions?
- 3.6 Are they dedicated to their tasks?
- 3.7 Are they capable of organizing well the services and activities needed? If not: why?
- 3.8 Are they sufficiently trained to manage the organization?

- 3.9 Do they sufficiently care for the small, poor members? Or: do they look after the interests of small, poor farmers? If not: why?
- 3.10 Do they have the sympathy of all/most/a few/hardly any members of the organization? Of which type of members? Why? In case the answer is negative inquire further with the following questions;
- because they belong to the local rich or powerholders?
  - because they do not represent the small, poor members?
  - because they do not promote the interests of small, poor members, etc?
- Do they have sufficient support for important issues among the members? Of which type of members? Why?
- 3.12 Do they have sufficient support from local government bodies or authorities? Why? If yes: from which agencies or authorities particularly? Why?
- 3.13 Do they always/sometimes/never cooperate with local government bodies or officials? Why? (describe briefly).

4. The services and activities of the organization

- 4.1 Which activities/services of the organization are/were successful? Why? (describe briefly) Which ones failed? Why? (describe briefly).
- 4.2 In which activities/services are you interested? Why?
- 4.3 Are most/only a few/none of the members of *your* organization interested in these activities? (explain briefly)
- 4.4 Are most/only a few/none of your type (category) of farmers (fishermen) (or: of those who farm [or fish/ in the same conditions as you) interested in these activities/services?  
If yes: why?  
If no: in which activities/services are they interested?  
 Why? (explain briefly).
- 4.5 Which activities/services of the organization do you disapprove? (or do not interest you?) Why? (wait for spontaneous answer, then probe further with some of the following (questions).
- 4.6 Because these activities/services serve only the better-off farmers (or fishermen)? (explain briefly).
- 4.7 Because these activities/services serve only a specific type (category) of cultivators? (e.g., only labourers or only owner-operators). Explain briefly which types and why.
- 4.8 Because these activities/services were not discussed among the members but more or less imposed by;
- the organization's leaders?
  - and/or by outside leaders or influentials? (if opportune: which type of leaders?)
  - and/or by government authorities?
- 4.9 Because these activities/services were set up in the wrong way? Please explain why (because not geared to the specific conditions of the villagers in general and/or of the peasants in particular, etc.)
- 4.10 Do all/most/only a few members disapprove these activities/services? Why?
- 4.11 What benefits or strains have the organization so far brought you? Explain briefly. If necessary probe further, for example, with the following questions.

4.12 Did you obtain through the organization:

- cheaper/quicker/better supply of inputs? Which ones? How?
- of credit? How? For what purposes?
- more and better know-how for your fanning (or fishing)? How? (describe briefly).
- better (more regular, etc.) marketing opportunities? better market prices?
- better opportunities for processing and storage of your produce?
- for tenants; more tenancy security, better conditions?
- for labourers: higher wages? better working conditions? more job security? more regular employment?

4.13 What benefits or gains have the organization so far achieved for the cultivators (rural workers or fishermen) of your type (category)?

4.14 For what serious needs or problems of its members does the organization not provide services or activities? Or: what basic (or serious) necessities of its members does the organization not look after but should do so? Explain: why?

4.15 Ask the same for its (various categories of) "small" or poor members.

4.16 What kind of services or activities should the organization undertake to help solve the problems of:

- a) its members in general? and/or of
- b) its (various types or categories of) "small", poor members?

5 Degree of members' involvement in the organization

5.1 Which type of members are really interested in the organization? Wait for the spontaneous answer, then inquire further:

- the leaders? Why?
- the better-off (or: bigger, richer) farmers (or fishermen)? Why?
- the smallholders? Why?
- the tenants? or sharecroppers? Why?
- the (landless) labourers? Why?

(This list is of course to be made according to the information available on the membership composition.)

5.2 Which type of members are not, or scarcely, interested in the organization? (follow the list of the foregoing question)

5.3 For what reasons?

Wait for the spontaneous answer, then probe further with the following questions.

5.4 Are the objectives of the organization inadequate, outdated or not geared to the needs and desires of these members? Please explain briefly.

5.5 Is the ideology (political, religious, etc, if any) of the organization not acceptable to these members? Why?

- 5.6 Is the membership too mixed? Why? (e.g.: the smallholders and labourers who are members, have diverging, or even opposed interests).
- 5.7 The services provided and/or the activities performed by the organization
- do not meet their (orgent) needs?
  - benefit only a minor part (or only one type) of the members? Explain briefly.
  - are carried out by a minor part of (and/or always the same) members? (explain briefly).
  - were proposed (or imposed) only by the leaders and/or by outside agencies/agents?
  - were insufficiently discussed by the members?
- 5.8 Do you think the organization is functioning (or doing) well, not too well, or badly? Please explain why. And/or; do you think the organization is active, not very active, or inactive? Why?
- 5.9 As far as you know, do all/most/only a few members (and/or of your type of farmers/rural workers) think like you regarding the functioning of the organization? For the same reasons?
- 5.10 Do all/most/only a few members of the organization feel that the organization is their own organization? Which type of members? Explain briefly.
- 5.11 All in all, is the organization worthwhile for you?
- as it is at present?
  - or should it be re-struct\ired or improved?
  - or should it cease to exist?

6 Possible improvements in "the organization

- 6.1 Could the organization be improved to serve its members better? If yes:
- 6.2 How could the organization be improved?  
Wait for spontaneous answer, then probe further, by asking:
- 6.3 by changing its objectives, its statute? How?
- 6.4 by changing its leaders? How?
- 6.5 by improving or extending its present services or activities? Which ones? How? or by starting new ones? Which, for example?
- 6.6 by improving the meetings of the organization? How? By giving more opportunity to all members to discuss matters?  
Or also by promoting a more democratic way of decision-snaking?
- 6.7. by improving or establishing better relationships with higher level units of the same organization and/or with local and other government agencies, etc.? With which oner,?
- If no:
- 6.8 What are the main reasons? Wait for the spontaneous answer, then ask, for example:
- 6.9 Are the leaders of the organization too autocratic, Or; do they depend too much upon (other) local power-holders, who oppose any real change?



- 6.10 The leaders of the organization are too few and/or are repeatedly reelected? Explain briefly why.
- 6.11 Most members no longer trust the leaders, Why?
- 6.12 Most members feel frustrated (or: are disinterested in the organization) and do not believe anymore that a real change in the organization *is* possible, Why?
- 6.13 Is the organization too closely linked;
- to higher level unit leaders of the organization who are too much in command?
  - to local and/or other government authorities which do not permit any real change? Why?
- 6.14 What other type of rural organization would be more suitable for you and other farmers (rural workers or fishermen) like you?  
(other types of) cooperatives, trade unions, small farmers associations? Why?
- 6.15 Do you know examples of such organizations in your area? Please describe briefly.

7

The members or the non-members

- 7.1 Why are many or most small/poor cultivators (and/or labourers, fishermen) in your area not members of your organization?  
Wait for spontaneous answer, then inquire further by asking:
- 7.2 Because they are too small or too poor?  
Or: because they lack sufficient means of production (land, water, labour, capital) and/or influence in local affairs?
- 7.3 Because they are illiterate, "ignorant"? And/or: because they lack sufficient farming (fishing) know-how?
- 7.4 Because they are not sufficiently aware of their conditions?
- 7.5 Because they are too Ignorant concerning rural organizations? Because they are not sufficiently aware of the power of being organized or the strength of numbers?
- 7.6 Because they are too fearful of setbacks, of repressions, of victimization by local powerholders when joining the organization? (This question refers of course to only certain areas or countries.
- 7.7 Because they are in disagreement with the organization? What are their reasons? e.g.:
- the organization does not promote their specific interests?
  - the organization is too big, too formal, too complex, too bureaucratic, too much government-directed?
  - the leaders of the organization are not interested in the small, poor farmers (or: dislike, exploit them)?
- 7.8 Why do most or many of the poor in your area remain unorganized? After the spontaneous answer, probe as much as possible on this key problem.

D. Topics for non-members of rural organizations

1 Opinions and attitudes of non-members regarding existing organizations

- 1.1 Which rural organizations do you know in your area?
- 1.2 Which of these organizations do you not like? (or do not interest you)?
- 1.3 Ask for each of these organizations or for each type of organization (in case there are various organizations of different types operating in the area): Why? Wait for a spontaneous answer, then probe further by asking;
- 1.4 Has the organization an ideology/or philosophy which you dislike? Please explain.
- 1.5 Has the organization objectives which you dislike? Which ones? Please explain.
- 1.6 Is the organization created (or sponsored) by a political party (or other organization/agency) that you dislike?
- 1.7 Do you dislike the organization's leaders? All, or some, of them?  
Why?  
Do they belong to the local elite which exploits the poor, etc.?
- 1.8 Do you dislike most or some of the organization's members?  
Which type of members? Why? E.g.: Are they the bigger, better-off locals?
- 1.9 Is the organization inactive?  
And/or: is the organization not run well or properly? Why?
- 1.10 Does the organization offer services or carry out activities in which you are not interested? (or: which do not meet your needs and desires? Which ones? Please explain.
- 1.11 Does the organization serve mainly, or only, the bigger, better-off farmers (or fishermen)?  
as far as applicable:  
or only the smallholders or only the laborers/wage-earners, etc. Why?
- 1.12 Is the organization disliked among the small, poor farmers (fishermen) in your village? Why?
- 1.13 Is the organization too big, too urban, too complex, too formal and/or too bureaucratic for you? In other words, you would not feel at ease in the organization? Please explain.
- 1.14 Which rural organization in your area do you like? Why?  
Wait for the spontaneous answer, then probe further by asking:
- 1.15 Which services or activities of the organization interest you particularly?  
Why?
- 1.16 Which services or activities of the organization do not interest you? Why?

2      Problems in joining a rural organization

- 2.1      Did you consider joining a rural organization? If yes; Which one?
- 2.2      Why did you not become a member?
- 2.3      Does the organization not suit your needs (in spite of the fact you like it)?  
Why?
- 2.4      Do you feel yourself to be too small a farmer to join this organization? Why?
- 2.5      Do you think you do not own sufficient land to join the organization?
- 2.6      Do you think you lack farming (fishing) know-how to join the organization?
- 2.7      Do you think you are not sufficiently acquainted with (the objectives, leaders, members, services/activities, etc., of) the organization?
- 2.8      Do you think it will be too difficult to pay the organization's entrance and regular fees?
- 2.9      Do you think you lack ability to speak out at meetings of the organization?
- 2.10     Do you think you like the organization, but you dislike most/many/a few of its members? Why?
- 2.11     Do you like the organization's leaders? Why?
- 2.12     Do you think you don't need the organization? Why not?
- 2.13     You like the organization, but not the political party to which the organization is tied?
- 2.14     Do you like the organization's ideology?
- 2.15     Do you fear local powerholders will treat you badly when joining the organization?  
Please explain what could happen to you (possible forms of repression by landlords, patrons, etc., upon which you depend).
- 2.16     Are there other reasons why you did not join the organization?
- 2.17     Why did other farmers (fill in type of rural workers: smallholders, tenants, sharecroppers, labourers, fishermen, etc.) of the same type as you (or: who live and work in the same conditions as you) not join the organization? In other words, what do you think are their objections and/or obstacles in joining the organization? Wait for the spontaneous answer, then probe further with the following questions to be put as far as applicable and/or opportune.
- 2.18     Has the organization an ideology which they dislike? Please explain.
- 2.19     Is the organization tied to a political party (or another supporting or sponsoring institution) which they dislike?
- 2.20     Is the organization in their views too much controlled by local powerholders and/or by government authorities and/or by other outside organizations? Please explain.
- 2.21     Do they dislike the organization's leaders? Why? After the spontaneous answer the following could be asked.

2.22 Do these leaders belong to those who exploit small farmers (fishermen) like you? Please explain.

2.23 Are these leaders:

- too incapable, untrained?
- too weak in running the organization?
- too inactive?
- too authoritarian?
- too much looking after their own interests?

2.24 Do they (the non-joiners) dislike most or some of the organization's members? Why? (e.g. do they belong to the bigger, better-off locals?)

2.25 Is the organization not run well or properly, or too inactive? why?

2.26 Is the organization too indebted? Why?

2.27 Is the organization too big, too formal, too complex, and/or too bureaucratic for them?

2.28 Do they feel that the organization would not be really their own organization? Why? (Because created, run and/or controlled by government, by non-locals or exclusively by the local elite?)

2.29 Do they think that the organization serves mainly or only the bigger farmers (or fishermen)?

2.30 Is the organization not providing the services they really need?

2.31 Which services would they need the most?

2.32 Does the organization provide, in their views, some important services but in the wrong way? Please explain.

2.33 How could these services be better provided?

2.34 Do they feel too small, too weak to join the organization?

2.35 Or too uneducated?

2.36 Do they fear that after joining the organization, they would not be treated well (or properly) by most of its present members? Why? They would be regarded as second-rate member; they would not be allowed to play an active role in discussing and decision-making? etc.

2.37 Do they fear that local powerholders will treat them badly when they join the organization? Please explain what could happen to them.

2.38 Are there any other reasons they do not join the organization?

3

Possible modification of existing organizations to make them attractive to the poor

3.1 What should be changed in the organization so that you and other farmers (fishermen, etc.) like you (that is, living and working in the same conditions as you) would join it?

Wait for the spontaneous answer, probe further with questions based on the available information on the organization and on the relevant answers given so far by the interviewee. Possible (questions could for example be the following:

- 3.2 Should the statute or objectives of the organization be changed? How
- 3.3 Should some of its actual leaders be changed? Please explain..
- 3.4 Should some formal conditions to becoming' a member of the organization be changed? Which ones? (e.g., the entrance and regular fees).
- 3.5 Should the present practical application of these conditions be changed so that also farmers (fishermen) like you (small, poor landless farmers, or labourers, etc.) could join the organization?
- 3.6 Should the present services offered by the organization be improved so that farmers (fishermen) like you could benefit from them? How?
- 3.7 Should the organization offer other services which would (better) meet the needs and desires of farmers (fishermen) like you? Which ones would you need?
- 3.8 Should the organization arrange its meetings in a more democratic way so that also small farmers (fishermen) like you have the opportunity to bring up and discuss important matters and to participate in the decision-making?
- 3.9 Which of the foregoing necessary improvements could in reality be carried out and which not? Why?

#### 4 Alternative types of rural organizations to be created for the poor

Particularly in oases where, in view of the answers already given on the existing organizations, the interviewee appeared on the whole rather or totally negative (or skeptical) in respect to the existing organizations, the following questions should be put. However, it could be useful to put these questions also to each respondent.

- 4.1 How can people like yourself help each other or work together in order to improve farming (or fishing)?
  - a) What (other) type of organization would farmers (fishermen) like you need? Wait for the spontaneous answer, then, when needed, ask:
    - 4.2 Would you like a sort of cooperative? Why? What type of cooperative?
    - 4.3 Would you like a sort of trade union? Why? What type of trade union?
    - 4.4 Would you like an association or group of farmers like you? Why? What type?
    - 4.5 How should this organization (fill in what the interviewee proposed) be organized? Wait for the spontaneous answer, then ask the following:
      - 4.6 Should the organization have many, not too many or only a small number of members? Why? What would be more or less the optimum number?
      - 4.7 Should the members be all farmers (fishermen, etc.) like you or also allow other types of farmers (fishermen, etc.) to join it? Please explain why and which type of farmers, etc.
      - 4.8 Who should start the organization?
        - a) The farmers (fishermen, etc.) themselves? Why?
        - b) Other farmers or local leaders? What type(s)? Why?
        - c) Or the government? Why?
        - d) Or an existing local rural organization? Which one? Why?
        - e) Or another organization? Which one? Why?

In case the response to (a) is negative, ask:

- 4.9 Why should the farmers (fishermen, etc.) like you not start the organization?  
If case a) is positive, ask;
- 4.10 What would be the main problems for farmers (fishermen, etc.) like you to start the organization?  
How could these problems be overcome?
- 4.11 Who (what type of farmers or locals) should lead the organization?  
Why?
- 4.12 What kind of activities should the organization carry out? Why?
- 4.13 What kind of services should the organization offer to its members? Why?
- 4.14 Should the organization remain strictly local and on its own? Why?
- 4.15 Should the organization cooperate with other organizations in the area? With which ones? Why? In what ways?
- 4.16 Would the organization need outside help, support, to carry out its activities? What kinds of help? Who, or what outside organizations could provide these kinds of help?

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