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Community Driven Development and Social Capital: Designing a Baseline Survey in the Philippines

Social Development Department
May 2005



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CDD and Social Capital Impact

Designing a Baseline Survey in the Philippines

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Executive Summary

Given the increasing use of CDD approaches in the Bank’s lending portfolio, it is important to develop insights on the impact of CDD programs, and to identify conditions and techniques that work well in order to improve project performance. The baseline survey of the KALAHI-CIDSS project in the Philippines is an attempt to generate such insights and strengthen learning about CDD programs through rigorous evaluations. This evaluation follows the “good practices” prescribed by experts in that it collects quality baseline data in a representative sample of both intervention groups and matched comparison groups. This baseline survey not only provides valuable information about the KALAHI-CIDSS project, but also offers some guidance on developing technically sound evaluations for CDD programs.

One of the most promising CDD operations in the East Asia region, and in the Bank portfolio, is the KALAHI-CIDSS project in the Philippines, implemented by the Department of Social Welfare and Development (DSWD). In accordance with the imperative to learn what works, the DSWD and the World Bank are committed to a careful impact evaluation of the KALAHI-CIDSS. As the source of ex-ante information for the KALAHI-CIDSS, a quantitative baseline survey was implemented in Phase 3 municipalities in the fall of 2003. It served as the first round of a panel survey that will track 2,400 households and 132 villages before, during, and after project implementation¹. The survey captures information on household and village conditions in intervention and comparison communities. In future rounds, the survey will be complemented by a qualitative component to allow for triangulation of information and a richer and more detailed analysis. This data will primarily provide baseline information for determining the impact of the KALAHI-CIDSS on poverty reduction, social capital, empowerment and governance. In addition, a deeper understanding of the areas in which the KALAHI-CIDSS will operate has great value of its own. Together with lessons learned from project implementation to date, the baseline survey for the KALAHI-CIDSS impact evaluation provides valuable information for project management.

The survey finds that poverty is widespread in KALAHI-CIDSS municipalities. In all dimensions of poverty, means (income/expenditure, quality of labor supply), outcomes (education, health, housing and amenities) and perception (self-rated poverty), the incidence of poverty is estimated to be very high. The baseline survey also gets villagers’ pre-intervention status on access to neighboring villages, local markets, schools, and other public facilities; travel time and transport costs; water and sanitation; health conditions; and education outcomes. In general, access conditions are very limited, indicating the poverty in KALAHI-CIDSS municipalities. Road conditions and access to water are especially poor when compared to other facilities such as education and health. This may explain the large preference of early KALAHI-CIDSS villages to build roads and water systems.

Some of the challenges for the KALAHI-CIDSS include:

- understanding how the project can build on existing social dynamics and practices in the villages to facilitate participation, and
- promoting the emergence of capable leaders, and internalizing transparent communication and management practices. For example, the capability of communities to organize themselves is a key variable relevant to the success of the project.

Community capacity to organize can be measured by social capital conditions, which includes trust, inclusion, groups and networks, collective action, and information and communication. Measuring initial social capital conditions in KALAHI-CIDSS municipalities allows for an assessment of whether

¹ Funding for further data collection has been secured through the Japan Social Development Fund.

communities with more social capital are more effective in having their proposals funded and in implementing their sub-projects. It also provides useful information to project management about existing conditions that facilitate or hinder KALAH-CIDSS implementation.

Social capital and governance indicators vary across the survey municipalities but seem to be stronger in the relatively deprived areas in Mindanao. There is, for example, a remarkably strong tradition of Bayanihan²/collective action in KALAH-CIDSS municipalities in Mindanao. Despite low levels of trust and problems with conflict and violence in all four survey provinces, most respondents perceive their village as relatively peaceful. Interestingly, the two provinces in Mindanao, where peace and order problems are widespread, perceive themselves as most peaceful.

A key finding of the survey is that different regions in the country vary quite substantially both in terms of poverty and in the extent of empowerment and inclusive governance. This suggests that certain areas might require different strategies and focal points than others and underscores the importance of maintaining flexibility and adaptability in KALAH-CIDSS implementation.

As large-scale programs such as the KALAH-CIDSS institutionalize standard practices across a large number of diverse local areas, they can lose one of their main advantages, their demand responsiveness. Balancing scale and flexibility is a challenge to any large CDD program. It is recommended that the DSWD and the Bank continue discussions around whether the project as currently designed, implemented through 16 pre-determined steps, allows for the needed flexibility and adaptability. These discussions should focus on how the project can best tackle and adapt to the diversity of local conditions it will inevitably confront.³

This report on the KALAH-CIDSS baseline survey serves as a resource to several distinct audiences. For those interested in techniques for evaluating CDD, it offers an example of how to develop a technically rigorous evaluation working with operational constraints. For those with an interest in social capital and empowerment, it gives an example of how to approach quantitative measurement of these concepts. Finally, for those with a specific interest in CDD and social capital in the Philippines, the report introduces a data source that could be used effectively for further research and to improve operations. While this report is not a comprehensive analysis of what the data indicates, it is meant to serve as a stepping stone for others to do further research and analysis.

² **Bayanihan** is a Filipino tradition wherein neighbors would help a relocating family by gathering under their house, and carrying it to its new location. More generally, the word bayanihan has come to mean a communal spirit that makes seemingly impossible feats possible through the power of unity and cooperation. In this context, we use bayanihan as a proxy for collective action.

³ In the Kecamatan Development Project (KDP) in Indonesia, for example, they ended up developing a completely different operations manual for one area (Papua) because regular operational procedures did not fit local conditions there. Other areas also made operational adaptations based on local conditions and needs.

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Acronyms and Abbreviations

APPC	Asia-Pacific Policy Center
BA	Barangay (village) Assembly
CARAGA	Cordilla Administrative Region
CDD	Community-driven development
DSWD	Department of Social Welfare and Development
EAP	East Asia and the Pacific
GOP	Government of the Philippines
KALAHI-CIDSS	Kapitbisig Laban sa Kahirapan (Linking Arms against Poverty) -Comprehensive and Integrated Delivery of Social Services
LGU	Local Government Unit
MIAC	Municipal Inter Agency Committee
MIBF	Municipal Inter Barangay Forum
FY	Fiscal Year
TFESSD	Trust Fund for Environmentally and Socially Sustainable Development

Background

Widespread poverty continues to be a challenge in the Philippines. Estimates of national poverty incidence⁴ show that more than one third (34%) of the country's population, or 26.5 million Filipinos, lived below the poverty line in 2000⁵. Poverty is predominantly a rural phenomenon. While it remained unchanged at 15% in urban areas, the proportion of poor in rural areas increased from 39.9% in 1997 to 41.4% in 2000. The geographic variations in poverty are also substantial. In 2002, for example, poverty incidence in the National Capital Region was 5.7% while it was 49.0% in Region V, 37.8 % in Region VI, 38.3% in Region IX and 42.9% in Cordilla Administrative Region (CARAGA).⁶ The Autonomous Republic in Muslim Mindanao (ARMM) has the highest poverty incidence in the country, at 57%.

Government Strategy:

Worsening poverty has had serious consequences for the economic, political and social fabric of the Philippines. There is perceived to be a strong link between high levels of absolute poverty and the persistence of civil unrest and armed conflict in certain parts of the country. Calling for rapid growth and empowerment of the poor, the Philippine Government has declared that success in the fight against poverty is the long-term solution to achieving sustained peace.

The poverty reduction strategy of the Philippine Government has five pillars: (a) asset reform; (b) human development; (c) employment generation and livelihood; (d) social protection; and (e) participation in governance. While the KALAHI-CIDSS contributes to all five pillars of the strategy, it specifically addresses participation in governance. The government has focused on the KALAHI-CIDSS as its flagship poverty reduction project.

Project Description:

Using CDD approaches, the KALAHI-CIDSS seeks the empowerment of local communities through increased participation in local governance and involvement in the design, implementation and management of poverty reduction projects. This objective, which establishes a strong link between improved local governance and poverty reduction, is pursued through three components: (a) provision of community grants; (b) implementation support to strengthen formal and informal local institutions; and (c) monitoring and evaluation.

The KALAHI-CIDSS will be implemented over six years in 4,270 villages and 177 municipalities in the 42 poorest provinces of the Philippines. The provinces are selected based on poverty data from the National Statistics and Coordination Board (NSCB). Using municipal poverty mapping methods developed by the Asia-Pacific Policy Center, the poorest one-fourth of all municipalities within a target province are selected to participate in the KALAHI-CIDSS. All villages within selected municipalities are eligible to participate in the project.

Implementation of the KALAHI-CIDSS is divided into four phases. Phase 1 was launched in January 2003 and covered 201 villages in 11 municipalities of 11 provinces. Phase 2 was launched in July 2003 in 1,302 villages and 56 municipalities of 11 additional provinces. Phase 3 will be launched in 2005⁷ in 700 villages and 28 municipalities in 20 additional provinces and phase 4 will be launched in 2005 to cover

⁴ National Statistical Coordination Board (NSCB) of the Philippines (www.nscb.gov.ph)

⁵ The 2000 national poverty line was Php 11,605 (www.nscb.gov.ph)

⁶ These are the four regions represented in the impact evaluation.

the remaining 53 municipalities. The total project cost of the KALAH-CIDSS is US\$182.4 million – the Bank finances US\$100 million, the national Government finances US\$31.4 million, and villagers and local governments contribute US\$51 million.

The Department of Social Welfare and Development (DSWD) is implementing the KALAH-CIDSS in 16 steps for the villagers to follow (see Annex 1). Through these 16 steps, villagers prioritize their development needs, design activities, seek technical assistance, manage resources, and implement and operate development interventions. This organized experience in collective action – repeated three times in each targeted area – is designed to develop the capacity of poor villagers to help themselves and engage better with local governments and national agencies. As this capacity develops, villagers are also expected to take a more active role in improving the delivery of other pro-poor services and initiate new development activities⁸. More evidence is needed to suggest whether the KALAH-CIDSS enhances not only community welfare, but also communities’ ability to address and solve their own problems.

The World Bank increasingly supports participatory and “bottom-up” approaches to development. This is evidenced by the growing application of Community Driven Development (CDD) approaches, giving the poor and vulnerable greater voice in development decisions and aiming to empower communities while improving services and reducing poverty. The share of Community Driven Development in the Bank’s lending portfolio has increased significantly over the past years. The change is also noteworthy in East Asia⁹. Given the increasing prevalence of CDD, it is important to identify conditions and techniques that work well and provide insights on how to improve project performance. In line with this imperative to learn what works, the DSWD and the World Bank are committed to a careful impact evaluation of the KALAH-CIDSS. The evaluation follows the “good practices” prescribed by experts in that it collects quality baseline data in a representative sample of both intervention groups and matched comparison groups. As the source of ex-ante information for the KALAH-CIDSS, a quantitative baseline survey was implemented in Phase 3 municipalities in the fall of 2003. It served as the first round of a panel survey that will track 2,400 households and 132 villages before, during, and after project implementation. In future rounds, the survey will be complemented by a qualitative component to allow for triangulation of information and a richer and more detailed analysis.

Objectives of Impact Evaluation:

The impact evaluation assesses the impact and performance of the KALAH-CIDSS by examining the extent to which the project’s results concur with its initial objectives. The impact evaluation will inform policy makers and project implementers of the strengths and weaknesses of the innovative strategies of the KALAH-CIDSS. Its specific objectives are to:

1. evaluate the extent to which current and future poverty is reduced in the target municipalities;
2. determine the impact of the KALAH-CIDSS on poverty, social capital, empowerment and governance; and
3. examine the processes by which poverty has been reduced and communities have been empowered.

⁷ Phase 3 implementation was originally scheduled to start in early 2004, but was delayed due to a reenactment of the 2004 National Budget.

⁸ From “Philippines: Kapitbisig Laban sa Kahirapan (KALAH-CIDSS) project” prepared by Bhuvan Bhatangar and Clifford Burkley for the Shanghai Conference on Scaling up Poverty Reduction, 2004.

⁹ Over the past year (FY04), the Bank has consolidated its investment in CDD approaches, with overall Bank lending in support of CDD increasing from \$1.7 billion in FY03 to \$2.1 billion in FY04. US\$ yearly investment in CDD in EAP was \$204 million in FY04 and several CDD projects are expected to go to the board in FY05 (CDD briefing note for Mr. Shengman Zhang, September 2004).

Evaluating CDD: Managing Real World Constraints

A “gold standard”¹⁰ impact evaluation requires substantial resources and evaluation planning concurrent with project design. While it is costly and time consuming to evaluate any program, the CDD approach offers some particular evaluation difficulties¹¹. In the context of the KALAH-CIDSS, an evaluation following all gold standard requirements would have been prohibitively expensive and practically difficult. The challenge thus was one of developing a high quality impact evaluation within the given financial, logistical and CDD-specific constraints. There are three fundamental components of impact evaluation: collection of baseline data, inclusion of comparison groups, and careful efforts to keep findings relevant for operational practitioners. To maintain rigor and relevance, the KALAH-CIDSS impact evaluation needed to be designed based on an in-depth understanding of the CDD intervention and context in which it takes place. The experience from the KALAH-CIDSS evaluation suggests the following for practitioners planning an evaluation of CDD:

Collect baseline data prior to project implementation whenever possible. A careful evaluation requires a well defined and executed baseline survey that gathers information before the project starts. Evaluation design should ideally take place alongside project design and development. However, given logistical and resource constraints, initial thinking about impact evaluation often occurs only after the project has begun. This was largely the case with the KALAH-CIDSS. While this presented a challenge to the quality of the design, the phasing of project implementation allowed for the collection of quality baseline data in 3rd phase municipalities before the project was launched in these municipalities.¹² Several CDD programs follow a phased approach similar to the one in the KALAH-CIDSS. Project implementers who have missed the baseline boat should take advantage of this and recognize the possibility of collecting quality baseline data despite lack of early planning.

As the source of ex-ante information for the KALAH-CIDSS, the baseline survey was implemented in 2,400 households and 132 villages in September and October 2003. Congruent with the project’s objectives, the survey describes household and community conditions in the project areas, particularly characterizing the degree of empowerment, quality of governance and poverty level of intended KALAH-CIDSS beneficiaries. This provides benchmark data by which relative successes (and failures) can be measured later on. Table 1 shows the data collection schedule:

¹⁰ The gold standard impact evaluation is explained in “CDD Impact Assessment Study: Optimizing Evaluation Design Under Constraints”, by Paul Wassenich and Katherine Whiteside, World Bank 2004. Key elements of a gold standard evaluation include understanding of project and context; experimental design; baseline and follow-up surveys to establish panel data; sample covers intervention, comparison and alternative provider areas; comprehensive mixed method approach; long time horizon for sustainability issues; and statistical representation on program or national scale.

¹¹ First, the demand-driven nature of CDD projects typically involves communities organizing themselves to apply for grants to implement various projects. The lack of control of who participates and when complicates both the process of establishing intervention and comparison communities and the fielding of a baseline survey in a sufficient number of communities. Second, giving the decision-making directly to communities means that it is impossible to know beforehand exactly what types of activities will be financed. This complicates the design of baseline survey instruments.

¹² Every time a new KALAH-CIDSS phase is launched, the project starts in new municipalities that have not earlier been involved in any project activities. This gives the opportunity to collect clean baseline data.

Table 1: Data collection for KALAHI-CIDSS impact evaluation

	1	2	3	4	5	6	7	8	9	10	11	12
2003									Quantitative baseline			
2004												
2005				Qualitative baseline								
2006									Quantitative and qualitative mid-term			
2007												
2008									Quantitative and qualitative final			
Cycle 1												
Cycle 2												
Cycle 3												

Get the sampling right: intervention and comparison groups. Careful sampling is crucial for rigorous evaluation. The baseline survey for the KALAHI-CIDSS was the first round of a panel survey that will track households before, during, and after project implementation. It was conducted by the Asia-Pacific Policy Center in four provinces covered by the 3rd phase of KALAHI-CIDSS implementation: Albay in Luzon, Capiz in the Visayas, and Zamboanga del Sur and Agusan del Sur in Mindanao. The respondents were selected using multi-stage stratified random sampling. To measure the KALAHI-CIDSS’s impact effectively, the survey sampled both communities that will participate in the project (the intervention group) and communities that will not participate (the comparison group). Information coming from the comparison group will help estimate counterfactual information, i.e. “What would have happened to the beneficiaries had they not been included in the KALAHI-CIDSS?” Annex 2 presents a detailed description of sampling design and matching of intervention and comparison groups.

Table 2: Survey Municipalities

Province	Intervention municipalities	Comparison municipalities
Albay	Pio Duran Libon	Malinao Polangui
Capiz	Ma-ayon Dumarao	Pontevedra President Roxas
Zamboanga del Sur	Dinas Dumingag*	Tambulig Dimataling
Agusan del Sur	Esperanza San Luis	Bayugan Veruela

* The baseline survey was originally implemented in Dinas and San Pablo. However, when DSWD decided not to include San Pablo in Phase 3, the enumerators went back to the field and collected data in Dumingag, which is a match to the comparison municipality Dimataling.

Use mixed methods. Combining quantitative and qualitative approaches provides a more comprehensive and nuanced understanding of program impacts than either approach can generate alone. The KALAHI-CIDSS baseline survey consists of quantitative data to permit generalizations based on statistical representation, provide evidence for causal relationships, and generate objective indicators. While financial constraints did not allow for qualitative baseline data collection at the same time as the quantitative, the evaluation will use an iterative approach in which the quantitative data from the baseline

survey informs the design of a qualitative component to be implemented in the early stages of Phase 3 implementation.¹³ The qualitative data will allow exploration of concepts that are difficult to quantify, a deeper investigation of specific KALAH-CIDSS processes, and how, if at all, the presence of the KALAH-CIDSS leads to results on the ground.

Tailor data collection to project and context. The baseline survey instrument consists of quantitative household level and village official surveys. The survey instruments were designed in close cooperation with the DSWD to respond to the operational needs of KALAH-CIDSS project management. They were field tested three times before being finalized and translated into the local languages of the survey areas. Reputable research institutions operating in each survey area collected the data. This proved to be an efficient arrangement given the diversity in language, local conditions and political situation in the four survey provinces.

Build close relationships between implementers and focal points. The experience from implementing the baseline survey underscores the value of a close working relationship between project implementers, survey implementers and World Bank focal points. KALAH-CIDSS project management provided useful inputs throughout and offered valuable insights into the interpretation of the data. This was facilitated through regular exchanges between the World Bank, the DSWD and the APPC. Consultations and sharing of lessons from the survey was also shared regularly with the DSWD and World Bank task team colleagues during the KALAH-CIDSS supervision missions.

Household Survey: The household survey is designed to be administered in one hour. Along with identification and demographic information, it collects data about three categories of potential effects:

- Poverty indicators (agricultural assets, housing and amenities, consumption and expenditure, subjective poverty measures);
- Sub-project outputs (access, quality and utilization of infrastructure, particularly that most likely to be affected by KALAH-CIDSS sub-projects, *e.g.*, health, schooling, water and sanitation, roads);
- Social Capital, Empowerment and Governance (voice, participation, inclusion, trust, groups and networks, responsiveness, transparency and information-sharing, accountability).

Village Survey: The village official survey collects complementary information on these three categories as well as additional data on governance.

Utilize existing knowledge to design survey instruments. The survey instruments were designed cooperatively between the Asia-Pacific Policy Center, the World Bank Social Development Department, the World Bank Manila Office, and the DSWD. They drew on lessons from existing questionnaires, including the Annual Poverty Indicator Survey and the Family Income and Expenditure Survey of the Philippines National Statistics Office, the Benchmark survey for the Comprehensive Agrarian Reform Program, the Social Capital Integrated Questionnaire and the Social Capital Assessment Tool of the World Bank, and the Social Weather Station (SWS) Survey on poverty perceptions. Each of the questions from these instruments measure specific indicators that are needed in evaluating the impact of the KALAH-CIDSS. Appropriate modifications were made on all questions, through consultations and field testing.

¹³ The qualitative component is being developed at the time of writing and will be implemented in the spring of 2005 by Empowering Citizen Participation in Governance (ECPG). The terms of reference for the qualitative study is included in Annex 6.

Select local partners/survey implementers with care.¹⁴ The strong capacity of the APPC team that designed the evaluation was crucial to its high quality. It is important to select partners carefully - the quality of the local partners will in the end determine the effectiveness of the overall evaluation. Key tasks the partner should be able to undertake are:

- *Sophisticated sampling design.* This requires that the team is comprised of highly skilled statisticians.
- *Design of survey instruments.* The partner should have experience designing and implementing surveys as well as knowledge of existing instruments that can be utilized.¹⁵
- *Development of field operations manuals.* This manual covers all operations of the survey, including sampling, data collection, and field processing.
- *Recruitment and training of survey enumerators.* APPC recruited reputable research institutions in each of the survey areas to implement the data collection. The enumerators received three days of intensive training, including one day of dry runs on sampling and interviewing. This careful introduction to the survey and how to ask each of the questions were reported as instrumental to their successful field work.
- *Data cleaning and processing.*
- *Advanced data analysis and reporting.*

Box 1: Lessons learned from survey implementation

- Collect baseline data
- Get the sampling right
- Use mixed methods
- Tailor data collection to project and context
- Build close relationships between implementers and focal points
- Utilize existing knowledge to design survey instruments
- Select local partners/survey implementers with care

¹⁴ A full description of the implementation of the KALAH-CIDSS baseline survey, covering pre-survey, survey operations, and data processing, can be found in “Baseline Survey for the Impact Evaluation of the KALAH-CIDSS: Report on the Data Collection and Progress of the Survey”, by the Asia-Pacific Policy Center.

¹⁵ The questionnaires were finalized after several field tests (two different locations for the household questionnaire and more than thirty barangays for the barangay questionnaire). The questionnaires were translated to the local languages used in the survey areas. The translation was finalized after doing back-translation with the help of the survey implementers. The instruments were designed to be completed in approximately one hour to avoid interviewee fatigue.

Data Collected and Summary of Findings¹⁶

The baseline survey captures household data and village conditions. The main purpose of this data is to provide baseline information for determining the impact of the KALAHI-CIDSS on poverty reduction, social capital, empowerment, and governance and for examining the processes by which poverty social capital, empowerment and governance may have changed. However, a deeper understanding of the areas in which the KALAHI-CIDSS will operate has a great value of its own and can help guide the DSWD in project implementation. The different regions in the country vary quite substantially both in terms of poverty and in the extent of empowerment and inclusive governance. This suggests that certain areas might require different strategies and focal points than others. The main findings of the baseline survey, and their implications, are summarized below.

Poverty Indicators

While poverty is multi-dimensional, it is often measured by consumption, expenditure, or daily calorie intake. The primary such “traditional” measure of poverty in the baseline survey is based on household expenditures. Household decisions on consumption govern the allocation of the family budget into food and non-food (medical care, education, housing, etc.). Since production and consumption decisions often are intertwined, especially in rural areas where many families do subsistence farming, the baseline survey collected data on both consumption patterns and production- and marketing practices. Ultimately, this data will allow us to assess the success of the KALAHI-CIDSS in reducing these aspects of poverty. Additionally, it will lay the groundwork for evaluating poverty targeting, or the extent to which resources reach poorer segments of the population. The areas identified as most deprived might also require additional attention during project implementation.

An alternative measure of poverty that is widely used in the Philippines is self-rated poverty, or poverty from the perspective of the poor. This is measured through surveys of households’ own perceptions of whether or not they are poor. It is based on where respondents would place their family on a card marked “not poor”, “on the line” and “poor”. Households are also asked how much money they, or a family their size who sees itself as poor, would need in order not to feel poor anymore. This poverty threshold varies from household to household based on their own perception of their poverty status relative to other households.

¹⁶ This section summarizes the main findings from the baseline survey. A full overview of the findings is given in “KALAHI-CIDSS:KKB Beneficiary Profile at Year 0”, by Rosemarie G. Edillon, Sharon Faye A. Piza, and Abundio Matula, Asia-Pacific Policy Center, 2004.

Box 2: Differences between Intervention and Comparison Groups

In an ideal matching of municipalities (i.e. that which should result from randomization of intervention and comparison areas), we would expect no significant difference between intervention and comparison groups. While the KALAH-CIDSS intervention and comparison municipalities are relatively similar, significant differences do exist. This underscores the difficulty of finding perfectly matched comparison communities.

	Albay		Capiz		Zamboanga Del Sur		Agusan del Sur	
	I	C	I	C	I	C	I	C
Poverty incidence (%)	80.0	76.1	67.8	71.0	89.9	82.2	81.0	74.1
Monthly PCE (Php)	1,004	1,117	1,113	1,187	602	719	860	1,145
Food/total expenditure (%)	65.2	61.1	64.7	64.6	69.9	70.9	68.3	60.1
Self-rated poor (%)	71.8	71.2	55.7	56.8	83.4	86.5	71.6	69.0
Villages w. health center (%)	61.9	66.7	80.0	100.0	58.3	75.0	100.0	100.0
Elementary school enrollment (%)	92.7	88.3	97.7	97.7	86.0	91.8	99.5	92.2
HHs w. direct water supply (%)	37.0	35.2	24.2	22.5	4.8	15.4	8.7	18.0
HHs in organizations (%)	16.4	20.9	16.7	22.8	51.0	43.5	45.0	45.3
Participation in bayanihan (%)	45.3	42.3	39.5	34.8	76.1	43.7	81.9	85.4
HHs perceiving village as generally peaceful	79.5	86.1	81.3	72.6	88.6	93.6	86.0	87.9
Awareness of village assembly (%)	92.2	87.9	74.6	84.6	98.9	96.0	93.9	97.0
Participation in barangay assembly (%)	63.4	47.3	26.1	38.9	94.0	80.1	59.5	73.0
Awareness of financial details of projects (%)	11.8	7.7	9.1	9.6	14.6	14.2	8.0	8.1
Participation in development planning (%)	27.9	21.6	21.1	25.7	37.2	36.1	32.0	29.3
Awareness of BDC (%)	15.7	11.7	2.9	2.4	14.9	18.6	2.9	4.8

Generally, the conditions in the intervention groups are worse than in the comparison groups: with the exception of Capiz, poverty incidence is higher in the treatment groups and per capita expenditure is lower. This shows the effective targeting of KALAH-CIDSS resources to poorer municipalities. Conditions in terms of social capital, empowerment, and governance vary across the sample.

Poverty is widespread in KALAHI-CIDSS municipalities. In all dimensions of poverty, means (income/expenditure, quality of labor supply), outcomes (education, health, housing and amenities) and perception (self-rated poverty); the incidence of poverty is estimated to be very high in the sample communities. Using regional poverty lines from 2000, inflated to 2003 prices using the Consumer Price Index, poverty incidence in the KALAHI-CIDSS municipalities is 80% in Albay, 68% in Capiz, 90% in Zamboanga del Sur, and 81% in Agusan del Sur. This is significantly higher than the national average of 34%. The KALAHI-CIDSS municipalities in the sample, with the exception of Capiz, have higher poverty incidence than the provincial averages, showing effective targeting of KALAHI-CIDSS resources. This is not surprising, given that the KALAHI-CIDSS was explicitly designed to target municipalities with higher poverty incidence. However, it poses some problems for evaluation, because intervention communities are systematically measured as poorer on consumption measures than comparison communities. Because the survey will visit the same households later, it is possible to correct for initial conditions between intervention and comparison communities measured by the baseline. Further, while matched comparison municipalities do not have identical poverty incidence to intervention communities, they are still significantly poorer than the provincial averages.

Table 3: Poverty in KALAHI-CIDSS municipalities

	Albay	Capiz	Zamboanga del Sur	Agusan del Sur
Poverty Incidence ¹⁷ (%)	80.0 (47.8) ¹⁸	67.8 (57.4)	89.9 (43.0)	81.0 (58.0)
Monthly PCE ¹⁹ (Php)	1,004	1,113	602	860
Food/total expenditure (%) ²⁰	65.2	64.7	69.9	68.3
Self-rated poor (%)	71.8	55.7	83.4	71.6

The high poverty incidence in the sample provinces is supported by very low monthly per capita expenditures, ranging from Php 1,113 in the intervention group in Capiz to Php 602 in Zamboanga del Sur. The two provinces in Mindanao have significantly lower per capita expenditures than Albay and Capiz. The high food share to total expenditure further shows the widespread poverty in KALAHI-CIDSS municipalities and the numbers for Zamboanga del Sur and Agusan del Sur again indicate that these two provinces are the most deprived in the sample. They also have very low consumption of income elastic food items, as recorded during the three days of diet recall. In Zamboanga del Sur, for example, more than 90% did not consume any meat products and 87% did not consume any dairy products.

Most respondents are not only deprived by absolute measures, they also see themselves as poor. When asked to rate themselves as poor, non-poor or in between, a majority answered that they were poor. The largest number of self-rated poor is found in Zamboanga Del Sur, the province with the highest poverty incidence in absolute numbers. Only 1.1% and 1.5% of respondents in KALAHI-CIDSS municipalities in Zamboanga del Sur and Agusan del Sur, respectively, see themselves as non-poor.

¹⁷ Poverty incidence = the proportion of the population with per capita incomes below the poverty line. The poverty line used is the official poverty line for 2000, inflated to 2003 prices using the regional CPIs.

¹⁸ The number in parenthesis shows the official 2000 National Statistics Coordination Board poverty incidence of the entire province (www.nscb.gov.ph).

¹⁹ PCE = per capita expenditure. The average monthly PCE for the overall sample of KALAHI-CIDSS municipalities is Php909.

²⁰ Average food share to total expenditure for overall sample of KALAHI-CIDSS municipalities = 66.8%

Sub-project outputs/provision of services: The use of CDD approaches and the adoption of an “open menu” that allows communities to propose almost any type of sub-project can help reduce poverty by efficiently building human and physical assets at the local level. The hypothesis is that the KALAHI-CIDSS will provide services that villagers have often needed for decades, such as access roads, clean drinking water, schools, health facilities, day care centers, and electricity. It is expected that improved access to rural infrastructure such as roads, electrification and communication networks may result in faster diffusion of technology, enhancement of commercial and monetized transactions, increased mobility of rural labor, and improved access to health and education services. Ultimately, this should also result in reduced poverty and improved health and education outcomes.

To assess whether the KALAHI-CIDSS is providing assets and services effectively, the baseline survey was designed to get villagers’ pre-intervention status for access to neighboring villages, local markets, schools, and other public facilities; travel time and transport costs; water and sanitation; health conditions; and education outcomes. This information complements the data on poverty to provide more comprehensive profiles on the KALAHI-CIDSS municipalities.

Road conditions are poor. All the KALAHI-CIDSS municipalities in the sample have relatively poor roads. While Albay has the best road conditions, more than 60 % of villages have roads of dirt or gravel and only 56% of households are accessible by road all year long. In Zamboanga del Sur, one-third of houses are never accessible by road and only 42% of houses are accessible all year round. In Agusan del Sur, almost 20% of respondents have houses that are never accessible by road and only 60% enjoy year-round access. In Capiz, less than 15% have year-round access to their houses by road, 50% have access only at certain times of the year, and 35% of households are inaccessible by road all year long. Because they inhibit communication and access to markets, health and education services, these road conditions indicate the poor conditions in the KALAHI-CIDSS municipalities.

Primary health care facilities are accessible but frequently by-passed. Primary health care facilities are generally accessible and most villages have their own health stations. In Agusan del Sur, all the villages in the sample have their own health stations while this is the case for 80% of villages in KALAHI-CIDSS municipalities in Capiz, 62% in Albay, and 58% in Zamboanga del Sur. The preferred health facilities are within 30 minutes away from the home of 80% of the respondents in Albay and Agusan del Sur and 75% of respondents in Capiz and Zamboanga del Sur.

Despite the easy access to village health centers, they are frequently bypassed and have low utilization rates. This is especially true in Capiz, where of the individuals who sought health care in KALAHI-CIDSS municipalities, only 5 % went to either the health center or the village health station. In Albay, 46% chose the health center or village health station when visiting a health facility. The situation is quite different in the two poorer Mindanao provinces. In Zamboanga del Sur, utilization of public health facilities is quite high. The village health station or health center is the most visited facility, preferred by almost 60% of respondents, while only 12% visited private health care facilities. In Agusan del Sur, about 72% of individuals who sought health care went to the village health station/health center, while about 8% prefer private health care facilities.

Interestingly, in Capiz, of the few that visited health care facilities, almost all of them appear to be satisfied with the services they get: 93% always got the needed services. In Albay, about 40% of those who visited a health facility always got the services they needed, 52% got the services sometimes, and 8% said they never got the needed services. In Mindanao, where the utilization rates are highest, people are less satisfied with the services they get. In Zamboanga del Sur, only about one fourth of those who sought care always got the services they needed, and in Agusan del Sur, about 30% of respondents say they always get the needed services when they visit a health care facility. Higher levels of poverty and limited access to alternative health care providers might explain the continued use of primary health care

providers in Mindanao. Improving primary facilities in these areas could have significant positive effects, especially for the poorest groups.²¹

Elementary schools are accessible and highly utilized. Access to elementary schools is high across the sample municipalities and most villages have their own. While elementary education in the Philippines is provided by both public and private institutions, there is very high utilization of public elementary schools. Elementary school enrollment is almost universal and education levels are generally high. In all the provinces, enrolment rates are high in the elementary level and still reasonably high in the secondary level. Higher learning institutions are, however, less accessible and college level enrolment rates drop significantly.

Access to Level III water service is limited. The Philippine Government provides water through three formal sources. Level I is a point source (no piped distribution), like a spring or protected well, and serves about 15 households within 250 meters. Level II is a piped system with community faucets, serving four to six households within 25 meters. Level III is a full waterworks system with individual house connections. Access to level III water service is limited across the survey provinces, but is especially uncommon in the two Mindanao provinces. Since Level I and II water has to be stored for a longer time, it has larger risk of contamination and requires the consumer to undertake the responsibility of ensuring water quality. Overall, there is a large need for improved water supply in these provinces.

Table 4: Service provision in KALAH-CIDSS municipalities

	Albay	Capiz	Zamboanga del Sur	Agusan del Sur
HHs accessible by road all year (%)	55.9	14.2	42.2	61.0
Villages w. health center (%)	61.9	80.0	58.3	100.0
%Elementary school enrollment	92.7	97.7	86.0	99.5
%HHs with direct water supply (own use)	37.0	24.2	4.8	8.7

Social Capital, Empowerment and Governance

Some of the challenges for the KALAH-CIDSS are to understand how the project can build on existing social dynamics and practices in the villages to facilitate participation, promote the emergence of capable leaders, and internalize transparent communication and management practices. For example, the capability of communities to organize themselves is a key variable relevant to the success of the project.

In addition to harnessing existing community capacity, the KALAH-CIDSS aims to build social capital and empower the poor through innovative strategies such as participatory planning, implementation and management of local development activities. Villagers are provided with structured opportunities to access information, express voice and influence local governance. This may lead to improved self-reliance where they will be better able to devise ways to improve their own welfare. To assess the impact of the KALAH-CIDSS on the objectives of social capital and empowerment and whether there is an emergence and/or enhancement of a culture of participation among the targeted beneficiaries of the KALAH-CIDSS, the baseline study collects pre-project information on items such as groups and

²¹ Further investigation is needed to assess the reasons for bypassing of primary facilities. Possible reasons include low quality of infrastructure, dissatisfaction with personnel, availability and quality of equipment, accessibility, and type of care available.

networks, trust, participation in community development efforts, inclusion in priority setting and decision making, and access to information.

The KALAH-CIDSS also seeks to promote good governance and mobilization of resources to benefit the poor through the introduction of systems and procedures that encourage transparency, people's participation, and accountability. To improve governance, it is necessary to empower communities through mechanisms that increase citizen access to information, enable inclusion and participation, increase accountability of governments to citizens, and invest in local organizational capacity. The baseline survey collected information on the status of consultative and decision-making bodies in communities prior to the project, transparency and accountability mechanisms of local government, corruption, public knowledge and awareness of development activities, and public access to resources and services. This information allows one to assess the extent of participatory village and municipal governance practiced and the development orientation in villages and municipalities prior to project interventions. Villages and municipalities with little tradition of participation in governance may need extra attention during project implementation. Moreover, communities with existing good practices can be identified to serve as examples for good governance.

Low membership rates in community organizations. Groups and networks are important forms of social capital and instrumental in disseminating information, reducing opportunistic behavior, and facilitating collective decision-making. The role of community organizations vary among the sampled areas. In Albay and Capiz, membership rates are low (16%), while the two Mindanao provinces have about 50% of households belonging to an organization. The most common types of organizations are socio-civic and religious organizations in Albay, religious groups and parent-teachers' associations in Capiz, socio-civic and community organizations in Zamboanga del Sur, and religious organizations and cooperatives in Agusan del Sur.

There is a strong tradition of Bayanihan²²/collective action in KALAH-CIDSS municipalities in Mindanao. The capacity for and tradition of collective action varies among the survey provinces. While participation in bayanihan was relatively limited in Albay and Capiz, the respondents in KALAH-CIDSS municipalities in Zamboanga del Sur and Agusan del Sur contribute significantly to bayanihan activities. In Zamboanga del Sur, more than 3 of every 4 families have participated in bayanihan, contributing an average 19.2 hours over the past six months. In Agusan del Sur, 82% participated in some sort of bayanihan activity, and the average time contribution over the past six months was 22 hours. Men contribute significantly more time to bayanihan activities than women.

While the participation rate in bayanihan is almost twice the membership rate in an organization, the two are not independent of each other. Qualifying the participation in bayanihan by the amount of time a household contributed to the activity, those that belong to an organization and those that participate in village development planning are also those that contribute more time to the bayanihan activity.²³ Overall, the municipalities in Zamboanga del Sur and Agusan del Sur seem to have a significantly higher capacity to act collectively and organize their communities.²⁴ As these communities might lack in other resources (financially they are the most deprived), it will be crucial to utilize their well-developed organizational resources in project implementation.

²² **Bayanihan** is a Filipino tradition wherein neighbors would help a relocating family by gathering under their house, and carrying it to its new location. More generally, the word bayanihan has come to mean a communal spirit that makes seemingly impossible feats possible through the power of unity and cooperation. In this context, we use bayanihan as a proxy for collective action.

²³ All measures are aggregated to the level of the household.

²⁴ These findings could also be due to different structures in the local economy and resulting needs for labor exchange, i.e. it could be less need for bayanihan in areas where farming is not the main source of income.

Greater trust in local government officials. In all the provinces residents can generally be described as guarded. In Albay and Capiz, two out of three feel that they should always be alert or someone may take advantage of them. One in three strongly perceives that people in their neighborhood do not trust each other when it comes to money matters. Trust levels are generally higher in Zamboanga del Sur and Agusan del Sur. One in four strongly agrees that most people in their village can be trusted and only 11% of respondents in Zamboanga del Sur and 16% in Agusan del Sur strongly feel that they have to be cautious or someone might take advantage of them.

In all the survey provinces, there is relatively low trust in strangers and people from other ethnic groups. The most trusted groups are teachers, followed by nurses and doctors. Overall, local government officials enjoy more trust than both national government officials and strangers. This shows the importance of local government engagement to increase acceptability of the KALAHICIDSS, encourage participation and expand coverage of impact. Trust in these officials is expected to rise as governance improves throughout the KALAHICIDSS municipalities.

Communities are mostly perceived as peaceful. Despite low levels of trust and problems with conflict and violence in all four survey provinces, most respondents perceive their village as relatively peaceful. Interestingly, the two provinces in Mindanao perceive themselves as most peaceful. In Zamboanga del Sur, which have had several peace and order problems with communist insurgents, Muslim secessionists, and kidnappings, 89% regard their community as very or somewhat peaceful, and no one sees their village as very violent. Also, Agusan Del Sur has had significant insurgency problems. Nevertheless, for 86% of respondents, their community is generally peaceful.

Table 5: Social capital in KALAHICIDSS municipalities

	Albay	Capiz	Zamboanga del Sur	Agusan del Sur
Groups and Networks %HHs in organizations	16.4	16.7	51.0	45.0
Bayanihan % participation	45.3	39.5	76.1	81.9
Time contributed (hours past 6 months)	3.7	4.9	19.2	21.7
Male	2.6	3.2	16.4	16.2
Female	1.1	1.7	2.8	5.5
Trust % HHs trust most people in village/neighborhood ²⁵	63.2	47.8	59.4	47.7
Conflict %HHs perceiving village as generally peaceful ²⁶	79.5	81.3	88.6	86.0

Participation in governance is limited. The Local Government Code of the Philippines prescribes 50% plus one household attendance in village assemblies, through which village residents will be able to articulate their needs, define their development agenda and participate in the allocation of resources towards their priorities. However, village assemblies have seldom been organized and majority attendance has been rare since the Code was passed in 1991. While most respondents in the survey provinces are

²⁵ Shows the percentage of households that answered either “Agree somewhat” or “Agree strongly” to the statement “ Most people who live in this barangay/neighborhood can be trusted”.

²⁶ Shows the percentage of households that answered “Very peaceful” or “Somewhat peaceful” to the question “In your opinion, is this barangay/neighborhood generally peaceful or marked by crime and violence”.

aware that their villages hold assemblies, attendance is limited. The average attendance rate in village assemblies is 60%, but there are substantial provincial variations, ranging from an average of 26% in Capiz to 94% in Zamboanga del Sur. Moreover, while most LGU governments claim that the village assembly is the venue where they share information about village affairs, very few respondents have a more in-depth involvement in the affairs of their community, such as knowledge of the financial details of village projects, involvement in development planning, and awareness of the Barangay Development Council (BDC) and its functions. Many respondents rely on informal sources to get information about what the government is doing, and very few respondents cited village assemblies, government agents or community leaders among their most important sources of information.

Table 6: Participation in governance in KALAHI-CIDSS municipalities

	Albay	Capiz	Zamboanga Del Sur	Agusan del Sur
Awareness of village assembly	92.2	74.6	98.9	93.9
Participation in village assembly	63.4	26.1	94.0	59.5
Awareness of financial details of projects	11.8	9.1	14.6	8.0
Participation in development planning	27.9	21.1	37.2	2.0
Awareness of BDC ²⁷	15.7	2.9	14.9	2.9

Another way to understand participation in villages is to investigate how decisions are made and who participates in the process. Of the four survey provinces, the villages in Zamboanga Del Sur practice the most democratic decision-making, with the majority of decisions being made by the Barangay Council. In the other provinces, the village captain is cited to make most of the decisions in the community. Few respondents say that decisions are brought before the major stakeholders, and it is only in Zamboanga del Sur that a substantial part of the respondents say that decisions are made in a village assembly with a clear majority.

²⁷ This is the percentage that could name at least one member of the BDC.

Table 7: Decision-making process – investment planning²⁸

	Albay	Capiz	Zamboanga	Agusan
Barangay Captain	33.1	57.4	19.1	22.5
Barangay Council	26.8	24.6	37.8	18.5
Municipality or government agency	12.7	1.2	5.2	5.8
Mtg. betw. village leaders and the people	10.5	13.0	7.9	4.7
Representative BA w. clear majority	10.5	2.4	18.6	15.0
BA with less than half the households	1.8	0.3	1.9	1.0
Referendum		1.1		
Agreement betw. Govt. and those affected	-	-	-	0.6
Don't know	4.7	1.2	9.6	3.6

One of the goals of the KALAHI-CIDSS is to institutionalize more democratic decision-making at the local level by introducing new and participatory processes. The key principles of the KALAHI-CIDSS include localized decision-making, where all deliberations and decisions on sub-projects are validated in the village assembly; and transparency, where every aspect of the project is revealed to the community and municipal stakeholders. These processes are new to many people, both community leaders and regular citizens. While one should expect these new processes to be challenged by those adhering to more traditional governance structures, the baseline survey reveals that many communities seem to have strong traditions of collective action and self-organizing. This brings hope for the successful implementation of community-driven development and for achieving empowerment and improved local governance.

²⁸ “When there is a decision to be made in the barangay that affects you, such as deciding between building a new school and a road, how does this usually come about?”

Concluding Remarks: Need for Flexibility in Operations

Together with lessons learned from project implementation to date, the baseline survey for the KALAHI-CIDSS impact evaluation provides valuable information for project management. Challenging circumstances in project areas are expected, but the extent and scope of these challenges will vary from area to area. The widespread absolute poverty in Zamboanga del Sur and Agusan del Sur can hinder involvement in the project because of high costs involved with participation (*i.e.*, the time it takes to get involved could be spent on essential income-generating activities). On the other hand, these areas have significant social capital, especially in terms of collective action and organizational capacity, which should facilitate successful implementation of the project. Albay and Capiz, where poverty is also widespread, have communities with less tradition of acting collectively. While this may present a challenge for project implementation, project management and facilitators have a chance to use the information from the baseline survey to develop strategies for overcoming this gap.

A main finding of the survey is that different regions in the country vary quite substantially both in terms of poverty and in the extent of empowerment and inclusive governance. This suggests that certain areas might require different strategies and focal points than others and underscores the importance of maintaining flexibility and adaptability in KALAHI-CIDSS implementation.

As large-scale programs such as the KALAHI-CIDSS institutionalize standard practices across a large number of diverse local areas, they can lose one of their main advantages: their demand responsiveness. Balancing scale and flexibility is a challenge to any large CDD program. It is recommended that the DSWD and the Bank continue discussions around whether the project as currently designed, implemented through 16 pre-determined steps, allows for such needed flexibility and adaptability and how the project can best tackle and adapt to the diversity of local conditions it will inevitably confront.²⁹

²⁹ In the KDP in Indonesia, for example, they ended up developing a completely different operations manual for one area (Papua) because regular operational procedures did not fit local conditions there. Other areas also made operational adaptations based on local conditions and needs.

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Annex 1: The KALAHI-CIDSS³⁰

The KALAHI-CIDSS, a World Bank-supported community-driven development project, is the flagship poverty alleviation project of the Government of the Philippines (GOP). The objectives of the KALAHI-CIDSS are to strengthen community participation in local governance and develop local capacity to design, implement, and manage development activities. These objectives are pursued through three components: (a) provision of community grants; (b) implementation support to strengthen formal and informal local institutions; and (c) monitoring and evaluation.

The KALAHI-CIDSS will be implemented over six years in 4,270 villages and 177 municipalities in the 42 poorest provinces of the Philippines. The provinces are selected based on poverty data from the National Statistics and Coordination Board (NSCB). Using municipal poverty mapping developed by the Asia-Pacific Policy Center, the poorest one-fourth of all municipalities within a target province are selected to participate in the KALAHI-CIDSS. All villages in a municipality are eligible to participate in the project.

Implementation of the KALAHI-CIDSS is divided into four phases. Phase 1 was launched in January 2003 and covered 201 villages in 11 municipalities of 11 provinces. Phase 2 was launched in July 2003 in 1,302 villages and 56 municipalities of 11 additional provinces. Phase 3 will be launched in 2005³¹ in 700 villages and 28 municipalities in 20 additional provinces and phase 4 will be launched in 2005 to cover the remaining 53 municipalities. The total project cost of the KALAHI-CIDSS is US\$182.4 million – the Bank finances US\$100 million, the national Government finances US\$31.4 million, and villagers and local governments contribute US\$51 million.

The KALAHI-CIDSS is implemented through 16 steps of social preparation and capacity building, project identification, project selection, and project implementation. Each KALAHI-CIDSS village goes through three project cycles, each consisting of six to eight months of social preparation and four to six months of project development, selection, and implementation. The 16 steps are designed to systematically mobilize the capacity of local people to prioritize their development needs, design activities, seek technical assistance, manage resources, and implement and sustain development actions. This organized experience in purposeful collective action—repeated three times in each targeted area—develops the capacity of poor villagers to help themselves and to engage better with local governments and national agencies. As this capacity develops, villagers are also expected to take a more active role in improving the delivery of other pro-poor services.

The 16 Steps of the KALAHI-CIDSS Subproject Cycle

Step 1: Municipal Orientation

The KALAHI-CIDSS is launched in the municipality. A memorandum of understanding (MOU) is signed between the Department of Social Welfare and Development (DSWD) and the municipality. A municipal interagency committee (MIAC) is created, which serves as a mechanism for interdepartmental collaboration. The area coordination team (ACT), which serves as the KALAHI-CIDSS field team in each municipality, is deployed two months prior to the municipal launch.

³⁰ This annex draws heavily on the KALAHI-CIDSS primer produced by the DSWD and the paper “Philippines: KALAHI-CIDSS project” prepared by Bhuvan Bhatnagar and Clifford Burkley for the Shanghai Conference on Scaling up Poverty Reduction, 2004.

³¹ Phase 3 implementation was originally scheduled to start in early 2004, but was delayed due to a reenactment of the 2004 National Budget.

Step 2: Village Orientation

The first village assembly is held in every village within the municipality. Villagers are briefed on the KALAH-CIDSS. Volunteers for conducting a participatory situation analysis (PSA) are selected by their peers.

Step 3: Participatory Situation Analysis

Volunteers discuss development issues affecting the community and prioritize them. The final output is the village action plan, including the top priority problem to be submitted for KALAH-CIDSS funding.

Step 4: Validation of PSA Results

A second village assembly is held. The PSA results are validated by the entire village. The project preparation team (PPT) and village representative team (VRT) are elected from among the villagers.

Step 5: Criteria-Setting for Ranking of Subprojects

VRTs attend a workshop where the rules and subproject ranking criteria for the municipal intervillage forum (MIVF) are decided by them. These include poverty focus, sustainability, and local contributions.

Step 6: Preparation of Subproject Concepts

PPTs, VRTs, MIAC members, municipal technical staff, and local nongovernmental organizations attend a workshop on subproject concept preparation. As a result, the subproject concept forms are prepared for each village through stakeholder consultations. Local resource mobilization strategy is formulated to generate contributions from villagers, local government, and line agencies.

Step 7: Validation of Subproject Concepts

A third village assembly is held. Each PPT publicly presents the subproject concept form for validation by the entire village.

Step 8: Finalization of Subproject Concepts

A workshop for all PPTs is held for refining the subproject concept based on inputs from step 7. Presentation materials to be used in the first MIVF are prepared.

Step 9: Ranking of Subproject Concepts by the Municipal Intervillage Forum

The first MIVF is held. PPTs present the subproject concepts and VRTs rank them. A resolution from the MIVF indicating the ranking as well as indicative funds allocated to prioritized subprojects is signed by all the VRTs. The mayor chairs the MIVF, but does not vote.

Step 10: Feedback on the Results of Municipal Intervillage Forum Ranking

A fourth village assembly is held. The results from the first MIVF are presented to the village. The prioritized villages elect the members of the village subproject management committee.

Step 11: Formulation of Detailed Subproject Proposals

Village teams assisted by the ACT and local government staff prepare the draft detailed subproject proposal, which includes technical specifications and detailed cost estimates. Nonprioritized villages are also encouraged to undertake technical preparation.

Step 12: Validation of Detailed Subproject Proposals

A fifth village assembly is held. The draft detailed subproject proposal is publicly presented to the entire village for validation.

Step 13: Approval of Detailed Subproject Proposals by the Municipal Intervillage Forum

A second MIVF is held. The detailed proposals are presented and assessed by the MIVF. After verification of the required supporting documents, the subprojects are finally approved for funding. Verification requires a commitment letter from the MIAC, signed by the mayor, for supply of software aspects, e.g., staffing.

Step 14: Pre-implementation Workshop

Village teams, which are attached to the village development council, are trained in construction techniques, reporting, procurement, financial management, and operations and maintenance (O&M). Concerned local government staff also receive training.

Step 15: Subproject Implementation

The subproject is implemented by the village volunteer teams. During implementation, a detailed O&M plan is required for the release of the second installment of funds.

Step 16: Subproject Operation and Maintenance

The O&M Plan is implemented by the village. An O&M monitoring team comprising municipal officers and the ACT tracks progress.

Main Design Features

The KALAH-CIDSS has benefited from a dozen years of decentralization in the Philippines and is receiving strong support from the highest levels in Government and from civil society. For many decades in the Philippines, community workers, nongovernmental organizations (NGOs), academics, and government bureaucrats have pioneered and practiced participatory approaches—and the KALAH-CIDSS is building on this local knowledge and experience. The KALAH-CIDSS uses many of the core elements of the Comprehensive and Integrated Delivery of Social Services (CIDSS), a 10-year-old community development program successfully implemented by the Department of Social Welfare and Development (DSWD). A decade of learning-by-doing CDD means that the DSWD, and its staff, are well equipped to be the KALAH-CIDSS's executing agency. Using a series of cross visits and video conferences, project staff also learned valuable lessons from the experience of the Bank-supported Kecamatan Development Program in Indonesia.

The KALAH-CIDSS is using a phased learning-by-doing approach to avoid errors made in fixed long-term planning. The DSWD implements the project in three phases: (a) pilot, (b) demonstration, (c) and scaling up. The pilot, which was deliberately kept small, included only six villages in one municipality. It tested the participatory subproject process and provided vital information to implementers about what worked and what did not. The process was reworked and operation manuals revised. Then the project was expanded to 201 villages in 11 representative municipalities across the country. During the demonstration phase, the DSWD fine-tuned project mechanisms, validated that risks are manageable, and confirmed that the project is likely to have a satisfactory development impact. Sufficient experience was gained to start a nationwide roll-out of the project in 1,304 villages in 56 municipalities.

Using well-defined and transparent poverty criteria, the KALAH-CIDSS systematically targets the poorest municipalities in the poorest provinces. This reduces the risk of political targeting. Because it does not target individual poor households within selected municipalities, the focus of the KALAH-CIDSS's organizing unit is shifted away from individuals to villages and communities. Broad community engagement and collective support is required to influence local governance.

The KALAH-CIDSS disburses community grants against approved plans, rather than actual expenditures, which poor villagers can ill afford upfront. Local people, not project staff or government officials, approve funding proposals, subject to process requirements. The DSWD then directly transfers funds from its special account to the end users, usually about two weeks after receiving approved village proposals. Disbursements are not channeled through intermediary accounts or through local governments where leakages are endemic. The flow of direct funds in the KALAH-CIDSS is much faster than in traditional projects, and is less prone to leakages. Direct funding also builds downward accountability and the confidence and capacity of villagers to handle their own funds. In addition KALAH-CIDSS funding is modular, allowing the project to move around problem villages and municipalities without affecting good performers.

The KALAH-CIDSS does not impose a fixed percentage of local contributions on villagers and local governments. The design assumption is that local contributions will be higher when considered a criterion for subproject selection in the inter-village prioritization process rather than pre-set as minimum or maximum. However, to avoid favoring better off villages, other criteria, such as poverty focus and social acceptability, are also used to prioritize community projects for KALAH-CIDSS funding.

While villagers undeniably have local knowledge, they are not technical experts in hydrology, medical science, or civil engineering. Thus, CDD projects often suffer from poor technical design, inferior construction quality, and inadequate operation and maintenance. To address this in the KALAH-CIDSS, links are established between villagers and technical providers. Local people have easy access to technical assistance from KALAH-CIDSS engineers, local government staff, local universities, and the private sector. They are provided with a technical assistance fund to buy expertise, if required. Villagers receive regular training so they can better understand technical options and make informed choices. The challenges are to strike the appropriate balance between local and technical knowledge, and to ensure that the costs of technical expertise are offset by the gains in terms of quality and sustainability of KALAH-CIDSS infrastructure.

Sustainability is also strengthened by ensuring that KALAH-CIDSS hardware is accompanied by complementary software, e.g., KALAH-CIDSS-funded school buildings have textbooks, blackboards, and teachers; and health centers have medicines, midwives, and doctors. Horizontal integration is assured by an active interdepartmental coordination mechanism, the municipal interagency committee (MIAC), which was tested and refined in the CIDSS. In every KALAH-CIDSS municipality, the MIAC is chaired by the mayor and comprises the heads of all local government departments. Local representatives of national agencies, NGOs, and donor institutions operating in the municipality also participate. The MIAC meets every two weeks to discuss KALAH-CIDSS progress, and to determine and track contributions of each department/agency to KALAH-CIDSS projects, including staff, salaries, and other recurrent costs. This horizontal integration is necessary for community investments requiring interdepartmental coordination. The mayor formalizes the MIAC commitment regarding supply of software aspects through an official letter, before KALAH-CIDSS funding for a community project is approved.

In every municipality, the KALAH-CIDSS will be implemented for three years. At the end of that period, it is hoped that the local government will use “the KALAH-CIDSS way” to make and implement more and more development decisions. To realize this objective, the KALAH-CIDSS uses a more intensive integration approach with the local government at entry, than do traditional CDD projects. The KALAH-CIDSS cycle in each municipality is synchronized, to the extent possible, with the local government planning and budgeting cycle. Thus community plans prepared in the KALAH-CIDSS are better integrated with official village and municipal development plans. This also facilitates deployment of local government development funds for KALAH-CIDSS investments. Each KALAH-CIDSS municipality is also assisted to prepare a two-year plan detailing how it will institutionalize KALAH-

CIDSS processes. A concrete output of the institutionalization plan is the passage of local legislation adopting KALAH-CIDSS processes as a planning and resource allocation tool for the local government. Some municipalities in the demonstration phase have already passed this local legislation.

Early Results

After KALAH-CIDSS implementation began with a focus on only six villages in early 2003, it has now increased to 1,505 and more than 700 villages have received KALAH-CIDSS funding to date. Using a competitive process, villagers select projects from an open menu, and prioritize them for funding. The projects currently being implemented have estimated economic rates of return of 17–53%, very high for social development projects and indicating the responsiveness of the projects. The KALAH-CIDSS is providing services that villagers have often needed for decades: access roads, clean drinking water, schools, health facilities, day-care centers, and electricity.

Local cost sharing in the KALAH-CIDSS appears to be the highest among official development assistance (ODA)-funded projects in the Philippines. The total cost of community projects funded to date is just over US\$8 million. About 40% is contributed by villagers and their local governments, demonstrating the project’s ability to trigger high local resource mobilization.

The community projects appear to save both time and money in providing basic services to the poor. Construction of KALAH-CIDSS infrastructure takes from two to six months. Construction costs are estimated to be 25–30% lower than standard construction costs for the same infrastructure through national government agencies and private contractors. The projects also generate paid employment for the villagers in construction.

The KALAH-CIDSS has trained thousands of villagers in project planning, technical design, financial management, and procurement, building a cadre of future leaders at the local level. Most important, the project is providing villagers with structured opportunities for accessing information, expressing their opinions, and influencing local governance.

Looking Forward

The KALAH-CIDSS is still a young project and early achievements need to be strengthened and sustained over time. This is being done through strict adherence to KALAH-CIDSS rules and ongoing constituency-building efforts. The results will be measured through the impact evaluation.

The early success of the project has been partly due to strict adherence to agreed rules, such as objective poverty targeting, the use of the “common fund” concept, and open competition. These practices reduce the risk of elite capture. For example, all cash contributions to the project are deposited in one bank account managed by the community, and are subject to regular KALAH-CIDSS procedures. This limits the ability of local elites to distort decision making through comparison over resources. More of the same is needed in the future.

KALAH-CIDSS village volunteers and field staff have been key to the success of the project. They have performed their tasks commendably under challenging conditions. And even if local officials do not control KALAH-CIDSS decisions and funds, they play a strong role in project implementation. Therefore, networks among the three major groups of stakeholders—village volunteers, field staff, and local officials—are being established to enhance grassroots support for the project. As a first step, the

DSWD has organized a series of regional workshops, followed by a national workshop, which brought key stakeholders together to share experience and develop mechanisms for future networking. These networks are expected to keep the project going even as the local officials themselves change. The KALAHI-CIDSS management team is also continuing to expand ownership of the project among DSWD staff, as the project is a mainstreamed program, not an adjunct operation. These measures should ensure sustainability of the project within DSWD beyond the current leadership.

The DSWD is committed to a careful evaluation of the KALAHI-CIDSS to determine the impacts of the project on community empowerment, local governance, and poverty reduction. This impact evaluation collects “with-without” data in a representative sample of both intervention groups and matched comparison groups. As a source of ex-ante information for the KALAHI-CIDSS, a quantitative baseline survey was implemented in municipalities in 2003, where the project had not yet started. This served as the first round of a panel survey that will also track 2,400 households in 132 villages during and after project implementation. Over time, the results will confirm whether the KALAHI-CIDSS has lived up to its early promise, or not.

Annex 2: Sampling Design

The baseline survey for the impact evaluation of the KALAH-CIDSS was the first round of a panel survey that will track households before, during, and after project implementation. It was conducted by the Asia-Pacific Policy Center in each of the three geographical areas of the Philippines, covering four provinces included in Phase 3 of KALAH-CIDSS implementation: Albay in Luzon, Capiz in the Visayas, and Zamboanga del Sur and Agusan del Sur in Mindanao. The respondents for the surveys were selected using multi-stage stratified random sampling. To measure the KALAH-CIDSS's impact effectively, the survey sampled both communities that will participate in the project (the intervention group) and communities that will not participate (the comparison group). Information coming from the comparison group will help estimate counterfactual information, i.e., "What would have happened to the beneficiaries had they not been included in the KALAH-CIDSS?"

Sampling of Municipalities

The sampling design for the impact evaluation mirrored the KALAH-CIDSS targeting procedures: with detailed information about the process used to select participant municipalities, the survey could establish representative intervention and comparison groups. Implemented in the 42 poorest provinces in the country, the KALAH-CIDSS covers municipalities belonging to the bottom 25% in each province. The selection is based on a poverty ranking developed by Balisacan et al.³² For the purpose of the baseline survey, intervention municipalities were selected from this bottom quartile. A municipality was excluded from the intervention sample if: 1) it will not participate in Phase 3 of KALAH-CIDSS implementation; 2) it has unique characteristics that would make it impossible to identify appropriately matched comparison communities; or 3) it presents implementation difficulties that would make it particularly dangerous for survey teams to work in the area. Sampling from participating, non-excluded municipalities in each of the country's geographic areas, the following intervention municipalities were identified: Pio Duran and Libon in Albay; Ma-ayon and Dumarao in Capiz; Dinas and San Pablo in Zamboanga del Sur; and Esperanza and San Luis in Agusan del Sur.

Comparison Municipality Selection

Having selected the intervention municipalities, each was matched with a similar municipality that will not participate in the KALAH-CIDSS. To identify these comparison municipalities, a cluster analysis was done of all municipalities per province. A statistical method called cluster analysis was used to cluster municipalities within each province according to their observed characteristics. Many impact evaluations use propensity score matching to identify comparison communities similar to intervention communities. KALAH-CIDSS's targeting procedures made classic propensity score matching techniques impossible. The poverty ranking results from regression analysis that predicts a municipal poverty score based on indicators on human capital, housing and amenities, and accessibility conditions. Only those municipalities in the bottom quartile of the poverty ranking are eligible to participate in the KALAH-CIDSS. This targeting procedure creates a very distinct cut-off for the probability that a municipality will participate in the program. If its poverty indicators lead a municipality to be ranked in the bottom quartile of a province, then the municipality is almost certain to participate. If those indicators

³² A full description of the poverty mapping for the KALAH-CIDSS is described in "Poverty Mapping and Targeting for KALAH-CIDSS-CIDSS" by Arsenio M. Balisacan, Rosemarie G. Edillon, and Geoffrey M. Ducanes and in "Second Poverty Mapping and Targeting Study for Phases III and IV of KALAH-CIDSS-CIDSS" by Arsenio M. Balisacan and Rosemarie G. Edillon.

rank it above the 25 percentile line, it is certain not to participate. This procedure clearly distinguishes participants from non-participants, based on observed indicators. Thus, one cannot match intervention and comparison municipalities based on similarities in the probability that they will participate in the KALAH-CIDSS: when we seek to generate a propensity score based on observed indicators, the targeting algorithm implies that all participating municipalities have propensity scores of 1 and all non-participating municipalities have propensity scores of 0. Hence, in an extreme example of the “common support problem”, there is no way to match municipalities based on the “nearest propensity score neighbor”. Because it is non-parametric, the cluster analysis allows us to identify the econometric model based on differences in the functional form of the poverty ranking versus the clustering. Further, the cluster analysis includes two additional variables (population and land area of the municipality) that allow additional identification from exclusion restrictions. The cluster analysis allows us to group similar communities without using a propensity score. It is then possible to match each sampled municipality that participates in the KALAH-CIDSS with a similar one that does not.

The variables used for the cluster analysis are primarily the same as those used in the municipal mapping and targeting developed by Balisacan, Edillon, and Ducanes:

Table A2.1: Component Variables of Poverty Ranking

	Weight
Proportion of households with electricity	4.41
Proportion of households with water-sealed toilets	2.83
Proportion of households with access to level III water systems	4.56
Proportion of houses with roofs made of strong materials	4.27
Proportion of houses with walls made of strong materials	7.47
Proportion of household members aged 0-6 years old	23.70
Proportion of household members aged 7-14 years	18.05
Proportion of household members aged 15-24 years	5.96
Proportion of household members aged 25 and over	0.08
Educational attainment of all members in the family relative to potential (based on age profile)	8.28
Density of good village roads that are passable all year round	10.00
Distance from municipality center to the “center of trade”	10.00

Two additional variables are included in the cluster analysis: the population and land area of the municipality. These variables are important factors when determining the Internal Revenue Allotment (IRA) of a municipality. The IRA makes up more than 80% of the financial resources available to the local government unit.

An “agglomerative hierarchical procedure” was followed to produce the clusters: it begins with as many clusters as observations. Then, clusters are systematically merged with those closest in Pythagorean distance along the various dimensions specified by relevant indicators. The selected comparison

municipalities are those that belong to the same cluster as their respective intervention municipalities. Where the cluster analysis resulted in more than one option for the comparison municipality, other information such as population, areas and topography was used as a basis for selection. Two interventions and two comparison municipalities were selected per province (see Table A2.2). The results of the cluster analysis are reported in tables A2.3-A2.6 and the outcomes of the analyses are summarized in the dendrograms in figures A2.1-A2.4.

Table A2.2: Survey Municipalities

Province	Intervention municipalities	Comparison municipalities
Albay	Pio Duran Libon	Malinao Polangui
Capiz	Ma-ayon Dumarao	Pontevedra President Roxas
Zamboanga del Sur	Dinas Dumingag*	Tambulig Dimataling
Agusan del Sur	Esperanza San Luis	Bayugan Veruela

* The baseline survey was originally implemented in Dinas and San Pablo. However, when DSWD decided not to include San Pablo in Phase 3, the enumerators went back to the field and collected data in Dumingag, which is a match to the comparison municipality Dimataling.

Sampling of Villages

The survey used two stage stratified probability-proportional-to-size sampling to draw respondent households. First stage units are the *villages*. The villages in each selected municipality were stratified into three groups according to proximity to the población (municipal center). The first 1/3 in the ranking comprise stratum 1 (the villages nearest the población), the next 1/3 stratum 2 and the last 1/3 comprise stratum 3. One quarter of the total number of villages were randomly selected from each stratum using probabilities proportional to size with number of households in the village as measure of size. The población village was excluded from the sample. Between 6 and 12 villages were selected per municipality, adding up to a total of 132 villages in the sample (see full list of the survey areas in tables A2.7-A2.10).

Sampling of Households

In the second stage, households were drawn using systematic sampling. The recommended sample size of 120-150 households per municipality allows for an error of 0.10 away from the mean with 95 percent confidence. The sample size was proportionately allocated to the villages selected in the municipality with 20 percent over-sampling to allow for sample attrition in the follow-up surveys. Sampling of households was done in the field using systematic random sampling with the households numbered according to proximity to the village center.

Table A2.3: Cluster history Albay

NCL	Clusters Joined		FREQ	SPRSQ	RSQ
14	Malilipot	Tiwi	2	0.0001	1.00
13	Bacacay	Malinas	2	0.0001	1.00
12	Guinobatan	Oas	2	0.0001	1.00
11	CL13	Manito	3	0.0002	1.00
10	Jovellar	Pio Duran	2	0.0004	.999
9	CL12	CL14	4	0.0005	.999
8	CL10	Rapu-Rapu	3	0.0013	.997
7	Camalig	Polangui	2	0.0020	.995
6	CL11	CL8	6	0.0051	.990
5	Daraga	Santo Domingo	2	0.0057	.985
4	CL5	CL9	6	0.0273	.957
3	CL7	Libon	3	0.1059	.851
2	CL6	CL4	12	0.1148	.737
1	CL2	CL3	15	0.7367	.000

Figure A2.1 Results of the Cluster Analysis

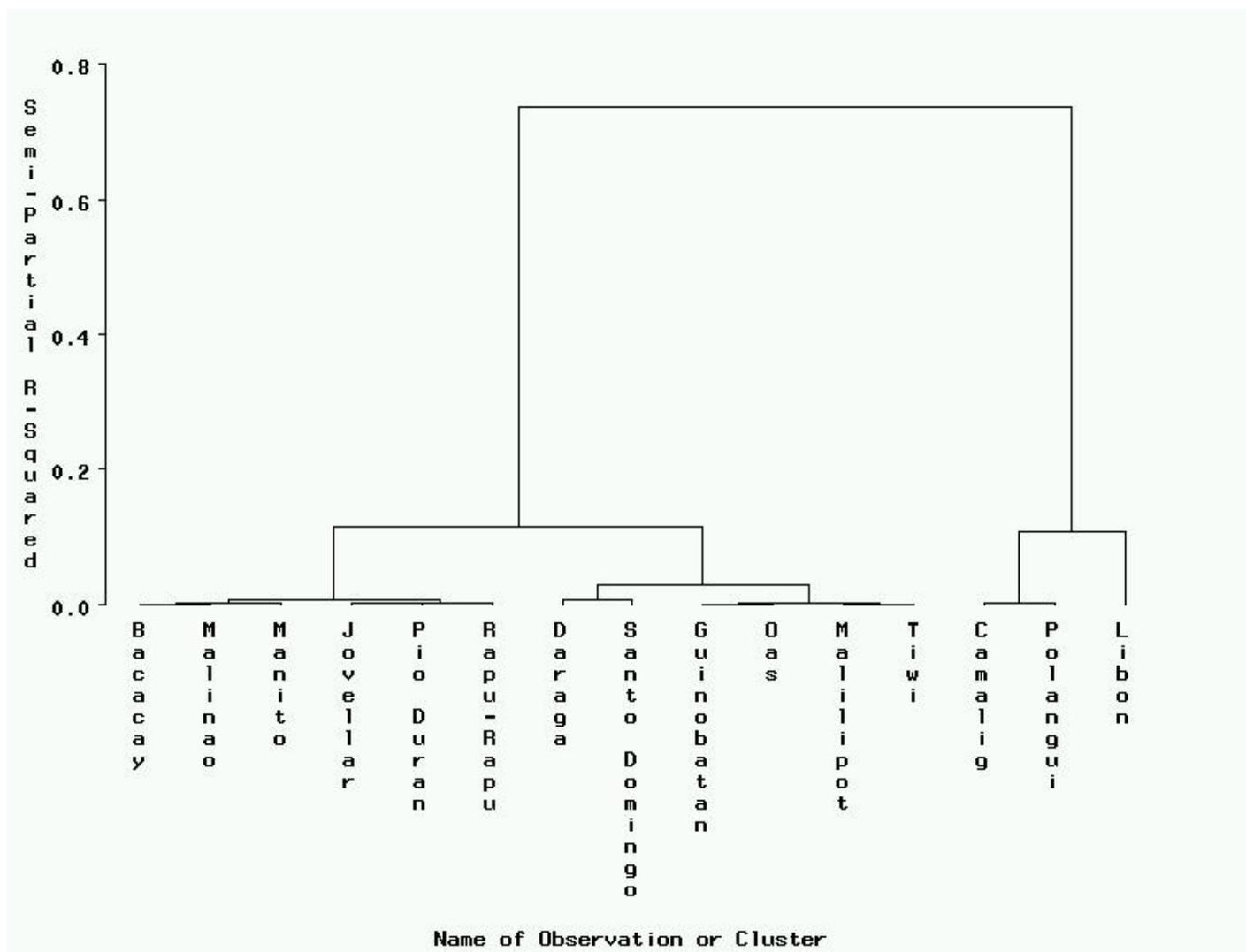


Table A2.4: Cluster history Capiz

NCL	Clusters joined		FREQ	SPRSQ	RSQ
15	Dumalag	Mambusao	2	0.0007	.999
14	Ma-ayon	Pontevedra	2	0.0012	.998
13	Panay	Panitan	2	0.0015	.997
12	Dao	Ivisan	2	0.0016	.995
11	CL15	Pilar	3	0.0028	.992
10	Cuartero	CL13	3	0.0028	.989
9	CL12	President Roxas	3	0.0029	.987
8	CL14	Tapaz	3	0.0032	.983
7	CL10	CL8	6	0.0067	.977
6	CL11	Jamindan	4	0.0080	.969
5	CL9	Dumarao	4	0.0088	.960
4	Sapian	Sigma	2	0.0228	.937
3	CL7	CL6	10	0,0315	.906
2	CL3	CL5	14	0.1962	.709
1	CL2	CL4	16	0.7093	.000

Figure A2.2 Results of the Cluster Analysis

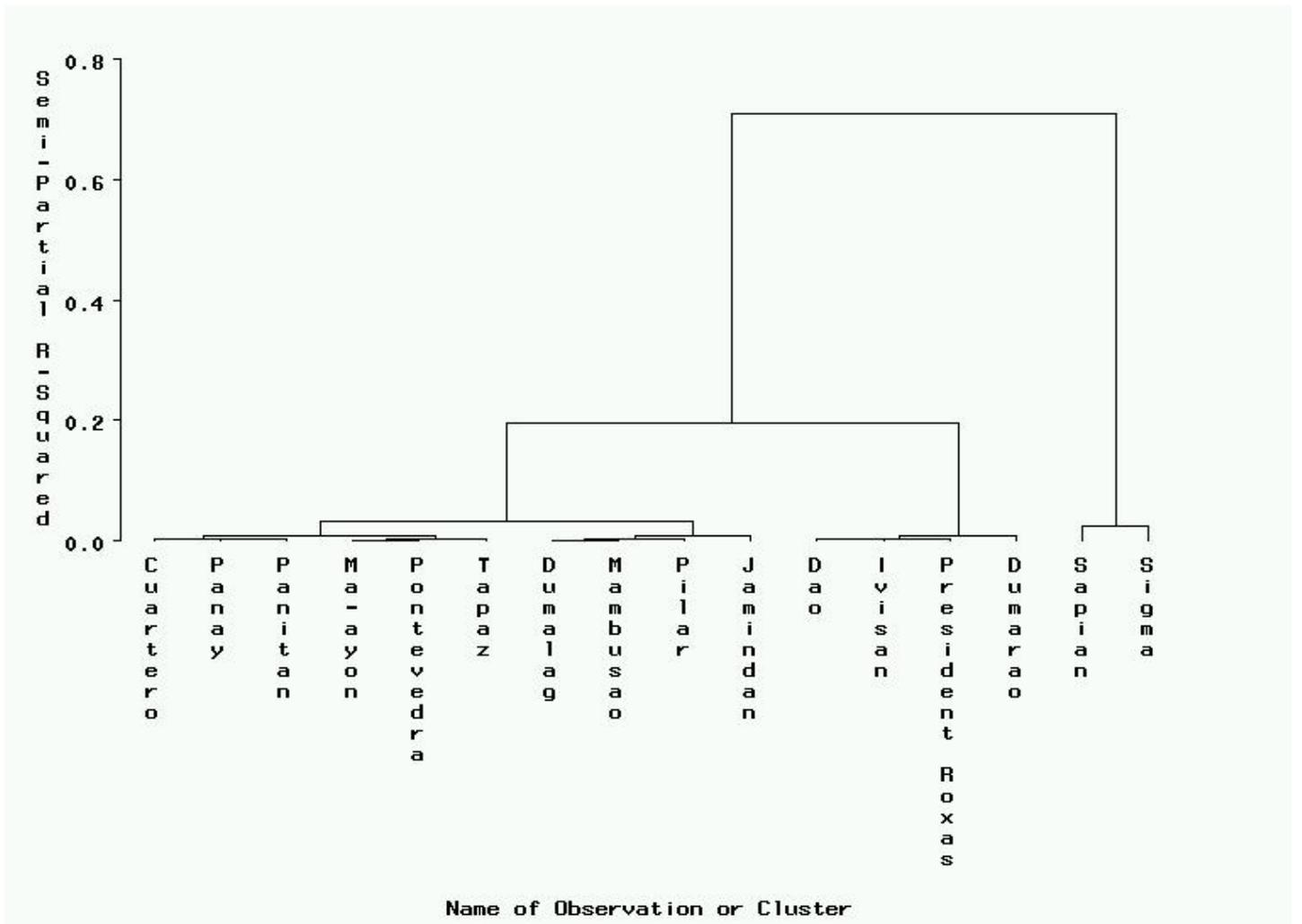


Table A2.5 Cluster History Zamboaga del Sur

NCL	Clusters Joined		FREQ	SPRSQ	RSQ
25	Dimataling	SanPablo	2	0.0000	1.00
24	Pitogo	Tabina	2	0.0000	1.00
23	Labangan	Mahayag	2	0.0000	1.00
22	CL24	Sominot(DonM.Marcos)	3	0.0000	1.00
21	CL22	SanMiguel	4	0.0000	1.00
20	CL25	Kumalarang	3	0.0000	1.00
19	Josefina	RamonMagsaysay	2	0.0000	1.00
18	Aurora	CL23	3	0.0000	1.00
17	CL20	CL21	7	0.0000	1.00
16	Dinas	Tambulig	2	0.0000	1.00
15	CL17	VincenzoA.Sagun	8	0.0000	1.00
14	Guipos	CL19	3	0.0000	1.00
13	Lapuyan	Midsalip	2	0.0000	1.00
12	CL15	CL13	10	0.0001	1.00
11	CL18	CL16	5	0.0001	.999
10	CL12	CL14	13	0.0001	.999
9	Bayog	Molave	2	0.0002	.999
8	CL10	Tigbao	14	0.0002	.999
7	CL11	Dumingag	6	0.0002	.999
6	CL7	CL8	20	0.0004	.998
5	CL6	CL9	22	0.0020	.996
4	Dumalinao	Margosatubig	2	0.0032	.993
3	CL5	Lakewood	23	0.0076	.986
2	CL3	CL4	25	0.0941	.891
1	CL2	Tukuran	26	0.8914	.000

Figure A2.3 Results of the Cluster Analysis

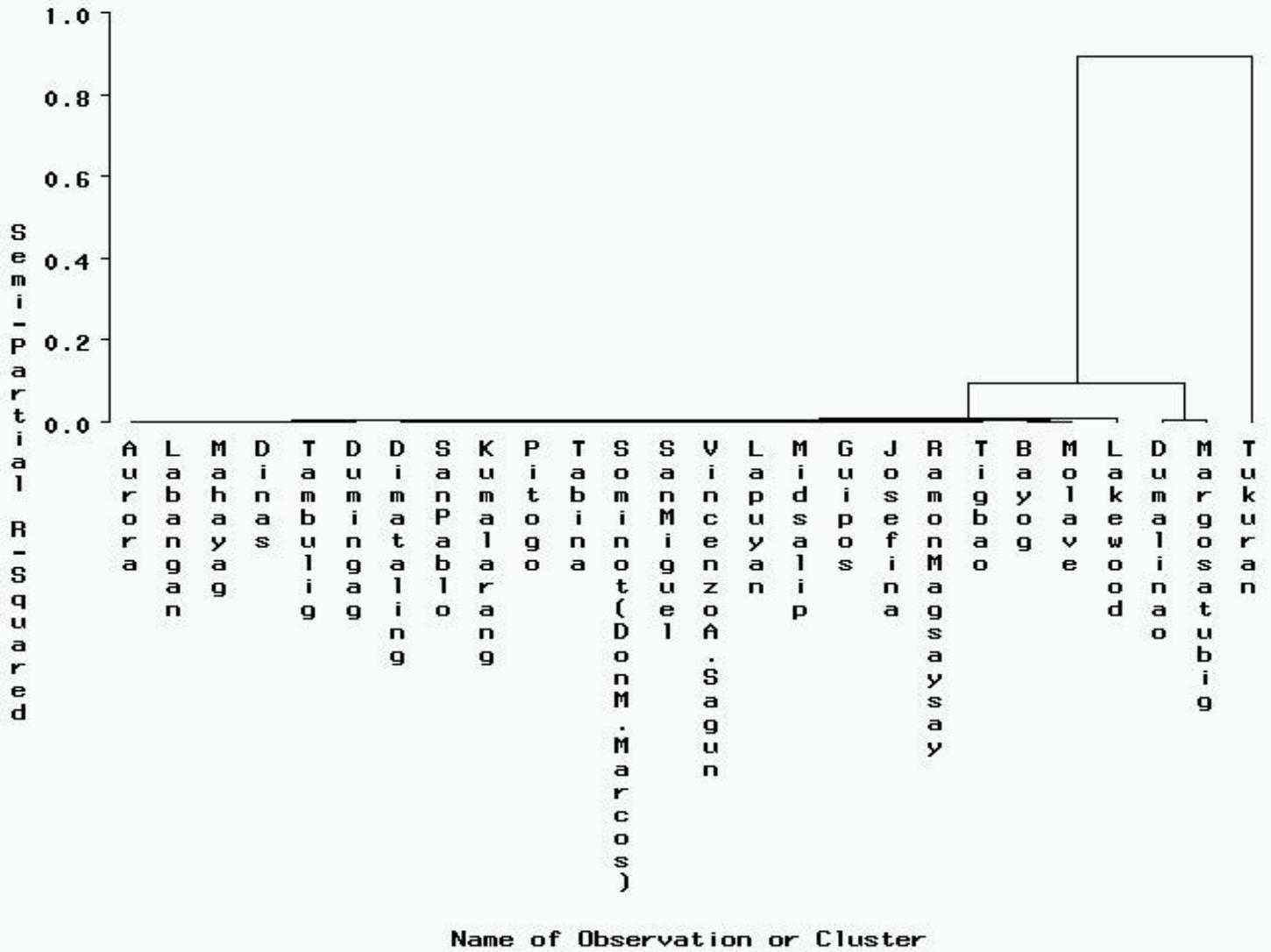


Table A2.6: Cluster history Agusan del Sur

NCL	Clusters Joined		FREQ	SPRSQ	RSQ
13	La Paz	Loreto	2	0.0001	1.00
12	Bunawan	Rosario	2	0.0002	1.00
11	San Luis	Veruela	2	0.0005	.999
10	Esperanza	CL13	3	0.0006	.999
9	CL12	CL11	4	0.0006	.998
8	CL9	Prosperidad	5	0.0009	.997
7	Bayugan	Trento	2	0.0011	.996
6	CL8	CL10	8	0.0029	.993
5	CL7	CL6	10	0.0058	.987
4	Sibagat	Talacogon	2	0.0084	.979
3	San Francisco	CL4	3	0.0302	.949
2	CL3	Sta. Josefa	4	0.2337	.715
1	CL5	CL2	14	0.7150	.000

Figure A2.4 Results of the Cluster Analysis

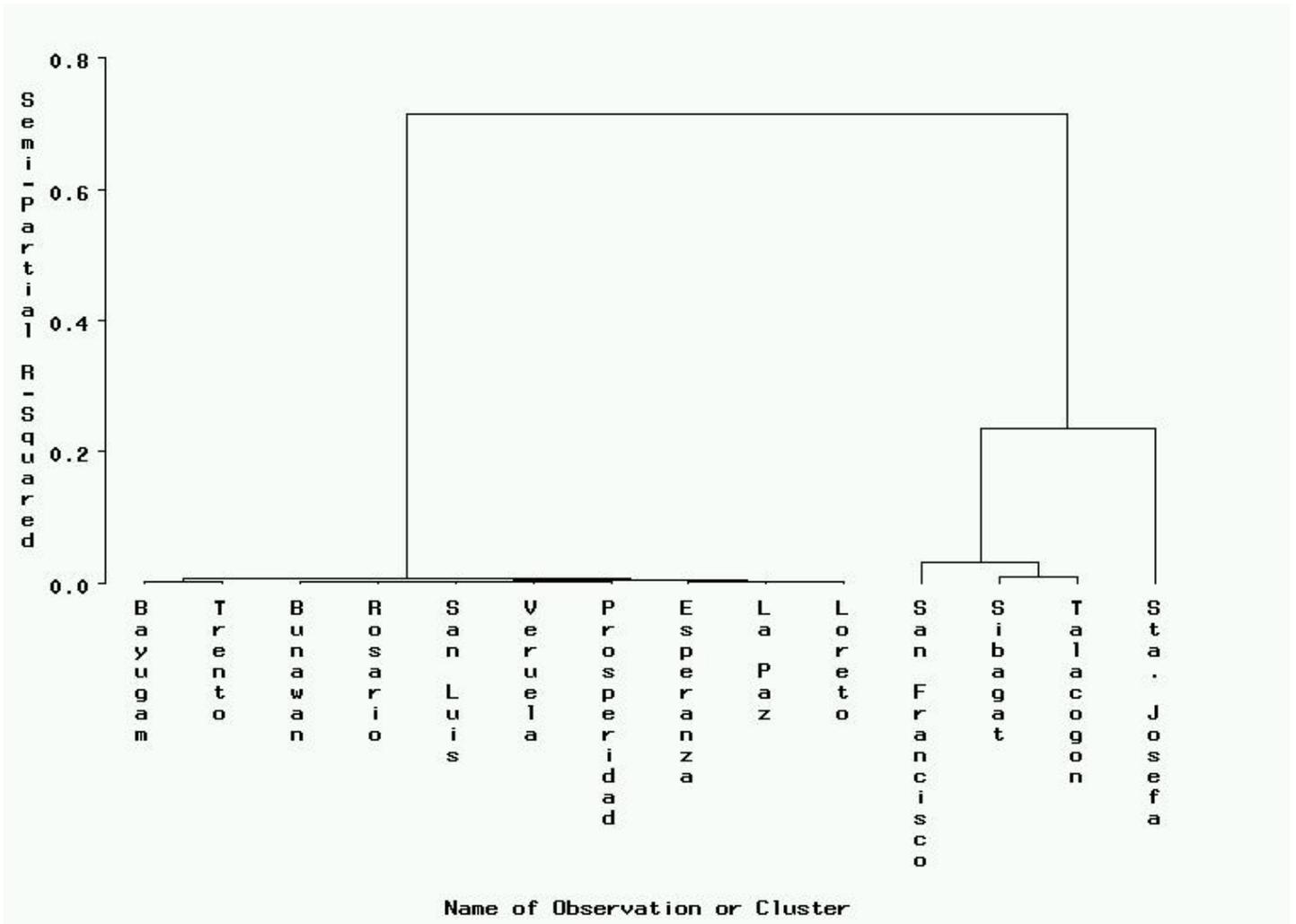


Table A2.7: Albay Survey Areas			
Barangay	Number of households sampled	Barangay	Number of households sampled
Pio Duran		Malinao	
Barangay II (Pob.)	18	Baybay	19
Barangay I (Pob.)	38	Bariw	14
Binodegahan	27	Tuliw	20
Cuyaoyao	16	Libod	11
Flores	11	Tanawan	19
Marigondon	12	Tagoytoy	26
Palapas	12	Malolos	10
Rawis	8	Ogob	17
Tibabo	8	Soa	14
Libon		Polangui	
Zone IV (Pob.)	12	Gabon	27
San Agustin	14	Sugcad	27
Bacolod	8	Mendez	8
Bonbon	22	Balangibang	13
San Vicente	16	Napo	21
Burabod	15	Santa Cruz	5
Buga	21	Maynaga	10
San Jose	17	Magpanambo	11
Malabiga	6	Buyo	7
Caguscos	5	Lourdes	6
San Ramon	5	Anopol	8
Talin-talin	9	Maysua	7

Table A2.8: Capiz Survey Areas

Barangay	Number of households sampled	Barangay	Number of households sampled
Ma-ayon		Pontevedra	
Palaguian	24	Ilaya (Pob.)	20
Cabungahan	29	Sublangon	38
New Guia	24	Linampongan	23
Quevedo	24	Jolongajog	39
Maalan	18	Intungcan	22
Canapian	31	Cabugao	7
Dumarao		President Roxas	
Codingle	16	Aranguel	19
Guinotos	9	Pantalan	20
Ongoli Ilaya	11	Cabugcabug	21
Tinaytayan	16	Ibaca	19
San Juan	11	Culilang	5
Dangula	14	Santo Nino	2
Gibato	26	Vizcaya	28
Astorga	34	Goce	11
Tina	14	Badiangon	25

Table A2.9: Zamboanga Del Sur Survey Areas

Barangay	Number of households sampled	Barangay	Number of households sampled
Dinas		Tambulig	
West Migpulao	18	Balucot	24
Legarda 1	30	Tungawan	32
Sumpotan	28	Balugo	40
Legarda 2	30	San Jose	25
East Migpulao	31	Angeles	17
Beray	13	Maya-Maya	12
Dumingag		Dimataling	
Upper Landing	31	Bacayawan	26
Mahayahay	30	Mahayag	23
Ditulan	26	Sumbato	13
Senote	21	Libertad	31
Tagun	12	Baluno	18
Salvador	30	Binuay	39

Table A2.10: Agusan Del Sur Survey Areas			
Barangay	Number of households sampled	Barangay	Number of households sampled
Esperanza		Bayugan	
Piglawigan	12	Maygatasan	25
Dakutan	23	Santa Irene	17
Remedios	11	Hamogaway	10
Nato	15	Noli	22
Catmonon	11	Tagubay	5
Labao	5	Mabuhay	11
Oro	8	Calaitan	14
Milagros	6	Pinagalaan	8
Aguinaldo	5	Mahayag	4
Guadalupe	26	Getsemane	3
San Toribio	17	Berseba	15
Anolingán	11	Mt. Carmel	17
San Luis		Veruela	
Sta. Ines	24	San Gabriel	20
Muritula	12	La Fortuna	44
Don Alejandro	47	Sinobong	35
Baylo	17	Del Monte	29
Anislágan	32	Sisimon	13
Mahagsay	18	Anitap	9

Annex 3: Household Survey

LCS Form 1
FINAL

LIVING CONDITION SURVEY Interview Schedule for Family

Good (morning, afternoon), I'm _____ and we are conducting a survey on your community. The purpose of this survey is to find out about your living conditions. The accuracy of the results of the whole survey will depend on your sincere and precise answers. Your input would benefit future planning and monitoring of programs. The information you give to us will be kept confidential. You and your household members will not be identified by name or address in any of the reports we plan to write.

Thank you for your participation.

A. IDENTIFICATION & OTHER INFORMATION

FIELD COMPARISON

Name of Interviewer: _____

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	Date	Time Started	Remarks
Visit 1			
Visit 2			
Visit 3			

Survey Phase: 1 Baseline 4 Year 4
 2 Year 2 5 Year 5
 3 Year 3 6 Year 6

IDENTIFICATION	CODES																					
Region: _____	<table border="1" style="border-collapse: collapse; margin: auto;"> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> <tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr> </table>																					
Province: _____																						
Municipality: _____																						
Barangay: _____																						
Name of Household Head: _____																						
Name of Respondent: _____																						
Address: _____																						
	<input type="checkbox"/> <input type="checkbox"/>																					
Type of respondent: 1 Original 2 Replacement																						

<p>Reasons for replacement _____</p> <ol style="list-style-type: none">1 Original respondent migrated2 Original respondent not at home.3 Original respondent not cooperative. <p>Ethno-linguistic Group: _____</p> <p>Religion: _____</p>	<table border="1" data-bbox="1247 516 1433 579"><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>						

C. OUTPUT INDICATORS

1a. Health Status								
F A M I L Y M E M B E R	ALL FAMILY MEMBERS							
	Did get sick during the last six months?	What Type of sickness did _____ have during the last six months? (multiple entries)	Did _____ see any health practitioner during the past six months? A. yes B. no, skip to col. 1b	Which health facility (ies) did _____ visit during the last six months? (multiple entries)	Enter Codes			
	(7)	(8)	(9)	(10)	(7)	(8)	(9)	(10)
01								
02								
03								
04								
05								
06								
07								
08								
09								
10								
11								
12								

Codes for Columns 8 <i>(Type of Sickness)</i>		Codes for Column 10 <i>(Health Facility)</i>	
1 Headache	11 Diuresis	1 Government hospital	
2 Flu/fever	12 Anemia	2 Private hospital	
3 Abdominal pain/ diarrhea	13 Peptic or gastric ulcer	3 Private clinic	
4 Colds/cough	14 Goiter	4 Rural health unit (RHU)	
5 Asthma	15 Hypertension	5 Health center	
6 Ascariasis	16 Heart disease	6 Barangay health station (BHS)	
7 Diabetes	17 Pulmonary TB/ primary complex	7 NGO sponsored medical mission	
8 Gouty arthritis/ rheumatism	18 Epilepsy	8 Gov't. sponsored medical campaign/ mission	
9 Hyper cholesterolemia	19 Cancer	9 Others, specify _____	
10 Skin diseases	20 Others, specify _____		

1b. How do you travel to the health facility?

- 1 By walking
- 2 By bus, car, jeep
- 3 By motorcycle/ tricycle
- 4 By bicycle/pedicab
- 8 Not applicable

1c. How long does it take you to get from your home to the health facility?

- 1 < 15 minutes
- 2 15-30 minutes
- 3 30-60 minutes
- 4 > 1 hour
- 8 Not applicable

1d. Do you get the needed services whenever you visit the health facility?

- 1 Always
- 2 Sometimes
- 3 Never
- 8 Not applicable

2. Schooling Status																	
3 YEARS OLD AND OVER				6-24 YEARS OLD													
F A M I L Y M E M B E R	Check if 3 year old or above	Has _____ ever attended school? 1 Yes 2 No, If age is 6-24, skip to col. 18	What is the highest educational attainment completed by _____?	Is _____ currently attending school? 1 Yes 2 No, skip to col. 18	What grade or year is _____ currently attending?	What type of school is _____ currently attending?	How does _____ travel to school? (If the answer is code "1" go to col. 17)	How long does it take _____ to reach the school?	Why is _____ not attending school?								
	(11)	(11a)	(12)	(13)	(14)	(15)	(16)	(17)	(18)								
(1)	(11)	(11a)	(12)	(13)	(14)	(15)	(16)	(17)	(18)	(11a)	(12)	(13)	(14)	(15)	(16)	(17)	(18)
01																	
02																	
03																	
04																	
05																	
06																	

Enter Code

<p>Codes for Columns 12 and 14 (Grade/Year completed or currently attending)</p> <p>00 No Grade <i>Post Secondary</i> 01 Nursery/ 26 1st Year Kinder/Preparatory 27 2nd Year 28 3rd Years 29 Graduate, specify course</p> <p><i>Elementary</i> 11 Grade I 12 Grade II <i>College</i> 13 Grade III 31 1st year 14 Grade IV 32 2nd year 15 Grade V 33 3rd year 16 Grade VI/VII 34 4th year or higher 35 College Graduate, specify course</p> <p><i>Secondary</i> 21 1st Year <i>Post Grad</i> 22 2nd Year 41 With some units earned 23 3rd Year or enrolled in 24 4th Year/ 42 Graduate, specify HS Graduate Ph.D./Master's 99 Don't know</p>	<p>Codes for Column 15 <i>Type of School</i> 1 Public 2 Private non-sectarian 3 Private sectarian</p> <p>Codes for Column 16 <i>Means of going to school</i> 1 By walking 2 By bus, car, jeep 3 By motorcycle/tricycle 4 By bicycle/pedicab</p> <p>Codes for Column 17 1 <15 mins. 2 16 to 30 mins. 3 31 to 59 mins. 4 >1 hr.</p>	<p>Codes for Column 18 <i>Reason for not attending school</i> 1 Schs. are very far/ no school w/in barangay 2 No regular transport 3 High cost of educ/ parents can't afford exp. 4 illness/disability 5 Housekeeping 6 Employment/ looking for work 7 Lack of personal interest 8 Can't cope w/ school work 9 Finished schooling 10 Others, specify</p>
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3. **Water and Sanitation**

Water

3a. What is the family's main source of water?

- 1 Own use, faucet, community water system
- 2 Own use, tube/ piped well
- 3 Shared, faucet, community water system
- 4 Shared, tube/ piped well
- 5 Dug well
- 6 Spring, river, stream, etc.
- 7 Rain
- 8 Peddler
- 9 Others (specify) _____

3b. Since when? (Specify year)

--	--	--	--

3c. Is there any rain water catchment in the area?
(to be asked if answer in 3a is 7)

- 1 Yes
- 2 No

3d. Under what project was it acquired?

- 1 Barangay project (no outside assistance/ bayanihan)
- 2 Municipality project
- 3 Self help
- 4 KALAHI-CIDSS-CIDSS
- 5 KALAHI-CIDSS
- 6 CIDSS
- 7 Others, specify _____
(including combination of the above)
- 9 Do not know

3e. How far is this from your house? (to be asked if answer 3a is 3-7)

- 1 Within premises
- 2 Outside premises but 250 meters or less
- 3 251 meters or more
- 9 Don't know

3f. Do you consider this water to be safe for drinking?

- 1 Yes ⇒ *proceed to 3h*
- 2 No
- 9 Don't know/not sure

3g. Where do you get your drinking water?

- 1 Within premises
- 2 Outside premises but 250 meters or less
- 3 251 meters or more
- 9 Don't know

3h. Do you experience difficulties in fetching water?

- 1 Yes
- 2 No ⇒ go to question 3j

3i. If yes, what sort of difficulties?

- 1 Distance of facility
- 2 Insufficient water supply
- 3 Combination of 1 and 2
- 4 Others, (specify) _____

Sanitation

3j. What kind of toilet facility does the family use?

- 1 Water sealed
- 2 Closed pit
- 3 Open pit
- 4 Others (pail system, etc.)
- 5 Common or None ⇒ go to question 4a

3k. Since when? (Specify year)

--	--	--	--

3l. Under what project was it acquired?

- 1 Barangay project (no outside assistance/ bayanihan)
- 2 Municipality project
- 3 Self help
- 4 KALAHI-CIDSS-CIDSS
- 5 KALAHI-CIDSS
- 6 CIDSS
- 7 Others, specify _____
(including combination of the above)
- 9 Do not know

4. Roads, communication and access to services

4a. How long does it take you to reach the nearest working post office?

- 1 Less than 15 minutes
- 2 15-30 minutes
- 3 31-60 minutes
- 4 More than one hour
- 9 Do not know

4b. How long does it take you to get to the nearest working telephone?

- 1 Telephone in the house
- 2 Less than 15 minutes
- 3 15-30 minutes
- 4 31-60 minutes
- 5 More than 1 hour
- 9 Do not know

4c. Specify what kind.

- 1 Land line
- 2 Cell phone
- 3 Combination of 1 and 2
- 4 Others, specify _____

4d. Is your house easily accessible by road all year long or only during certain seasons?

- 1 All year long
- 2 Only during certain seasons
- 3 Never easily accessible

4e. How many times have you traveled to the poblacion last month?

--	--

4f. How much is the fare from your house to the poblacion?

--	--	--	--	--	--	--	--

4g. With respect to access to the following, would you say that you are better off now than a year ago?

- 1 Better off
- 2 Worse off
- 3 Same

i. Potable water supply

ii. Electricity

iii. Health care facility

iv. School

v. Place of work

vi. Marketplace

vii. Capital (financing or micro-finance institutions)

viii. Technology pertaining to source of income (modern inputs/ farming practices)

D. POVERTY INDICATORS

3. Economic Characteristics (5 years old and over)

1a. JOB OR BUSINESS FROM JUNE TO AUGUST 2003					
F A M I L Y M E M B E R	Check if 5 years old and Older	Did _____ work at all or had a job or business from June to August? 1 Yes 2 No Skip to Col. 26	What was _____'s primary job or business?	What kind of business/ Industry did _____ engage in?	What was _____'s class as a worker?
			What other job/business did he have? <i>(Please include job/business which last for only a few days, unpaid work on family farm, raising chickens, etc. Gainful occupation)</i>	<i>(Specify, e.g. palay farm, public school, jeepney PUJ, etc.)</i>	
(1)	(19)	(20)	(21)	(22)	(23)
Enter Code					
(20)	(21)	(22)	(23)	(24)	(25)
01			P		
			O		
02			P		
			O		
03			P		
			O		
04			P		
			O		
05			P		
			O		
06			P		
			O		
07			P		
			O		
08			P		
			O		
09			P		
			O		
10			P		
			O		
			O		

Codes for Column 22*Kind of business/industry engaged in*

- 1 Agriculture, Fishing, and Forestry
- 2 Mining and Quarrying
- 3 Manufacturing
- 4 Electricity, Gas and Water
- 5 Construction
- 6 Wholesale and Retail Trade
- 7 Transportation, Storage and Communication
- 8 Financing, Insurance, Real Estate & Business Services
- 9 Community, Social and Personal Services
- 10 Not specified elsewhere

Codes for Column 23*Class of Workers*

- 1 Worked for private household
- 2 Worked for private establishment
- 3 Worked for government/GOCC
- 4 Self-employed w/out any employee
- 5 Employer in own-family operated farm or business
- 6 Worked w/ pay on own family-operated farm or business
- 7 Worked w/out pay in own family-operated farm or business
- 8 Worked for somebody else's farms

Codes for Column 27*Reason for not looking for work*

- 1 Relieve work not available
- 2 Awaiting results of previous job application
- 3 Temporary illness/disability
- 4 Bad Weather
- 5 Waiting for rehire/job recal
- 6 Too young/old, retireed or permanently disabled
- 7 Housekeeping
- 8 Schooling
- 9 Others, specify _____

1a. For columns 24 and 25; additional work for past 3 months

1b. For columns 26 and 27; job/business from June to August

2a. Marketing of Crop Produce					
	Product Sold		To whom	Means of Transport	Cost of Transport/ Unit (P)
	Crops	Type			
	(32)	(33)	(34)	(35)	(36)
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					

Enter code				
32	33	34	35	36

- Codes for Column 33**
Type of Product Sold
- 1 Shelled corn
 - 2 Milled rice
 - 3 Copra
 - 4 Nuts
 - 5 Others (specify)

- Codes for Column 34**
To whom Products are sold
- 1 Trader
 - 2 Input supplier
 - 3 NFA
 - 4 Cooperative
 - 5 Direct sale to end consumers
 - 6 Landlord
 - 7 Other farmer
 - 8 Others (specify) _____

- Codes for Column 35**
Means of Transport
- 1 Motorized vehicle 2-wheeled
 - 2 Motorized vehicle 3-wheeled
 - 3 Motorized vehicle 4-wheeled or bigger
 - 4 Motorized water transport
 - 5 Non-motorized water transport
 - 6 Animals
 - 7 Person
 - 8 Others (specify), _____

2b. Livestock/Poultry Inventory

Did you or any member of the family raise livestock/poultry the past 12 months?

- 1 Yes (fill up table below) 2 no ⇨ go to 2c

2bi. Livestock/poultry profile (based on the past 12 months)				
	Livestock/Poultry	Number of heads	Average estimated value/head (P)	Ownership
	(37)	(38)	(39)	(40)
(1)				
(2)				
(3)				

Enter code			
(37)	(38)	(39)	(40)

- Codes for Column 40**
Ownership
- 1 fully owned
 - 2 "alaga"
 - 3 others (specify)

2c. Fishery profile

Did you or any member of the family engage in fishing over the past 12 months?

1 Yes (please fill up table below) 2 no ⇒ go to 3

2ci. Access to Fishery Resources	
Type of Fishing (check if applicable) (46)	
A. Sustenance/subsistence	<input type="checkbox"/>
B. Deep sea	<input type="checkbox"/>
C. Aquaculture	<input type="checkbox"/>
Fishpond	<input type="checkbox"/>
Fish pen	<input type="checkbox"/>
Prawn	<input type="checkbox"/>
Others, specify _____	<input type="checkbox"/>
D. Others, specify _____	<input type="checkbox"/>

Enter code

2cii. Fishing Production		
Type of Fishing (47)	Average catch rate/day (kgs.) (48)	Value of Catch (PhP) (49)
A. Sustenance/subsistence		
B. Deep sea		
C. Aquaculture		
Fishpond		
Fishpen		
Prawn		
Others, specify _____		
D. Others, specify _____		

Enter code					
(48)			(49)		

2ciii. Marketing Practices for fishery					
	Product Sold		To whom	Means of Transport	Cost of Transport/Unit (P)
	Fish	Type			
	(50)	(51)	(52)	(53)	(54)
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					

Enter Code									
(50)		(51)	(52)	(53)	(54)				

4. Housing and amenities

Housing

AT THE TIME OF VISIT...

ENTER CODE

3a. What type of building/ house does the family reside in?

- 1 Single house
- 2 Duplex
- 3 Apartment/ accessoria/ condominium/ townhouse
- 4 Improvised house
- 5 Commercial/industrial/ agricultural building
- 6 Other housing unit (e.g., cave, boat)

3b. What type of construction materials is the roof made of?

- 1 Strong materials (galvanized iron, aluminum, tile, concrete, brick stone, asbestos)
- 2 Light materials (cogon, nipa, anahaw)
- 3 Salvaged/makeshift materials
- 4 Mixed but predominantly strong materials
- 5 Mixed but predominantly light materials
- 6 Mixed but predominantly salvaged materials

3c. What type of construction materials are the outer walls made of?

- 1 Strong materials (galvanized iron, aluminum, tile, concrete, brick stone, asbestos)
- 2 Light materials (cogon, nipa, anahaw)
- 3 Salvaged/makeshift materials
- 4 Mixed but predominantly strong materials
- 5 Mixed but predominantly light materials
- 6 Mixed but predominantly salvaged materials

3d. Tenure status

i. What is the tenure status of the house and lot occupied by your family?

- 1 Own or owner-like possession of house and lot
- 2 Rent house/room including lot
- 3 Own house, rent lot
- 4 Own house, rent-free lot with consent of owner
- 5 Own house, rent-free lot without consent of owner
- 6 Rent-free house and lot with consent of owner
- 7 Rent-free house and lot without consent of owner

ii. What is the floor area of the housing unit?

SQUARE METERS		SQUARE FEET
1	Less than 10	Less than 108
2	10 – 29	108 – 317
3	30 – 49	318 – 532
4	50 – 69	533 – 748
5	70 – 89	749 – 963
6	90 – 119	964 – 1286
7	120 – 149	1287 – 1609
8	150 – 199	1610 – 2147
9	200 & over	2148 & over

iii. How many rooms are there in your house?

iv. Did you acquire your house and lot through the assistance of government or financing program? (to be asked only if answer in 3di is code "1")

- 1 Yes
- 2 No

v. Do you own any other housing unit elsewhere?

- 1 Yes
- 2 No

vi. Do you own any agricultural land that you use for purposes other than residence?

- 1 Yes
- 2 No ⇒ go to question 3e

vii. Did you acquire this agricultural land under the CARP land-distribution program?

- 1 Yes
- 2 No

Amenities

3e. Electricity

i. Is there any electricity in the building/house?

- 1 Yes
- 2 No ⇒ go to 3f

Since when? (Specify year)

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ii. Under what project was it acquired?

- 1 Barangay project (no outside assistance)/ bayanihan
- 2 Municipality project
- 3 Self help
- 4 KALAHI-CIDSS-CIDSS
- 5 KALAHI-CIDSS
- 6 CIDSS
- 7 Others, specify _____
(including combination of the above)
- 9 Do not know

3f. Which of the following item does the family own? (Please check box)

- | | |
|------------------------|-------------------|
| 1 Radio/Stereo | If Yes, how many? |
| 2 Television set | If Yes, how many? |
| 3 VHS/VCD/DVD | If Yes, how many? |
| 4 Refrigerator | If Yes, how many? |
| 5 Gas stove/ Gas Range | If Yes, how many? |
| 6 Washing Machine | If Yes, how many? |
| 7 Sala set | If Yes, how many? |
| 8 Dining Set | If Yes, how many? |
| 9 Beds, cabinets | If Yes, how many? |
| 10 Electric fan | If Yes, how many? |
| 11 Rice cooker | If Yes, how many? |
| 12 Toaster | If Yes, how many? |
| 13 Sewing machine | If Yes, how many? |
| 14 Flat iron | If Yes, how many? |

15 Motorcycle, tricycle

If Yes, how many?

16 Car, jeep

If Yes, how many?

17 Generator

If Yes, how many?

3. Diet Recall

Please recall the menu you had the past three days.

NOTE: If there was any special occasion in the family (e.g. birthday, wedding, fiesta, etc.), exclude that special day. If none, proceed.

DAY 1	FOOD ITEM CHECKLIST	Check if consumed	QUANTITY CONSUMED	VALUE In PhP
BREAKFAST	a. Cereal and cereal preparation (rice, corn, bread, biscuits, flour, native cakes, noodles, infant cereal, cereal based junk foods, etc.)			
	b. Roots and tubers (potato, cassava, sweet potato, gabi, ubi, tugui, cassava cake, haleya, potato chips, etc.)			
	c. Fruits and vegetables (fresh fruits, leafy veg., fruit veg., green/dry beans and other legumes, coconut, peanuts, fruit preparations, pickled veg., tokwa, tausi, miso, peanut butter, etc.)			
LUNCH	d. Meat and meat preparation (fresh chicken, fresh beef, fresh pork, carabeef, goat's meat, corned beef, luncheon meat, meatloaf, Vienna sausage, longanisa, chorizo, hotdog, tocino, tapa, etc.)			
	e. Dairy products and eggs (milk, ice cream, butter, cheese, fresh eggs, balut, salted eggs)			
	f. Fish and marine products (fresh fish, shrimps, squid, shells, sardines, daing, tuyo, tinapa, bagoong, canned squid, etc.)			
DINNER	g. Coffee, cocoa, tea (processed, coffee beans, milo, ovaltine, processed cocoa, cocoa beans, processed tea, tea leaves, etc.)			
	h. Non-alcoholic beverages (softdrinks, pineapple juice, orange juice, ice candy, ice drop, ice buko, etc.)			

	i. Food not elsewhere classified (sugar, sugar products, cooking oil, margarine, sauces, salt, other spices & seasoning, prepared meals bought outside and eaten at home, ice, honey, etc.)			
SNACKS	j. Food Consumed Outside the Home (meals at schools, place of work, restaurants, merienda or snacks, etc.)			
	k. Alcoholic Beverages (beer, tuba, basi, lambanog, brandy, whisky, rum, etc.)			
	l. Tobacco (cigarettes, cigars, betel nut, leaf and lime, chewing tobacco, leaf tobacco, etc.)			

DAY 2	FOOD ITEM CHECKLIST	Check if consumed	QUANTITY CONSUMED	VALUE In PhP
BREAKFAST	a. Cereal and cereal preparation (rice, corn, bread, biscuits, flour, native cakes, noodles, infant cereal, cereal based junk foods, etc.)			
	b. Roots and tubers (potato, cassava, sweet potato, gabi, ubi, tugui, cassava cake, haleya, potato chips, etc.)			
	c. Fruits and vegetables (fresh fruits, leafy veg., fruit veg., green/dry beans and other legumes, coconut, peanuts, fruit preparations, pickled veg., tokwa, tausi, miso, peanut butter, etc.)			
LUNCH	d. Meat and meat preparation (fresh chicken, fresh beef, fresh pork, carabeef, goat's meat, corned beef, luncheon meat, meatloaf, Vienna sausage, longanisa, chorizo, hotdog, tocino, tapa, etc.)			
	e. Dairy products and eggs (milk, ice cream, butter, cheese, fresh eggs, balut, salted eggs)			

	f. Fish and marine products (fresh fish, shrimps, squid, shells, sardines, daing, tuyo, tinapa, bagoong, canned squid, etc.)			
DINNER	g. Coffee, cocoa, tea (processed, coffee beans, milo, ovaltine, processed cocoa, cocoa beans, processed tea, tea leaves, etc.)			
	h. Non-alcoholic beverages (softdrinks, pineapple juice, orange juice, ice candy, ice drop, ice buko, etc.)			
	i. Food not elsewhere classified (sugar, sugar products, cooking oil, margarine, sauces, salt, other spices & seasoning, prepared meals bought outside and eaten at home, ice, honey, etc.)			
	j. Food Regularly Outside the Home (meals at schools, place of work, restaurants, merienda or snacks, etc.)			
SNACKS	k. Alcoholic Beverages (beer, tuba, basi, lambanog, brandy, whisky, rum, etc.)			
	l. Tobacco (cigarettes, cigars, betel nut, leaf and lime, chewing tobacco, leaf tobacco, etc.)			

DAY 3	FOOD ITEM CHECKLIST	Check if consumed	QUANTITY CONSUMED	VALUE In PhP
BREAKFAST	a. Cereal and cereal preparation (rice, corn, bread, biscuits, flour, native cakes, noodles, infant cereal, cereal based junk foods, etc.)			
	b. Roots and tubers (potato, cassava, sweet potato, gabi, ubi, tugui, cassava cake, haleya, potato chips, etc.)			

	c. Fruits and vegetables (fresh fruits, leafy veg., fruit veg., green/dry beans and other legumes, coconut, peanuts, fruit preparations, pickled veg., tokwa, tausi, miso, peanut butter, etc.)			
LUNCH	d. Meat and meat preparation (fresh chicken, fresh beef, fresh pork, carabeef, goat's meat, corned beef, luncheon meat, meatloaf, Vienna sausage, longanisa, chorizo, hotdog, tocino, tapa, etc.)			
	e. Dairy products and eggs (milk, ice cream, butter, cheese, fresh eggs, balut, salted eggs)			
	f. Fish and marine products (fresh fish, shrimps, squid, shells, sardines, daing, tuyo, tinapa, bagoong, canned squid, etc.)			
DINNER	g. Coffee, cocoa, tea (processed, coffee beans, milo, ovaltine, processed cocoa, cocoa beans, processed tea, tea leaves, etc.)			
	h. Non-alcoholic beverages (softdrinks, pineapple juice, orange juice, ice candy, ice drop, ice buko, etc.)			
	i. Food not elsewhere classified (sugar, sugar products, cooking oil, margarine, sauces, salt, other spices & seasoning, prepared meals bought outside and eaten at home, ice, honey, etc.)			
SNACKS	j. Food Regularly Outside the Home (meals at schools, place of work, restaurants, merienda or snacks, etc.)			
	k. Alcoholic Beverages (beer, tuba, basi, lambanog, brandy, whisky, rum, etc.)			
	l. Tobacco (cigarettes, cigars, betel nut, leaf and lime, chewing tobacco, leaf tobacco, etc.)			

4. Consumption and Expenditure

5a. During the PAST MONTH, how much was monthly expenses/consumption on the following (Includes all expenses/consumption whether purchased/paid for in cash/on credit, received as gifts or own-produced)		
ITEM	TOTAL CONSUMED In PhP	TOTAL RECEIVED AS GIFTS In PhP
5ai. FUEL (charcoal, firewood, LPG, kerosene/gas)		
5a.ii. LIGHT (electricity, candle, oils)		
5a.iii. WATER (WATER BILL)		
5a. iv. TRANSPORTATION (bus, jeepney, tricycle, air transport fare, water transport fare, gasoline/diesel, driver's salary, driving lesson, feeds for animals used for transport)		
5a.v. COMMUNICATION (telephone bills, postage stamps, telegrams, messenger fees, etc.)		
5a.vi. RENT (rental expenses, if own house then get imputed cost)		
5b. During the PAST SIX MONTHS, how much was your disbursements/expenditures on the following? (Includes all expenditures whether purchased/paid for in cash/ on credit or received as gifts)		
ITEM	TOTAL DISBURSED In PhP	TOTAL RECEIVED AS GIFTS In PhP
5b.i. CLOTHING, FOOTWEAR AND OTHER WEAR (clothing & ready-made apparel, footwear, sewing materials, accessories, service fees, etc.)		
5b.ii. EDUCATION (matriculation fees, allowance for family member studying away from home, books, school supplies, etc.)		
5b.iii. RECREATION (children bicycle & playcards, dolls, balls, mahjong sets, admission tickets to movies, rental of video tapes, food for pets, etc.)		
5b. iv. MEDICAL CARE (drugs & medicines, hospital room charges, medical and dental charges, other medical goods & supplies, etc.)		
5b.v. NON-DURABLE FURNISHING (dinnerware, glassware, silverware, kitchen utensils/knives, mosquito net, pillow, pillow cases, etc.)		
5b.vi. DURABLE FURNISHING (refrigerator, cooking range/ stove, washing machine, T.V., Cassette recorder, electric fan, etc.)		
5b.vii. TAXES (income tax, real estate tax, car registration, toll fees & other license, residence certificate, withholding tax, etc.)		
5b.viii. HOUSE MAINTENANCE AND REPAIR (carpentry materials, electrical materials, masonry, paint, plumbing materials, etc.)		

5bix.	SPECIAL FAMILY OCCASIONS		
5bx.	GIFTS AND CONTRIBUTIONS TO OTHERS (gifts and assistance to private individuals outside the family, contribution to church, donations, etc.)		
5bxi.	OTHER EXPENDITURES (life insurance & retirement premiums, SSS, GSIS, losses due to fire & theft, legal fees, membership fees, medicare, pre-need plan, etc.)		
5bxii.	OTHER DISBURSEMENTS		
	a. purchase/amortization of real property		
	b. Payments of cash loan (principal)		
	c. Installments for appliances, etc. bought before _____ (year of visit)		
	d. Installments for personal transport bought before _____ (year of visit)		
	e. loans granted to persons outside the family		
	g. Other disbursements (major repair and construction of house, payment for goods/services acquired/ availed of, back rentals paid during the reference period, etc.)		

5. Self-rated poverty

6a. Comparing your quality of life these days to how it was 12 months ago, would you say that your quality of life is ... (*Show flash cards*)

- 1 Better now
- 2 Same as before
- 3 Worse now

6b. Where would you place your family in this card? (*Show flash card*)

- 1 Not poor
- 2 On the line ⇒ *proceed to 6d*
- 3 Poor ⇒ *proceed to 6d*

6c. How much would a family, of the same size as yours, which felt it was poor, need for home expenses each month in order not to feel poor anymore? ⇒ *proceed to 6e*

--	--	--	--	--	--

6d. How much would your family need for home expenses each month in order not to feel poor anymore?

--	--	--	--	--	--

6e. How many of the last twelve months did you feel that you were poor? (*Show flash card*)

6f. How many of the last five years did you feel that you were poor? (*Show flash card*)

6g. How many of the last ten years did you feel that you were poor? (*Show flash card*)

6h. 10 years ago, where would you place your family in this card? (*Show flash card*)

- 1 Not poor
- 2 On the line
- 3 Poor
- 8 Not applicable

E. EMPOWERMENT AND GOVERNANCE

1. Bayanihan/collective action

1a. Over the past six months, did you or any member of your family participate in any bayanihan in the barangay ?

- 1 YES 2 NO ⇒ *proceed to question 1b*

1ai. If yes, what were the three main activities?

Activity

1.
2.
3.

1aii. Who usually represented the family in these activities?

- 1 Male
- 2 Female
- 3 Both

1aiii. All together, how much time did you or anyone else in your family spend on these activities?

Representative in family	Time spent (hours)
Male	
Female	

1b. Suppose something unfortunate happened to someone in the barangay/neighborhood, such as a serious illness. How likely is it that some people in the barangay would get together to help them? (*Show flash cards*)

- 1 Very likely
- 2 Somewhat likely
- 3 Neither likely or unlikely
- 4 Somewhat unlikely
- 5 Very unlikely

1c. If a barangay project, such as day care center, does not directly benefit you, but has benefits for many others in the barangay/neighborhood, would you contribute time to the project? Would you contribute money to the project

i. Time

ii. Money

- 1 Will contribute time
- 2 Will not contribute time
- 3 Depending on availability

- 1 Will contribute money
- 2 Will not contribute money
- 3 Depending on availability

2. Social cohesion and inclusion

2a. Are there people in the barangay/neighborhood who are prevented from or deprived of any of the following?

	1 Yes \Rightarrow go to col. (56) 2 No \Rightarrow go to 2c 9 Don't know \Rightarrow go to 2c (55)	How many are excluded? 1 Only a few people 2 Many people, but less than half of the barangay/neighborhood 3 More than half the barangay/neighborhood (56)
A. Education/schools		
B. Health services/clinics		
C. Water		
D. Justice		
E. Transportation		
F. Agricultural extension		

2b. Give at most three reasons why some people are excluded from these services?

- 1 Income level
- 2 Religion
- 3 Ethnicity/ linguistic background/ race/ tribe

- | | | |
|---|-------------------------|--------------------------|
| 4 | Occupation | <input type="checkbox"/> |
| 5 | Gender | <input type="checkbox"/> |
| 6 | Age | <input type="checkbox"/> |
| 7 | Others, (specify) _____ | <input type="checkbox"/> |

2c. In your opinion, is this barangay/neighborhood generally peaceful or marked by crime and violence?
(*Show flash cards*)

- | | | |
|---|------------------------------|--------------------------|
| 1 | Very peaceful | <input type="checkbox"/> |
| 2 | Somewhat peaceful | <input type="checkbox"/> |
| 3 | Neither peaceful nor violent | <input type="checkbox"/> |
| 4 | Somewhat violent | <input type="checkbox"/> |
| 5 | Very violent | <input type="checkbox"/> |

2d. Compared to the past year, has the level of crime and violence in this barangay/neighborhood ... (*Show flash cards*)

- | | | |
|---|-----------------------|--------------------------|
| 1 | Increased a lot | <input type="checkbox"/> |
| 2 | Increased a little | <input type="checkbox"/> |
| 3 | Stayed about the same | <input type="checkbox"/> |
| 4 | Decreased a little | <input type="checkbox"/> |
| 5 | Decreased a lot | <input type="checkbox"/> |

3. Trust and Solidarity

In every barangay, some people get along with others and trust each other, while other people do not. Now, I would like to talk to you about trust and solidarity in your community.

3a. **In general, do you agree or disagree with the following statements? (Show flash cards)**

	1 Disagree strongly 2 Disagree somewhat 3 Neither agree nor disagree 4 Agree somewhat 5 Agree strongly 9 Don't know
A. Most people who live in this barangay/neighborhood can be trusted.	
B. In this barangay/neighborhood, one has to be alert or someone is likely to take advantage of you.	
C. Most people in this barangay/neighborhood are willing to help if you need it.	
D. In this barangay/neighborhood, people generally do not trust each other in matters of lending and borrowing money.	

3b. **Now I want to ask you how much you trust different types of people. On a scale of 1 to 5, where 1 means a very small extent and 5 means a very great extent, how much do you trust the people in that category? (Show flash cards)**

	1 To a very small extent 2 To a small extent 3 Neither small nor great extent 4 To a great extent 5 To a very great extent 9 Don't know
A. People from your (ethnic or linguistic group/race/tribe)	
B. People from other (ethnic or linguistic groups/race/tribe)	
C. Traders	
D. Local government officials	
E. National government officials	
F. Police	
G. Teachers	
H. Nurses and doctors	
I. Strangers	

4. Groups and networks

4a. Are you or any member of your family a member of any people's organization, religious and/or any nongovernmental organization?

1 YES 2 NO ⇒ proceed to question 4b

Who in your family are members of this organization? ENTER NAME	Enter Family member number from page 2	What are these Organizations? (List name of organizations)	What type of organization is this? (List for each organization) ENTER CODE	What is _____'s position in the organization? ENTER CODE	How many times did _____ attend the organization's meetings over the past year?	Does this organization work with other groups in the barangay to address important concerns? 1 YES 2 NO ENTER CODE
(57)	(58)	(59)	(60)	(61)	(62)	(63)

Codes for Column 60 <i>Type of Organization</i>	Codes for Column 61 <i>Position in Organization</i>
1 Socio-civic	1 Officer
2 Religious, specify _____	2 Adviser/ elder
3 Cooperatives	3 Committee member
4 NGO	4 Member
5 Workers Association	

4b. **If you suddenly needed to borrow a small amount of money enough to pay for expenses for your household for one week, are there people beyond your immediate household and close relatives (to whom you could turn) that would be willing to help you?**

- 1 Definitely
- 2 Probably
- 3 Unsure
- 4 Probably not
- 5 Definitely not

5. **Governance**

5a. **Does this barangay have a functioning Barangay Development Council?**

- 1 Yes ⇨ Name one _____ (excluding the barangay council)
- 2 No ⇨ *go to question 5c*
- 3 Invalid
- 9 Don't know ⇨ *go to question 5c*

5b. **Can you name one activity carried out by the Barangay Development Council in the last 12 months?**

- 1 Yes Activity: _____
- 2 No
- 3 Invalid
- 9 Don't Know

5c. **Does your Barangay hold Barangay Assembly?**

- 1 Yes
- 2 No ⇨ *proceed to question 5g*
- 9 Don't Know

5d. **Over the past six months, did you or a member of your family attend a Barangay Assembly?**

- 1 Yes
- 2 No ⇨ *proceed to question 5g*
- 9 Don't Know ⇨ *proceed to question 5g*

5e. **If yes, who usually represented the family in these meetings?**

- 1 Male
- 2 Female
- 3 Both

5f. How often did you or a member of your family attend these meetings over the past six months?

Representative in the family	No. of times attended
Male	
Female	

5g. In the past 6 months, have you or a member of your family done any of the following? If yes, who in the family was involved?

	1 Yes 2 No 8 Not applicable	1 Male 2 Female 3 Both
A. Attended a barangay meeting		
B. Joined in the planning of barangay development programs		
C. Met with a politician, called him/her, or sent a letter		
D. Participated in a protest or demonstration		
E. Participated in an information campaign		
F. Alerted newspaper, radio or TV to a local problem		
G. Notified police or court about a local problem		

5h. What are the three most important sources of information about what the government is doing (such as development projects, agricultural extension, workfare, family planning, etc.)?

- 1 Relatives, friends and neighbors
- 2 Community bulletin board
- 3 Community or local newspaper
- 4 Barangay Assembly
- 5 Barangay Development Council
- 6 Radio
- 7 Television
- 8 Groups or associations
- 9 Business or work associates
- 10 Community leaders
- 11 An agent of the government
- 12 NGOs
- 13 Internet

5i. **In general, compared with the previous year*, has access to information this year improved, deteriorated, or stayed about the same?**

[* ENUMERATOR: TIME PERIOD CAN BE CLARIFIED BY SITUATING IT BEFORE/AFTER MAJOR EVENT]

- 1 Improved
- 2 Deteriorated
- 3 Stayed about the same

5j. **Do you know the details of barangay income and expenses, including the costs of particular development activities such as road or school project?**

- 1 Yes
- 2 No ⇒ *proceed to 5l*

5k. **How did you know about them?**

- 1 Announced at a Barangay Assembly
- 2 Posted in a public place
- 3 From family and/or friends
- 4 Other (please specify) _____

5l. **What do you think are the three (3) most pressing problems in your barangay today?**

Check if mentioned	Problems	Are you satisfied with how the local government responds to this problem? 1 Yes 2 No
(64)	(65)	(66)
	Bad roads	
	Inadequate water and sanitation facilities	
	Lack of employment opportunities	
	Illiteracy/increasing number of out-of-school youths	
	Power supply problems	
	Health and nutrition problems	
	Problems with peace and order	
	Others, specify	

5m. **If there is a problem that affects your entire sitio or barangay, such as the breakdown of the water supply system, how is this usually solved?**

- 1 Family, neighbors and friends get together to find a solution
- 2 Parents of school children get together to find a solution
- 3 Barangay Captain finds a solution
- 4 Barangay Assembly finds a solution
- 5 Barangay Development Council finds a solution
- 6 Municipal government finds a solution
- 7 The problem remains unsolved
- 8 Others, please specify _____
- 9 Don't know

5n. **When there is a decision to be made in the barangay that affects you, such as deciding between building a new school and a road, how does this usually come about?**

- 1 The Municipality or a government agency makes the decision
- 2 The Barangay Captain makes the decision
- 3 The Barangay Council makes the decision
- 4 A meeting between barangay leaders and the concerned people.
- 5 A Barangay Assembly with a clear majority of households and representing all sitios and sectors.
- 6 A Barangay Assembly representing less than half the barangay households.
- 7 A referendum was passed around
- 8 Others (please specify), _____
- 9 Don't know/ not sure

5o. **Compared to last year, how would you rate your confidence, and that of the members of your family, to play an active role in community decision-making and development activities? (Show flash cards)**

- 1 Greatly improved
- 2 Somewhat Improved
- 3 Remained much the same
- 4 Declined
- 5 Greatly declined

5p. **In the past year, did you or any member of your family require services such as business permit, barangay clearance or community tax certificate from the local government?**

- 1 Yes
- 2 No ⇨ *end of interview*

5q. **Did you or any member of your family have to pay some additional money to government officials to get things done?**

- 1 Yes, often
- 2 Yes, occasionally
- 3 No

5r. **Are such payments effective in getting a service delivered or a problem solved?**

- 1 Yes, usually
- 2 Yes, but only occasionally
- 3 Usually not

Thank you for your cooperation.

	TIME ENDED
Visit 1	
Visit 2	
Visit 3	

References:

- Annual Poverty Indicator Survey (APIS)
- Family, Income and Expenditure Survey (FIES)
- Benchmark Survey for the Comprehensive Agrarian Reform Program
- Social Capital Questionnaire (SOCAPIQ) of the World Bank
- Social Weather Station (SWS) Survey

Annex 4: Village Official Survey

LCS Form 2
FINAL

LIVING CONDITIONS SURVEY

Interview Schedule for Barangay Official

Good (morning, afternoon), I'm _____ and we are conducting a survey on your community. The purpose of this survey is to find out about your living conditions. The accuracy of the results of the whole survey will depend on your sincere and precise answers. Your input would benefit future planning and monitoring of programs. The information you give to us will be kept confidential. You and your household members will not be identified by name or address in any of the reports we plan to write.

Thank you for your participation.

A. IDENTIFICATION AND OTHER INFORMATION

FIELD COMPARISON

Name of Interviewer _____

	Date	Time Started	Remarks
Visit 1			
Visit 2			
Visit 3			

IDENTIFICATION		CODES											
Region: _____ Province: _____ Municipality: _____ Barangay: _____ Name/s of Respondent/s: _____		<table border="1"> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </table>											
Name	Designation												

B. POPULATION PROFILE

- How many families are there in the barangay? _____
- How many people are there in the barangay? _____
- When was the latest population census conducted? _____
- How many women aged 35 and above are in the barangay?

5. Are there indigenous people (IP) in your barangay?

(1) Yes (2) None

If yes, to what group do they belong? _____

How many are they?

_____ families

_____ individuals

6. Can you identify certain families in your barangay that never participate in any community activities?

(1) Yes (2) No

Who are they? (Please identify by surname)

What do you think are their reasons for not participating?

C. PRESENCE/ ACCESS TO FACILITIES

1. Road Network

- a. What types of road traverse through the barangay?
- b. What proportion of the roads are (*type*)? (specify % distribution)

Please check	Types of Road	%
	Dirt	
	Gravel	
	Asphalted	
	Cemented/All Weather Road	

2. Establishments

- a. Is there a (establishment) in your barangay?
- b. (*for e-h, j & k only*) If there is no (establishment), how far is your barangay to the nearest (facility)? Please indicate if it is in minutes or kms.

	Establishment	Please check	If none, distance to nearest facility	Indicate if in mins/kms
a.	Town or Provincial Hall	<input type="checkbox"/>	<input type="checkbox"/>	
b.	Church	<input type="checkbox"/>	<input type="checkbox"/>	
c.	Plaza	<input type="checkbox"/>	<input type="checkbox"/>	
d.	Cemetery	<input type="checkbox"/>	<input type="checkbox"/>	
e.	Market place	<input type="checkbox"/>	<input type="checkbox"/>	mins/kms
f.	Elementary School	<input type="checkbox"/>	<input type="checkbox"/>	mins/kms
g.	Secondary School	<input type="checkbox"/>	<input type="checkbox"/>	
	mins/kms	<input type="checkbox"/>	<input type="checkbox"/>	
h.	College or university	<input type="checkbox"/>	<input type="checkbox"/>	
	mins/kms	<input type="checkbox"/>	<input type="checkbox"/>	
i.	Public Library	<input type="checkbox"/>	<input type="checkbox"/>	

Codes for Primary Functions	Codes for Exclusive for whom
1 Environment preservation/ Community beautification	1 Barangay residents
2 Spiritual	2 Farmers/ Workers' group
3 Provide training and skills	3 Women
4 Provide financial assistance to members	4 Youth
5 Provide support and assistance to government programs	5 Senior citizen
6 Women empowerment	6 Others, specify _____
7 Others, specify _____	

1. Over the past year, what development projects have been implemented in your barangay?
2. How much did the project cost?
3. Where did the funds come from?
4. How much was financed by the barangay?
5. Who decided on the choice of the project? How?
6. When was this sort of project first proposed? (Specify the year)
7. When was the project approved? (Specify the year)

Development projects	Cost of project	Source of funds	Cost Sharing (%)	Decision Mechanism	When proposed	When approved

Codes for Development Projects	Codes for Source of Funds
1 Roads	1 Barangay Fund
2 Water Supply	2 Municipal Fund
3 Toilet	3 Provincial Fund
4 Livelihood	4 Congressional Development Fund (CDF)
5 Education	5 National government agencies (e.g. DSWD, DA, etc.)
6 Electrification	6 ODA (Foreign-assisted projects)
7 Health and Nutrition	7 Others, specify _____
8 Others, specify _____	

F. ACCESS TO SERVICES

1. Which of the following do you think are the main problems of your barangay? Select the top three (3). Please check box.

Check if mentioned	Problems	Are these Problems being addressed properly? 1 YES 2 No ENTER	Kindly explain your answer
	Roads		
	Water and Sanitation		
	Lack of Employment opportunities		
	Illiteracy/increasing number of out-of-school youth		
	Power Supply		
	Health and Nutrition		
	Peace and Order		
	Lack of service facilities		
	Others, specify		

2. Over the past six months, how many times did the following personnel visit your barangay either to consult with the community or provide services?

Government Official	Number of visits
Mayor/vice mayor/councilor	
Municipal planning officer	
Municipal agrarian reform officer	
Municipal social worker	
Agriculture extension worker	
Government doctor / Municipal health officer	
Government midwife	

G. ACCESS TO FINANCIAL RESOURCES

1. How much was your IRA the past year? _____

2. What other sources of revenue does your barangay have? Please check all that apply.

- | | |
|-------------------------------------|--------------------------|
| a. provincial government | <input type="checkbox"/> |
| b. municipal government | <input type="checkbox"/> |
| c. tax and other fees | <input type="checkbox"/> |
| i. business tax | <input type="checkbox"/> |
| ii. real property tax | <input type="checkbox"/> |
| iii. clearance | <input type="checkbox"/> |
| iv. Official Development Assistance | <input type="checkbox"/> |
| d. Community Development Fund (CDF) | <input type="checkbox"/> |
| e. Others, pls. specify _____ | <input type="checkbox"/> |

3. How do you disseminate the information on the financial situation of the barangay to the residents of your barangay? How often is the reporting done?

4. Who are the members of your BDC?

5. What is the designation of _____?

Name of members	Designation
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	

6. How were the BDC members selected?

- _____ identified by the Barangay Captain
- _____ identified by the Barangay Council
- _____ approved by entire barangay during a Barangay Assembly
- _____ approved by entire barangay through a referendum

7. During the past year, how many times did the BDC meet? _____

8. During the past year, what activities did the BDC undertake?

Activity
1
2
3
4
5
6
7
8
9
10

9. During the past year, how many times did you meet with the barangay residents?

No. of Meetings Per Time Unit	
	Month
	Quarter
	Year

Others, specify _____

10. On the average, how many barangay residents are present during the meetings? _____

H. PARTICIPATION IN GOVERNMENT

1. During the past year, how many times did your barangay council meet?

No. of Meetings Per Time Unit	
	Month
	Quarter
	Year

Others, _____ specify

2. How many barangay officials do you have in your barangay?

3. On the average, how many of them are present during the meetings?

To the interviewer:

Indicate the other sources of information:

FIELD COMPARISON

Time Ended: _____

Annex 5: Selected Summary Statistics³³

Demographics

Main ethno-linguistic groups	Freq.	Percent
Bikol, Sorsogeno	561	23.55
Capizeno	468	19.65
Cebuano	429	18.01
Bisaya/Binisaya	332	13.94
Hilichaynon, Ilongo, Negrense	145	6.09
Manobo/Ata-Manobo	83	3.48
Boholano	78	3.27
Subanen	62	2.60
Waray, Leyteno	35	1.47
Maguindanao	34	1.43
Surigaonon	32	1.34
Other	123	5.17
Total	2382	100.00

	Obs	Mean	St.dev
Household size	2401	5.12	2.20
Average age	12291	23.88	19.67

Age distribution	Obs	Percent
Less than 1 years old	288	2.34
1 to 6	2123	17.27
7 to 12	2400	19.53
13 to 16	1229	10.00
17 to 22	1080	8.78
23 to 44	3048	24.80
45 to 64	1600	13.02
65 and above	523	4.26
Total	12291	

Gender	Freq.	Percent
Male	6401	52.08
Female	5890	47.92
Total	12291	100.00

³³ This annex summarizes selected variables from the baseline survey. It is intended to show a snapshot of the data available. Please refer to the two survey instruments (Annex 3 and 4) for a full overview of the data collected.

Relation to the family head	Freq.	Percent
Head	2401	19.54
Spouse	1946	15.84
Son/daughter	6557	53.36
Son-in-law/ daughter in-law	142	1.16
Grandchild	796	6.48
Father/mother	94	0.76
Other relatives	352	2.86
Total	12288	100.00

Social Capital

- **Bayanihan**

Did you participate in any bayanihan act?	Freq.	Percent
Yes	1310	54.58
No	1090	45.42
Total	2400	100.00

Usual representative in the activities	Freq.	Percent
Male	841	35.10
Female	288	12.02
Both	177	7.39
N/A	1090	45.49
Total	2396	100.00

Male: no. of hours spent	Obs	Mean	Std. Dev.
	1016	15.02	39.59

Female: no of hours spent	Obs	Mean	Std. Dev.
	465	10.07	16.02

Likelihood that people get together to help others			
	Freq.	Percent	Cum.
Very likely	1126	46.94	46.94
Somewhat likely	765	31.89	78.82
Neither likely or unlikely	372	15.51	94.33
Somewhat unlikely	79	3.29	97.62
Very unlikely	57	2.38	100.00
Total	2399	100.00	

Will contribute time to community project?		
	Freq.	Percent
Will contribute time	1761	74.21
Will not contribute time	150	6.32
Depending on availability	462	19.47
Total	2373	100.00

Will contribute money to community project?		
	Freq.	Percent
Will contribute money	900	38.51
Will not contribute money	387	16.56
Depending on availability	1050	44.93
Total	2337	100.00

- **Social Inclusion**

Exclusion: education/schools		
	Freq.	Percent
Yes	646	26.93
No	1681	70.07
Don't know	72	3.00
Total	2399	100.00

Exclusion: Health services		
	Freq.	Percent
Yes	378	15.76
No	1950	81.28
Don't know	71	2.96
Total	2399	100.00

Exclusion: water		
	Freq.	Percent
Yes	286	11.92
No	2097	87.41
Don't know	16	0.67
Total	2399	100.00

Exclusion: Justice	Freq.	Percent
Yes	245	10.21
No	2005	83.58
Don't know	149	6.21
Total	2399	100.00

Exclusion: Transportation	Freq.	Percent
Yes	219	9.13
No	2134	88.95
Don't know	46	1.92
Total	2399	100.00

Exclusion: Agricultural extension	Freq.	Percent
Yes	259	10.80
No	1993	83.08
Don't know	147	6.13
Total	2399	100.00

Is this barangay generally peaceful or marked by violence?	Freq.	Percent	Cum.
Very peaceful	1175	49.00	49.00
Somewhat peaceful	844	35.20	84.20
Neither peaceful nor violent	240	10.01	94.20
Somewhat violent	126	5.25	99.46
Very violent	12	0.50	99.96
Don't know	1	0.04	100.00
Total	2398		100.00

Compare the level of crime and violence to last year	Freq.	Percent	Cum.
Increased a lot	92	3.83	3.83
Increased a little	238	9.92	13.75
Stayed about the same	1365	56.88	70.63
Decreased a little	464	19.33	89.96
Decreased a lot	240	10.00	99.96
Don't know	1	0.04	100.00
Total	2400	100.00	

- **Trust**

Most people in the barangay can be trusted			
	Freq.	Percent	Cum.
Disagree strongly	93	3.90	3.90
Disagree somewhat	240	10.07	13.97
Neither agree nor disagree	661	27.74	41.71
Agree somewhat	794	33.32	75.03
Agree strongly	595	24.97	100.00
Total	2383	100.00	

One has to be alert or someone is likely to take advantage of you			
	Freq.	Percent	Cum.
Disagree strongly	225	9.46	9.46
Disagree somewhat	225	9.46	18.92
Neither agree nor disagree	475	19.97	38.88
Agree somewhat	703	29.55	68.43
Agree strongly	751	31.57	100.00
Total	2379	100.00	

Most people are willing to help if you need it			
	Freq.	Percent	Cum.
Disagree strongly	44	1.84	1.84
Disagree somewhat	114	4.77	6.61
Neither agree nor disagree	425	17.77	24.38
Agree somewhat	832	34.80	59.18
Agree strongly	976	40.82	100.00
Total	2391	100.00	

People do not trust each other in terms of lending and borrowing money			
	Freq.	Percent	Cum.
Disagree strongly	182	7.72	7.72
Disagree somewhat	302	12.81	20.53
Neither agree nor disagree	759	32.20	52.74
Agree somewhat	639	27.11	79.85
Agree strongly	475	20.15	100.00
Total	2357	100.00	

Level of trust: people from your ethnic group			
	Freq.	Percent	Cum.
To a very small extent	81	3.38	3.38
To a small extent	273	11.40	14.78
Neither small nor great extent	1028	42.92	57.70
To a great extent	641	26.76	84.47
To a very great extent	372	15.53	100.00
Total	2395	100.00	

Level of trust: people from other ethnic groups			
	Freq.	Percent	Cum.
To a very small extent	564	23.64	23.64
To a small extent	688	28.83	52.47
Neither small nor great extent	859	36.00	88.47
To a great extent	210	8.80	97.28
To a very great extent	65	2.72	100.00
Total	2386	100.00	

Level of trust: traders			
	Freq.	Percent	Cum.
To a very small extent	352	14.86	14.86
To a small extent	608	25.66	40.52
Neither small nor great extent	879	37.10	77.63
To a great extent	412	17.39	95.02
To a very great extent	118	4.98	100.00
Total	2369	100.00	

Level of trust: Local government officials			
	Freq.	Percent	Cum.
To a very small extent	100	4.18	4.18
To a small extent	203	8.49	12.68
Neither small nor great extent	783	32.76	45.44
To a great extent	813	34.02	79.46
To a very great extent	118	4.98	100.00
Total	2390	100.00	

Level of trust: National government officials			
	Freq.	Percent	Cum.
To a very small extent	182	7.58	7.58
To a small extent	275	11.46	19.04
Neither small nor great extent	876	36.50	55.54
To a great extent	666	27.75	83.29
To a very great extent	373	15.54	98.83
Don't know	28	1.17	100.00
Total	2400		100.00

Level of trust: police			
	Freq.	Percent	Cum.
To a very small extent	209	8.71	8.71
To a small extent	317	13.21	21.92
Neither small nor great extent	858	35.75	57.67
To a great extent	698	29.08	86.75
To a very great extent	295	12.29	99.04
Don't know	23	0.96	100.00
Total	2400	100.00	

Level of trust: Teachers			
	Freq.	Percent	Cum.
To a very small extent	31	1.29	1.29
To a small extent	106	4.42	5.71
Neither small nor great extent	527	21.96	27.67
To a great extent	959	39.96	67.63
To a very great extent	773	32.21	99.83
Don't know	4	0.17	100.00
Total	2400	100.00	

Level of trust: nurses and doctors			
	Freq.	Percent	Cum.
To a very small extent	50	2.08	2.08
To a small extent	106	4.42	6.50
Neither small nor great extent	526	21.92	28.42
To a great extent	930	38.75	67.17
To a very great extent	776	32.33	99.50
Don't know	12	0.50	100.00
Total	2400	100.00	

Level of trust: Strangers	Freq.	Percent	Cum.
To a very small extent	987	41.13	41.13
To a small extent	653	27.21	68.33
Neither small nor great extent	522	21.75	90.08
To a great extent	116	4.83	94.92
To a very great extent	91	3.79	98.71
Don't know	31	1.29	100.00
Total	2400	100.00	

- Groups and Networks**

Member of any organization?	Freq.	Percent
Yes	786	32.74
No	1615	67.26
Total	2401	100.00

Likelihood that other people will lend you money	Freq.	Percent	Cum.
Definitely	591	24.68	24.68
Probably	800	33.40	58.08
Unsure	522	21.80	79.87
Probably not	136	5.68	85.55
Definitely not	346	14.45	100.00
Total	2395	100.00	

- Governance**

Does your barangay hold barangay assemblies?	Freq.	Percent
Yes	2172	90.46
No	191	7.96
Don't know	38	1.58
Total	2401	100.00

Did you attend Barangay assemblies?	Freq.	Percent
Yes	1449	60.35
No	738	30.74
N/A	191	7.96
Don't know	22	0.92
Total	2400	100.00

Usual representative in assemblies	Freq.	Percent
Male	691	47.69
Female	574	39.61
Both	180	12.42
Don't know	4	0.28
Total	1449	100.00

Participation: Barangay meeting	Freq.	Percent
Yes	1615	67.26
No	765	31.86
N/A	20	0.83
Don't know	1	0.04
Total	2401	100.00

Participation: Joined in barangay Development planning	Freq.	Percent
Yes	673	28.03
No	1722	71.72
N/A	5	0.21
Don't know	1	0.04
Total	2401	100.00

Participation: Met with a Politician	Freq.	Percent
Yes	141	5.87
No	2257	94.00
N/A	3	0.12
Total	2401	100.00

Participation: Protest	Freq.	Percent
Yes	22	0.92
No	2371	98.75
N/A	8	0.33
Total	2401	100.00

Participation: Information campaign	Freq.	Percent
Yes	97	4.04
No	2301	95.84
N/A	3	0.12
Total	2401	100.00

Participation: Alerted media	Freq.	Percent
Yes	14	0.58
No	2383	99.25
N/A	4	0.17
Total	2401	100.00

Participation: Notify police or court	Freq.	Percent
Yes	37	1.54
No	2356	98.21
N/A	6	0.25
Total	2399	100.00

Compare accessibility of information to past year	Freq.	Percent
Improved	784	32.71
Deteriorated	242	10.10
Stayed the same	1368	57.07
Don't know	3	0.13
Total	2397	100.00

Do you know the income and expense details of the barangay?	Freq.	Percent
Yes	238	9.91
No	2163	90.09
Total	2401	100.00

How is a barangay problem usually solved?	Freq.	Percent
Family, neighbors, friends get together	377	15.71
Parents of school children get together	21	0.88
Barangay captain finds solution	1166	48.60
Barangay assembly finds solution	408	17.01
Barangay development council finds solution	147	6.13
Municipal government finds Solution	81	3.38
Problem remains unsolved	28	1.17
Other	131	5.46
Don't know	40	1.67
Total	2399	100.00

How does a decision come about?	Freq.	Percent
Municipality or govt. agency	216	9.01
Barangay captain	914	38.12
Barangay council	572	23.85
Meeting between barangay leaders and the concerned people	238	9.92
Barangay assembly with majority of households and all sitios	272	11.34
Barangay assembly with less than half of households	47	1.96
Referendum passed around	2	0.08
Other	14	0.59
Don't know	123	5.13
Total	2398	100.00

Confidence to participate in activities and decision-making, compared to last year			
	Freq.	Percent	Cum.
Greatly improved	362	15.08	15.08
Somewhat improved	618	25.75	40.83
Same	1261	52.54	93.38
Declined	131	5.46	98.83
Greatly declined	24	1.00	99.83
Don't know	4	0.17	100.00
Total	2400	100.00	

Expenditures

	Obs.	Mean	St.dev
Mean per capita monthly expenditure	2401	995.27	6085
Medical expenditures (past 6 months)	2401	1871	44631
Education expenditures (past 6 months)	2401	1673	27970

Self-rated poverty

Compare quality of life now to 12 months ago			
	Freq.	Percent	Cum.
Better now	363	15.12	15.12
Same as before	855	35.61	50.73
Worse now	1181	49.19	99.92
N/A	2	0.08	100.00
Total	2401	100.00	

Where would you place your family on this card?			
	Freq.	Percent	Cum.
Not poor	97	4.04	4.04
On the line	598	24.91	28.95
Poor	1706	71.05	100.00
Total	2401	100.00	

Non-poor family: How much would a family, of the same size as yours, which felt it was poor, need for home expenses each month in order not to feel poor anymore?			
	Obs	Mean	Std. Dev.
	97	5359.79	5104.02

Poor or on the line: How much would your family need for home expenses each month in order not to feel poor anymore?			
	Obs	Mean	Std. Dev.
	2297	7441.76	32511.4

How many of the last twelve months did you feel that you were poor?			
	Obs	Mean	Std. Dev.
	2396	6.39	4.28

Health

Did ____ get sick during the last 6 months?		
	Freq.	Percent
Yes	6245	50.81
No	6046	49.19
Total	12291	100.00

Did ____ see any health practitioner during the past 6 months?		
	Freq.	Percent
Yes	2825	23.01
No	9454	76.99
Total	12279	100.00

Means of travel to health facility	Freq.	Percent
Walking	886	37.01
Bus, car, jeep	351	14.66
Motorcycle/ tricycle	1061	44.32
Bicycle/Pedicab	61	2.55
Motorized boat	30	1.25
Non-motorized boat	2	0.08
N/A	3	0.13
Total	2394	100.00

Time it takes to travel to health facility	Freq.	Percent	Cum.
<15 minutes	1070	44.56	44.56
15-30 minutes	659	27.45	72.01
30-60 minutes	332	13.83	85.84
>1 hour	328	13.66	99.50
N/A	12	0.5	100.0
Total	2401	100.00	

Do you get the needed health services?	Freq.	Percent
Always	1136	47.31
Never	1166	48.56
Sometimes	84	3.50
N/A	15	0.62
Total	2401	100.00

Education

Enrollment rates	Obs	Mean	St.dev
Elementary school	1424	0.93	3.23
High school	897	0.70	4.35
College	919	0.08	1.76

Currently attending school?	Freq.	Percent
Yes	3757	30.57
No	1366	11.11
N/A	7167	58.32
Total	12290	100.00

Type of school	Freq.	Percent
Public	3608	96.39
Private non-sectarian	98	2.62
Private sectarian	37	0.99
Total	3743	100.00

Means of going to school	Freq.	Percent
Walking	2983	79.80
Bus, car, jeep	162	4.33
Motorcycle/tricycle	551	14.74
Bicycle/pedicab	23	0.62
Motorized boat	16	0.43
Non-motorized boat	3	0.08
Total	3738	100.00

Time it takes to reach school	Freq.	Percent	Cum.
<15 minutes	1754	47.20	47.20
16-30 minutes	787	21.18	68.38
31-59 minutes	234	6.30	74.68
>1 hour	186	5.01	79.68
N/A	755	20.32	100.00
Total	3716	100.00	

Water

Source of water	Freq.	Percent
Own use, faucet, community water system	215	8.95
Own use, tube/piped well	255	10.62
Shared, faucet, community water system	570	23.74
Shared, tube/piped well	503	20.95
Dug well	489	20.37
Spring, river, stream etc.	307	12.79
Rain	44	1.83
Peddler	13	0.54
Unclassified	5	0.21
Total	2401	100.00

Water: safe for drinking?	Freq.	Percent
Yes	2090	87.08
No	249	10.38
Do not know	61	2.54
Total	2400	100.00

Do you experience difficulties in fetching water?	Freq.	Percent
Yes	1243	51.77
No	1158	48.23
Total	2401	100.00

If yes, what sort of difficulties?	Freq.	Percent
Distant facility	574	46.29
Insufficient water	342	27.58
Combination of above two	133	10.73
Defective facility, water supply affected by power supply problems	26	2.10
Contaminated water	5	0.40
No transportation, hardly accessible roads and bridges	80	6.45
Too many people fetching	17	1.37
Flood and rainy days, drought	58	4.68
Water source restricted by owner	1	0.08
Water too costly	4	0.32
Total	1240	100.00

Toilet facility	Freq.	Percent
Water sealed	1319	54.94
Closed pit	501	20.87
Open pit	229	9.54
Others (pail system, sewer direct to river etc.)	34	1.42
None/sharing toilet with neighbor	312	12.99
Plastic	1	0.04
Anywhere	5	0.21
Total	2401	100.00

Travel

Time it takes to travel to nearest post office			
	Freq.	Percent	Cum.
<15 minutes	694	28.90	28.90
15-30 minutes	722	30.07	58.98
31-60 minutes	394	16.41	75.39
>1 hour	510	21.24	96.63
Don't know	81	3.37	100.00
Total	2401	100.00	

Time it takes to travel to nearest telephone			
	Freq.	Percent	Cum.
Telephone in the house	249	10.38	10.38
<15 minutes	836	34.83	45.21
15-30 minutes	538	22.42	67.63
31-60 minutes	270	11.25	78.88
>1 hour	373	15.54	94.42
Don't know	134	5.58	100.00
Total	2400	100.00	

No of travels to the poblacion			
	Obs	Mean	Std. Dev.
	2401	4.38	7.58

Fare to go to the poblacion			
	Obs	Mean	Std. Dev.
	2398	21.53	54.63

Access

Accessibility: potable water supply		
	Freq.	Percent
Better off	780	32.53
Worse off	365	15.22
Same	1253	52.25
Total	2398	100.00

Accessibility: electricity		
	Freq.	Percent
Better off	474	19.86
Worse off	976	40.89
Same	931	39.00
Don't know	6	0.25
Total	2387	100.00

Accessibility: health care facility		
	Freq.	Percent
Better off	658	27.41
Worse off	672	27.99
Same	1066	44.40
Don't know	5	0.21
Total	2401	100.00

Accessibility: school		
	Freq.	Percent
Better off	839	34.97
Worse off	660	27.51
Same	894	37.27
Don't know	6	0.25
Total	2399	100.00

Accessibility: place of work		
	Freq.	Percent
Better off	365	15.21
Worse off	1177	49.04
Same	857	35.71
Don't know	1	0.04
Total	2400	100.00

Accessibility: marketplace		
	Freq.	Percent
Better off	531	22.13
Worse off	1030	42.93
Same	837	34.89
Don't know	1	0.04
Total	2399	100.00

Accessibility: capital		
	Freq.	Percent
Better off	379	15.79
Worse off	1317	54.88
Same	700	29.17
Don't know	4	0.17
Total	2400	100.00

Accessibility: technology pertaining to source of income		
	Freq.	Percent
Better off	454	18.91
Worse off	1066	44.40
Same	872	36.32
N/A	3	0.12
Don't know	6	0.25
Total	2401	100.00

Agricultural Production

Engaged in crop farming?		
	Freq.	Percent
Yes	1749	72.84
No	652	27.16
Total	2401	100.00

Engaged in raising livestock?		
	Freq.	Percent
Yes	1906	79.38
No	495	20.62
Total	2401	100.00

Engaged in fishing?		
	Freq.	Percent
Yes	252	10.50
No	2149	89.50
Total	2401	100.00

Housing and Amenities

Type of building/house	Freq.	Percent
Single house	2306	96.04
Duplex	29	1.21
Apartment/condo	1	0.04
Improvised house	58	2.42
Commercial/industrial/ agricultural building	3	0.12
Other	4	0.17
Total	2401	100.00

Roof: type of materials	Freq.	Percent
Strong (galvanized iron, aluminum, tile, concrete, brick etc.)	929	38.69
Light (cogon, nipa)	1092	45.48
Salvage/makeshift materials	14	0.58
Mixed but predom. strong	218	9.08
Mixed but predom. light	145	6.04
Mixed but predom salvaged	3	0.12
Total	2401	100.00

Walls: type of materials	Freq.	Percent
Strong	373	15.54
Light	1058	44.08
Salvaged	37	1.54
Mixed but predom. strong	503	20.96
Mixed but predom. light	401	16.71
Mixed but predom. Salvaged	28	1.17
Total	2400	100.00

Tenure status	Freq.	Percent
Own house and lot	783	32.61
Rent house/room incl. lot	17	0.71
Own house, rent lot	142	5.91
Own house, rent-free lot with consent of owner	1164	48.48
Own house, rent-free lot without consent of owner	134	5.58
Rent-free house and lot with consent of owner	161	6.71
Total	2401	100.00

Floor area	Freq.	Percent	Cum.
<10 sq. meters	617	25.71	25.71
10-29	1004	41.83	67.54
30-49	370	15.42	82.96
50-69	283	11.79	94.75
70-89	62	2.58	97.33
90-119	41	1.71	99.04
120-149	10	0.42	99.46
150-199	3	0.13	99.58
>200	10	0.42	100.00
Total	2400	100.00	

	Obs	Mean	Std. Dev.
No. of rooms	2400	2.70	1.29

Is there electricity in the house?	Freq.	Percent
Yes	977	40.69
No	1424	59.31
Total	2401	100.00

Have radio/stereo?	Freq.	Percent
No	1011	42.11
Yes	1390	57.89
Total	2401	100.00

Have refrigerator?	Freq.	Percent
No	2189	91.17
Yes	212	8.83
Total	2401	100.00

Have gas stove/range?	Freq.	Percent
No	2122	88.38
Yes	279	11.62
Total	2401	100.00

Have motorcycle/tricycle?	Freq.	Percent
No	2285	95.17
Yes	116	4.83
Total	2401	100.00

Have car/jeep?	Freq.	Percent
No	2396	99.79
Yes	5	0.21
Total	2401	100.00

Annex 6: TOR for Qualitative Component

TOR for the Qualitative Research Component of the KALAHY-CIDSS Impact Evaluation

1. The KALAHY-CIDSS

Using CDD approaches, the KALAHY-CIDSS seeks the empowerment of local communities through their improved participation in local governance and involvement in the design, implementation and management of poverty reduction projects. This objective, which establishes a strong link between improved local governance and poverty reduction, is pursued through three components: (a) provision of community grants; (b) implementation support to strengthen formal and informal local institutions; and (c) monitoring and evaluation.

The KALAHY-CIDSS will be implemented over six years in 4,270 villages and 177 municipalities in the 42 poorest provinces of the Philippines. The provinces are selected based on poverty data from the National Statistics and Coordination Board (NSCB). Using a municipal poverty mapping developed by the Asia-Pacific Policy Center, the poorest one-fourth of all municipalities within a target province are selected to participate in the KALAHY-CIDSS. All villages in a municipality are eligible to participate in the project.

Implementation of the KALAHY-CIDSS is divided into four phases. Phase 1 was launched in January 2003 and covered 201 villages in 11 municipalities of 11 provinces. Phase 2 was launched in July 2003 in 1,302 villages and 56 municipalities of 11 additional provinces. Phase 3 will be launched in 2005³⁴ in 700 villages and 28 municipalities in 20 additional provinces and phase 4 will be launched in 2005 to cover the remaining 53 municipalities. The total project cost of the KALAHY-CIDSS is US\$182.4 million – the Bank finances US\$100 million, the national Government finances US\$31.4 million, and villagers and local governments contribute US\$51 million.

The Department of Social Welfare and Development (DSWD) is implementing the KALAHY-CIDSS in 16 steps for the villagers to follow (see Annex 1). Through these 16 steps, villagers prioritize their development needs, design activities, seek technical assistance, manage resources, and implement and operate development interventions. This organized experience in collective action – repeated three times in each targeted area – is designed to develop the capacity of poor villagers to help themselves and engage better with local governments and national agencies. As this capacity develops, villagers are also expected to take a more active role in improving the delivery of other pro-poor services and initiate new development activities. While the approach is appealing it is necessary to collect evidence about whether the KALAHY-CIDSS enhances not only community welfare, but also communities' ability to address and solve their own problems.

2. Background

The DSWD and the World Bank are committed to a careful impact evaluation of the KALAHY-CIDSS. The evaluation follows the “good practices” prescribed by experts in that it collects quality baseline data

³⁴ Phase 3 implementation was originally scheduled to start in early 2004, but was delayed due to a reenactment of the 2004 National Budget.

in a representative sample of both intervention groups and matched comparison groups. As the source of ex-ante information for the KALAH-CIDSS, a quantitative baseline survey was implemented in Phase 3 municipalities in the fall of 2003. It served as the first round of a panel survey that will track 2,400 households and 132 villages before, during, and after project implementation. Congruent with the project's objectives, the survey describes household and community conditions in the project areas, particularly characterizing the degree of empowerment, quality of governance and poverty level of intended KALAH-CIDSS beneficiaries. This provides benchmark data by which relative successes (and failures) can be measured later on.

Table A6.1: Survey Municipalities

Province	Intervention municipalities	Comparison municipalities
Albay	Pio Duran Libon	Malinao Polangui
Capiz	Ma-ayon Dumarao	Pontevedra President Roxas
Zamboanga del Sur	Dinas Dumingag*	Tambulig Dimataling
Agusan del Sur	Esperanza San Luis	Bayugan Veruela

* The baseline survey was originally implemented in Dinas and San Pablo. However, when DSWD decided not to include San Pablo in Phase 3, the enumerators went back to the field and collected data in Dumingag, which is a match to the comparison municipality Dimataling.

The primary objective of the impact evaluation is to assess the impact and performance of the KALAH-CIDSS by examining the extent to which the project's results concur with its initial objectives. The impact evaluation will inform policy makers and project implementers of the strengths and weaknesses of the innovative strategies of the KALAH-CIDSS. Its specific objectives are to:

1. evaluate the extent to which current and future poverty is reduced in the target municipalities;
2. determine the impact of the KALAH-CIDSS on poverty social capital, empowerment and governance; and
3. examine the processes by which poverty has been reduced and communities have been empowered.

The quantitative instruments consist of household level and village official surveys. The survey instruments were designed in close cooperation with the DSWD to respond to the operational needs of KALAH-CIDSS project management.

3. Purpose

Qualitative research will be undertaken to complement the quantitative household and barangay official surveys. The purpose of this work will be to expand the KALAH-CIDSS' information base and improve the understanding of the project's impact on poverty reduction, social capital, empowerment, and governance. The component will be designed to (a) verify and explain some of the findings and responses coming out of the quantitative survey; and (b) to provide richer, descriptive information regarding the key poverty and governance themes of the KALAH, examining in greater depth the "hows" and "whys" of local level dynamics and context,

as well as what villagers themselves deem important. Such contextual issues are not captured fully using a quantitative survey instrument, especially for process and perception variables reflecting preferences, attitudes, and priorities. Qualitative methods will allow the project staff to understand important poverty and governance characteristics that are less readily amenable to quantification and that will be captured more fully through conversations and open-ended inter-active interview formats, than formulaic questionnaires.

4. Research locations

The qualitative research will take place in the same municipalities and provinces that are covered by the quantitative surveys (see Table 1). The contractor is expected to collect data at both the barangay and municipal level. To allow for as much depth as possible, the contractor will conduct this research in one intervention and one (matched) comparison municipality in each of two provinces. Within each of these municipalities, a selection of five villages (already covered by the quantitative survey) will be researched. A total of four municipalities and twenty villages will thus be covered under the qualitative study.

The specific research locations will be chosen by the contractor together with the DSWD and the World Bank. *The final decision on research locations will be made by the DSWD.*

5. Methodology and data collection

The qualitative research assumes that much can be learned about critical KALAH I themes and outcomes through an in-depth study of selected areas. The component will be developed by the contractor in close cooperation with the DSWD and the World Bank. It will be based on the insights learned from the quantitative baseline survey and will focus on selected themes identified, primarily those of social capital, empowerment and governance. The qualitative research will also aim to provide additional information on the effectiveness of project implementation.

Examples of themes to cover include:

- Participation in implementation of KALAH I and non-KALAH I projects
- Transparency and access to information
- Accountability
- Corruption
- Complaints handling; conflict and dispute resolution mechanisms
- Local government practices, governance, decision-making processes
- Roles of traditional and other informal leaders
- Social capital (groups and networks, trust and solidarity, collective action and cooperation, social inclusion, information and communication).

The qualitative component will consist of focus group discussions and key informant interviews at two levels:

- in the barangays: with community members (including different groups such as women, men, youth, marginalized groups, indigenous peoples, project implementation teams etc.), formal and informal leaders, and KALAHI facilitators
- at the municipal level: local government officials and staff

Field data collection techniques will also include direct observation, personal narratives, and review of project documentation such as village social maps and wealth ranking documents, project proposals, and financial records. *The field teams will spend at least 15 days in each village.*

The contractor is expected to sub-contract tasks outlined in this TOR if there are other individuals/firms/organizations with comparative advantage in undertaking specific parts of the assignment.

6. Budget

TBD.

7. Deliverables and disbursement

Of the total fee, the World Bank will pay the contractor

- 10 % on acceptance of the contract (estimated date February 15, 2005).
- 40% on acceptance of qualitative design report and data collection instruments (estimated date March 1, 2005).
- 25% on acceptance of progress report on the qualitative component (estimated date April 15, 2005).
- 25% on acceptance of final report on the qualitative component (estimated date July 1, 2005).

8. Documentation and Report Format

All field researchers will keep detailed field notes from their field work. The notes should include their personal observations from the day's meetings and observations, research notes from the discussions and interviews, and useful quotations. The contractor will prepare a final qualitative report that includes:

- Executive Summary
- Introduction and background
- Purpose of the research, key evaluation themes
- Methodology

- Main thematic issues and findings from the 20 villages. Some preliminary analysis and references should be made to the findings of the quantitative surveys
- Conclusion and recommendation

Annexes:

- Summary of each village and municipality – basic data and study findings
- Interview guides