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Report on the Outputs and Impact of
IDRC-Supported Research Projects in Urban and Regional Development

Prepared for the

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Executive Summary

Introduction

This report presents the findings of a survey of IDRC-supported research projects in urban and regional development. The survey was commissioned by the Associate Director of the Urban Development Program in order to review past experience in support for urban research and to identify possible directions for future support.

A questionnaire was sent to the project leader of each of 92 completed projects, asking for details on project outputs and the dissemination of research findings, as well as the project leader's views on the project's effects on policy development, on intended beneficiaries, and on the capacity to address development problems. The questionnaire also sought respondents' perspectives on research priorities in the field of urban development.

Survey Results

The response rate for the survey was 51%. The results indicate that outputs of these projects were much greater than existing IDRC records showed. All projects produced technical reports as required by IDRC; most produced additional outputs, mainly published books or book chapters and journal articles. Fewer projects produced visual, audio-visual and related materials. However, over half of the projects disseminated results through some form of mass media. Project results were presented at workshops or conferences in over 85% of cases, with researchers and governments being the main audiences although a variety of other groups also participated. Respondents indicated that they had been relatively satisfied with dissemination of the research results to the main intended target groups, primarily researchers and government policymakers. However, they were reportedly less successful in reaching the population studied, which was also considered an important target group. Project leaders' responses regarding satisfaction with dissemination also highlight the need to consider issues beyond production of outputs, such as distribution, availability and language of publications. ✓

Policy development was important in most projects. In general, respondents reported low to moderate influence on policy development, with greater influence in a few cases, particularly in the areas of urban management and the informal sector. "Influence" included implementation of programs in line with the recommendations, influence on policy design, or bringing attention to the issue or changing policymakers' attitudes. Links between researchers and policymakers, more than dissemination of results through publications or other means, appeared to be important in enabling

projects to have an influence on policy development. Such links included researchers acting as consultants or participating on advisory committees to policymakers, or policymakers participating directly in the research.

A considerable number of respondents felt that policy recommendations had been utilised, although not all provided details. Local and national governments were reported most often to have utilised recommendations; respondents were less certain in the case of utilisation by non-governmental organisations, productive enterprises, and the population studied. Project recommendations were utilised to varying extents, some reportedly contributing to the implementation of programs, others to the design of plans or policies, still others to influence on policymakers' attitudes, or to attracting policymakers' interest. Links between researchers and policymakers, including personal contacts as well as institutional linkages, were instrumental in facilitating the utilisation of recommendations. The responses also highlighted the importance of other conditions, such as the political and economic situation, the quality of the research, and availability of resources to implement the recommendations, in affecting utilisation. The survey also underlines the difficulty of discerning influence and utilisation with any certainty.

Over half of respondents reported that the research had had some effect on target populations or intended beneficiaries. The impacts reported included awareness-raising among target populations, improvements in programs affecting target populations, or changes in policymakers' attitudes. Contact between researchers and target populations appeared to have been just as important in determining whether the research had an effect on target populations as was influencing policymakers.

Respondents also reported a high degree of training and increased capacity to address development problems. Projects contributed not only to the development of research skills such as questionnaire design, data collection and analysis, and project management, but also to skills in multidisciplinary research, teamwork, and working with other research and policymaking institutions. Projects also contributed to the completion of degrees mainly at the Masters and Bachelors level.

Most respondents felt that urban issues had become more important in the last decade, and many agreed that national and international support for urban research had increased. Respondents identified priorities in urban research for development as including local government structure and urban management, urban service delivery and financing, access to shelter, land and services, participation, the informal sector, the urban economy and the effect of macroeconomic policy on urban centres, and the urban environment. In general these were expected to continue as priorities in the future. Respondents identified similar priorities when asked to identify current priorities in their own countries; their responses were consistent across regions. However, there was some variation with regard to future priorities, with more-

developed countries in Asia and Latin America giving less emphasis to issues of poverty and more to issues such as quality of life, changing social relations and the effects of more advanced technologies.

Recommendations

- ✓ 1. Develop mechanisms to follow up on project outputs, including those produced after project completion.
- ✓ 2. Encourage recipients to consider all issues related to publication (language, accessibility of publications, length, etc.), and beyond publication (distribution, the response of users, etc.).
- ✓ 3. Continue to support conferences, seminars and workshops as useful way of disseminating research results to policymakers, other researchers, and other groups.
- ✓ 4. Investigate hypotheses on the success of various kinds of outputs in reaching target audiences, as well as the impact of these outputs on policy development and on target populations (e.g. Do published books reach policymakers? Are audio-visual materials more likely to reach the general public?)
- ✓ 5. Support information exchange, networking, inter-comparative research within and between regions, id
- ✓ 6. During project development, continue to ensure t objectives, target groups, the costs of dissemination facilitate and inhibit utilisation, feasibility of implem users and beneficiaries, how the users and beneficia research, and their interest in the research.
- ✓ 7. Conduct further investigation on processes of p and on how these processes are influenced by research the nature of government, the economic situation, and the relationship of research to policymakers; use the experience of past projects but also undertake or support additional research on these issues.
- 8. Assess the needs of policymakers (kind of information needed, the most suitable format, etc.) and of beneficiaries; investigate the attitudes of researchers towards utilisation and impact.
- ✓ 9. Where feasible, encourage links, formal or informal, between researchers and policymakers and between researchers and beneficiaries.
- ✓ 10. Given the importance of indirect effects of the research on target populations -- e.g. where target populations benefit from the research process itself rather than from implementation of recommendations by policymakers -- further investigation could be undertaken of the process of research and its effects.
- ✓ 11. Consider increasing support for urban research, or at least for areas identified as priorities (the urban environment, urban economy and impact of macroeconomic policies and debt on urban life; management and delivery of basic services, access to housing and land, poverty and survival strategies, and participation in these). A wider

Some reference to the fact that much is missing in IDRC library holdings!

also about the project research while about a survey

survey of research priorities would help to identify topics which most require support.

✓ 12. Consider further evaluation of the influence, utilisation and impact of IDRC-supported research, since these are complex issues on which information is not readily available. A survey of the kind undertaken here is useful in providing more information on outputs and outcomes of completed projects than would otherwise be available. It does, however, have limitations, particularly with regard to obtaining information on utilisation and impact. The use of other data sources for such information should be considered e.g. interviews with or questionnaires for users or beneficiaries of the research.

| agree

I. The Survey

A. Introduction

A. 1. Background to the Study

The International Development Research Centre (IDRC) has been supporting research projects on urban issues in the developing world since the early 1970s. Support for research on urban issues was first undertaken within the Social Sciences Division by the Rural-Urban Dynamics Program, and after 1977 by the Population Program and the Economics and Rural Development Program. Funding of research into urban problems was consolidated and expanded in 1982 with the creation of an Urban Policy Program, which was renamed the Regional Development Program in 1988 and the Urban Development Program in 1989 as it evolved to address changing research priorities *within IDRC. (Beane: not to confuse with research priorities in LDCs)*

In order to review this experience in support for urban research, the Associate Director of the Urban Development Program in late 1989 commissioned an evaluation ^{ve} ~~related~~ survey of past projects in urban and regional development. This report presents the findings of the survey and conclusions and recommendations which have been made based on the findings.

A. 2. Organisation of the Report

Part I describes the background to and purpose of the study, the methodology and time frame for the survey, and limitations of the study. Part II presents findings on outputs and dissemination of research results. Part III presents findings on project impacts. Part IV discusses the findings on trends and priorities in urban research for development. The concluding section, Part V, presents recommendations for future IDRC support for urban research, as well as recommendations for future evaluation-related surveys.

B. Purpose of the Survey

According to the IDRC Act of 1970, the objectives of IDRC ("the Centre") are "to initiate, encourage, support and conduct research into the problems of the developing regions of the world and into the means for applying and adapting scientific, technical and other knowledge to the economic and social advancement of those regions...."

Centre support is directed towards research which is intended to contribute to the solution of development problems and which is targeted to benefit the poor.

Within IDRC, the Social Sciences Division supports research which aims to help societies gain an understanding of development processes and the effects of these processes on people and social institutions, in order to facilitate the identification of problems and solutions and the formulation of effective policies. The Division's stated objectives include contributing to the sustainable economic growth, social participation, self-reliance, and well-being of societies, particularly their poorest members; increasing the capacity to undertake high-quality and policy-relevant social science research in developing countries; and promoting the dissemination and utilization of that research (IDRC, 1988).

There has been increasing attention paid within the Centre to investigating the extent to which the research it supports meets these development objectives. This has included attention to the dissemination and utilisation of research results arising from projects, and to the impact of research projects on development processes and on the intended beneficiaries of the research, namely people most affected by poverty.

It is in this context that the survey of completed projects in urban and regional development was undertaken. The survey was designed to review the experience of past projects, not only with regard to their tangible outputs or "products" and the dissemination of these, but also to their less tangible outcomes including the utilisation and impact of research results and recommendations. The survey was intended to obtain an indication of the extent to which research results or knowledge gained have been translated into policy or otherwise utilised. Additional aims were to examine the extent to which projects have affected research capacity and the ability to address development problems. Finally, it was hoped to obtain an indication of whether the lives of the intended beneficiaries had been affected in any observable way as a result of the research. Such information would provide a sense of if and how IDRC-supported urban research projects have contributed to processes of economic and social development.

This information is needed to determine if Program objectives and wider Centre objectives are being met, yet is not routinely available to IDRC after the completion of projects. In the usual project cycle, the Project Completion Report is used to evaluate the quality of the research and the extent to which the research objectives were met, and provides a preliminary indication of project outputs, but generally is not useful in obtaining an indication of the longer term outputs and impact of the research. Such information may become available to IDRC through subsequent contact between past project researchers and IDRC Program staff, but this does not occur for all projects nor on a regular basis, nor does this information necessarily become part of the "corporate memory" at IDRC.

Understandably, the longer term outcomes of research projects can be difficult to trace. Utilisation of results by policymakers or other groups, or any influence of the research on policy development, may well not be observable. Moreover, it is often impossible to attribute observable changes in policy or in living conditions of the poor to any one research project. The survey of research projects on urban and regional development was implemented in the belief that it is nonetheless important to seek, in a relatively systematic way, an indication of the outcomes and effects of projects which have been supported. Such information, while it may be incomplete, is useful.

An additional objective of the survey was to investigate the opinions of respondents about trends in support for research on urban issues and priorities for present and future research in the field of urban development. It was believed that the opinions of researchers with firsthand knowledge of the field in their respective countries would assist the Urban Development Program in identifying ways of responding to research needs in these countries. This information is complementary to the evaluation of past support in that both can be used to assess future directions for support.

C. Survey Methodology

C. 1. Population Surveyed

The survey included all completed projects involving research on issues of urban and regional development which were approved within the Social Sciences Division between fiscal years 1980/81 and 1986/87. A list of projects included in the survey appears as Appendix A. Most of these projects were originally funded by the Urban Policy Program (1982-88), although some were begun under the Population and Economics and Rural Development Programs (projects undertaken between 1980 and 1982) and all subsequently became the responsibility of the Regional Development Program in 1988, and then of the Urban Development Program in 1989.

A total of 92 projects were included in the survey. In the case of a single grant with two or more components, such as a network project with a number of participating institutions, each component was considered a separate "project" since the outputs and outcomes of each are often distinct.

The leaders of these projects (the individuals defined in the IDRC Project Summaries as "project leaders") constituted the survey population. The opinions and perspectives of these former project leaders were solicited because it was believed that being responsible for planning, coordinating and undertaking all phases of the research, as well as continuing to be "on-site" after the IDRC-supported projects' completion, the project leaders were in a position to provide information on outputs, dissemination

and effects of the research.

C. 2. Survey Instrument

A questionnaire was designed and mailed to the population surveyed. The questionnaire was adapted from questionnaires which had previously been used for similar surveys undertaken by the former Science and Technology Policy Program and by the Population, Education and Society Program, although a number of elements were added and others omitted from these earlier questionnaires.

The survey used a combination of closed- and open-ended questions to obtain both quantitative and qualitative data. The quantitative data were sought in order to obtain common responses which would facilitate data analysis and provide an overview of trends if any. The qualitative data were solicited to provide details about the quantitative data obtained, to obtain responses which had not been anticipated during questionnaire design, and to capture information or points of view which would be more meaningful in qualitative form.

A copy of the questionnaire appears in Appendix B.

Requesting a large amount of information in one questionnaire was seen as a possible factor inhibiting completion of the questionnaire by respondents. However, it was felt that the questionnaire should be comprehensive enough to obtain in one endeavour the desired information from project leaders.

The questionnaires and covering letters were sent to recipients in either English, French or Spanish, depending on the language used by the recipient.

C. 3. Confidentiality

The respondents were informed that the survey results would be presented in a final report in which the identity of each individual respondent would remain confidential. In this report, respondents are referred to only by identification numbers which were assigned randomly by the author.

Some of the project-specific data collected through the questionnaires were extracted and appended to project files so as to provide in each file a more complete and current record of the outputs and outcomes of each project. (See Part I Section F "Outputs of the Survey" for details.) Identities of the project leaders would be evident in this case.

C. 4. Data Analysis

Most of the project-specific and qualitative data were entered into a textual database, CDS/ISIS, which was used to generate reports on the outputs and outcomes of individual projects and to aid in analysis of the qualitative data.

Quantitative and some qualitative responses were coded and analysed using SPSS-PC+ statistical software. Descriptive and summary statistics were obtained for most variables. Bivariate analysis using crosstabulations was done for a number of combinations of variables.²

D. Time Frame for the Study and Procedure for Implementation

For each project surveyed, a questionnaire about the project was mailed to the director of the recipient institution, along with a covering letter explaining the purpose of the survey and asking the director to forward the questionnaire to the project leader. The letter requested that, where the project leader was unavailable, the questionnaire be completed by another member of the research team or someone familiar with the project, or be returned to IDRC uncompleted. (In a few cases, where the project leader's present location was known, the questionnaire was sent directly to the project leader.)

The English version of the questionnaire was mailed to recipient institution directors in November 1989. Following translation of the questionnaires into French and Spanish, the translated versions were mailed in April 1990.³ Reminder letters were sent in May 1990 (English letters) and June 1990 (French and Spanish letters). Additional reminders were sent in July 1990 (English letters).

The cutoff date for accepting completed questionnaires was set at 31 August 1990. However, 3 completed questionnaires received after this date were included in the survey.

²Further bivariate and multivariate analysis could be done on the data and using additional data from project files. However, the extent to which this can be done is limited; see Section G "Limitations of the Survey" and Parts II and III of the report.

³Although the survey commenced in late 1989, work on it was postponed between January and May 1990 because the consultant conducting the survey was contracted to undertake other duties for the Urban Development Program. The survey resumed in June 1990.

E. Response Rate

A total of 47 completed questionnaires were received, of 91 questionnaires mailed out. (The total number of projects included in the survey is 92; this discrepancy is because in one particular case, 1 questionnaire was sent to 1 recipient for a project with 2 separate phases. The project leader completed a separate questionnaire for each phase, because each phase had distinct outputs and outcomes. Thus they are considered as 2 separate projects in the analysis.)

*the way
that it
presented
makes it
a bit
confusing*

The response rate for 92 questionnaires was 51%.

F. Outputs of the Survey

1. This report is one of a number of outputs from the survey exercise. It contains a description of the survey, the results of the data analysis, and conclusions and recommendations.
2. Details on publications produced, seminars held, recommendations made, impact, and other project-specific information collected in the survey have been used to produce reports on each project. These reports provide a more complete picture of the outputs and outcomes of individual projects than what is presently available and so update project files, post-project abstracts and project completion reports.
3. Bibliographic data collected through the survey will enable the IDRC Library to update listings of reports and publications arising from IDRC-supported projects. In addition, some of the respondents sent articles or books which were produced as a result of the project along with their completed questionnaires. These materials have been circulated to Program staff and forwarded to the IDRC Library.
4. Many respondents indicated changes of address which can be used to update the Program's contact database.

G. Limitations of the Survey

1. The validity of the survey is limited by the willingness of former project leaders to complete and return the questionnaire. The survey results do not include the opinions of non-respondents.
2. Responses depend on the ability and the willingness of respondents to recall or

*too obvious
to be mentioned
?!*

review the project outputs and outcomes.

3. The responses are based on the opinions and perceptions of project leaders, and are not an "objective" measure of outputs and outcomes of projects, particularly in the case of utilisation and impact. These latter in particular can be difficult or impossible to identify. In addition, error may occur in the responses, for example, because of respondents who overvalue (or undervalue) the project's success or give answers they believe are expected by IDRC. | ✓

4. Responses depend on the respondents' interpretations of the terms used in the questions and in the response alternatives, even when terms were defined (e.g. "policy development"). Respondents may have different interpretations of the meanings of terms, even in questions which appear "objective" such as those relating to outputs (e.g. respondents may not agree on what constitutes an "unpublished paper").

In a few cases, qualitative responses included information which would have answered another question (e.g. when respondents described the research's effect on policy in answer to the question on the research's impact on the target population); these "misplaced" answers were not always captured in the analysis. — but could have been ?

5. The responses are likely to have been affected by language, particularly for respondents whose first language was not one of the three used in the survey (French, English and Spanish). In addition, translation of questionnaires and retranslation of responses into English for the purposes of analysis may have resulted in inaccurate data. *this was checked* *some?* *I doubt it...*

6. Coding of the qualitative data was based on subjective categories of the analyst and may not always reflect the intentions of the respondents.

7. Comparison among responses is limited because of (i) ~~the fact that~~ projects did not all begin and end at the same time (some have had more time than others to produce outputs or to have an observable impact; on the other hand, emphasis on utilisation may have been more pronounced in later projects, reflecting trends within the Centre, thus increasing the likelihood of utilisation in later projects); and (ii) the large time period allowed for responses, ^{was not} some completed questionnaires were received as early as January 1990, whereas many were not received until between August and October 1990.

8. Related to the above, the survey is necessarily a "snapshot" view of an ongoing process of dissemination, utilisation and impact of research results; this limits the

accuracy of the findings presented in this report.⁴

9. The response rate depended in part on the Urban Development Program having current addresses of former recipients, and on the ability of the recipient institution directors to locate project leaders who had moved to other institutions.

10. In many of the completed questionnaires, responses were missing for some questions. In these cases the responses were recorded as "missing data", although in many cases it is likely that the respondent intended to give a negative or "not applicable" response.

11. The response rate is greater than 50%, which allows for some conclusions to be drawn based on the findings. However, in terms of actual numbers, the small number of respondents and, (when responses are broken down further, the small numbers of responses for each value limits the significance of some of the conclusions.) *yes*

12. Due to some of the above limitations, the findings of this survey cannot be generalised to a wider population (including to nonrespondents), (nor to projects not included in the survey.) *-OK*

Here again, I don't really agree - The point of statistics is to generalize based on incomplete populations (samples). Here, you have over half of all urban projects ever funded, and I doubt that if you had had a 75% - even a 100% - sample that your responses would have been significantly different.

I don't really agree with this. The actual number (47) isn't bad. The response rate, though quite good in this case (51%), shouldn't be emphasized too much - remember that political polls are based on less than 1/10 of 1% and are very accurate. So, representativeness depends on both size and rate, and

⁴ A concrete illustration of this is that in at least 2 known cases, additional publications arising from projects surveyed were received by the Urban Development Program after completed questionnaires had been received; these publications had not been recorded on the questionnaires.

equally important, on the degree of homogeneity/heterogeneity within the population studied.

II. Project Outputs and Dissemination of Research Results⁵

The completed questionnaires provided information on reports, books, journal articles, other published and unpublished works, and other products arising from projects, as well as on dissemination of information about the projects through the mass media and through workshops, conferences and seminars. Bibliographic information about works produced (author, title, year, and publisher if applicable) was recorded for individual project files; in this analysis only the numbers of each kind of output are presented.⁶ While aggregate numbers do not give a clear indication of the nature of the outputs, they can help to illustrate the range of outputs produced and the methods by which information about projects was disseminated. It should be kept in mind that the numbers may not be precise, due to some of the limitations indicated in the previous section and the fact that some reports and books may be counted more than once, as in the case of networks which jointly published research results. Thus the numbers provide at best an indication of outputs and dissemination of project results, not an exact record.

A. Outputs

A summary of the outputs produced by the projects surveyed appears in Figure 1.

A. 1. Technical Reports

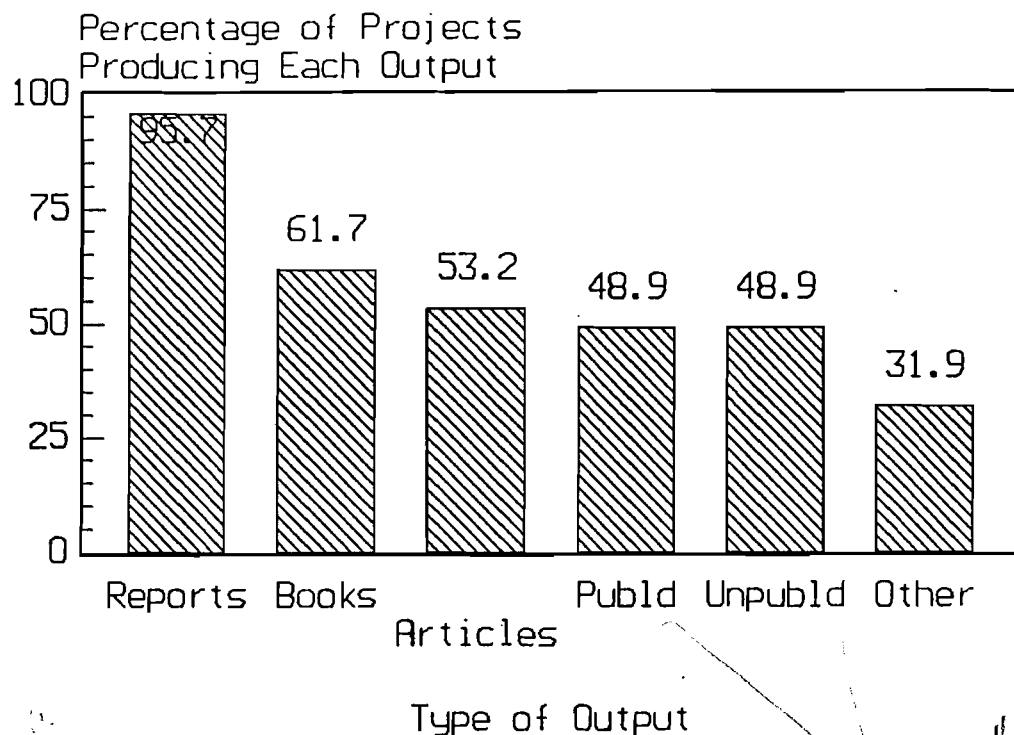
The technical report was defined in the questionnaire as "the document which presents the project's methodology, findings, conclusions and any policy recommendations....which normally is submitted to IDRC at the completion of a project". For all but 2 of the 47 projects, respondents reported producing at least one technical report.^{7 8}

⁵This section summarises the survey findings. For selected descriptive and summary statistics see Appendix B. For frequency tables and bar charts see Appendix C.

⁶Items indicated as "forthcoming" but for which authors and titles were specified are included in the counts.

⁷Both of these projects published books which were accepted by IDRC as a final report fulfilling the requirements set out by the Memoranda of Grant Conditions.

PROJECT OUTPUTS



10

Figure 1

(Ideally figure should stand on its own, without need to refer to text)

It is useful to compare the responses to a listing of IDRC Library holdings on the projects surveyed. For many of these projects, the IDRC Library indicated that it had no holdings, whereas the survey indicates that almost every project produced at least one report. Only 30 of the 65 reports which respondents identified were listed as being among the IDRC Library's project holdings. This suggests that IDRC Library records on "technical reports" produced by projects were incomplete at the time of the survey. (Some of these reports may have been received by IDRC but were not yet sent to or catalogued by the Library. However, the large discrepancy suggests a need to explore this issue further.)

A. 2. Books and Book Chapters

In 61.7% (n=29)⁹ of projects, at least 1 book or book chapter containing project findings was published. In almost half of these (n=14), the findings were published

⁸The number of reports produced per project is not examined here, because some respondents may have reported separate volumes of the report as individual reports while others described them as one report.

⁹The number specified in brackets following the symbol "n=" refers to the number of cases.

in more than 1 book. A total of 72 books or book chapters were reported to have been produced for projects responding. Of these 72, 61 were not listed in the IDRC Library's project holdings.

When the number of books produced is cross-tabulated with region (represented by each of IDRC's regional offices), production of books appears to have been concentrated in Latin America and the Caribbean (LARO), and secondarily in South-east and East Asia (ASRO) (see Appendix C). However, it is difficult to draw conclusions because of the relatively large number of responses from these regions compared with few responses from other regions. A summary of the number of books produced per geographical region appears in Figure 2.

Figure 3 shows the production of books for each type of recipient institution. Again, comparisons must take into account the different totals for each institution type responding.

A. 3. Journal Articles

Over half of the projects reported publishing journal articles. Of the 85 journal articles reported by respondents as having been produced, only 1 was listed in the IDRC Library holdings of project-related documents.

Figures 4 and 5 show, respectively, the output of journal articles by region and by institution type. Of note is the fact that government recipients did not produce any journal articles, and that projects in Latin America generally produced more articles per project than those in other regions. ✓

A. 4. Other Works

In 48.9% (n=23) of projects, other published works were produced, and in the same percentage of cases other unpublished works were produced. In both of these categories, the most frequently occurring number of other works per project was 1. Type of published works reported ranged from World Bank and United Nations reports and discussion papers to articles in IDRC Reports, published conference proceedings and papers in series published by universities. Unpublished works included papers presented at conferences, reports intended for academic or government use, theses, and indexes of materials on a particular subject.

NUMBER OF BOOKS/BOOK CHAPTERS PRODUCED
PER PROJECT, BY REGION

12

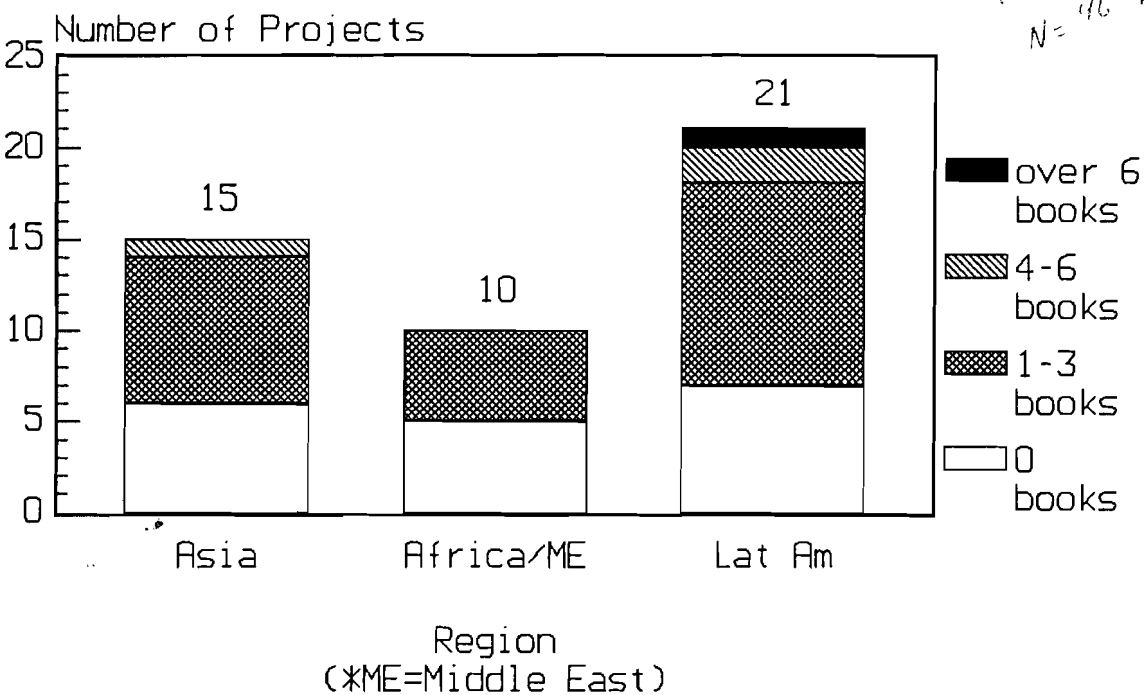


Figure 2

NUMBER OF BOOKS/BOOK CHAPTERS PRODUCED
PER PROJECT, BY INSTITUTION TYPE

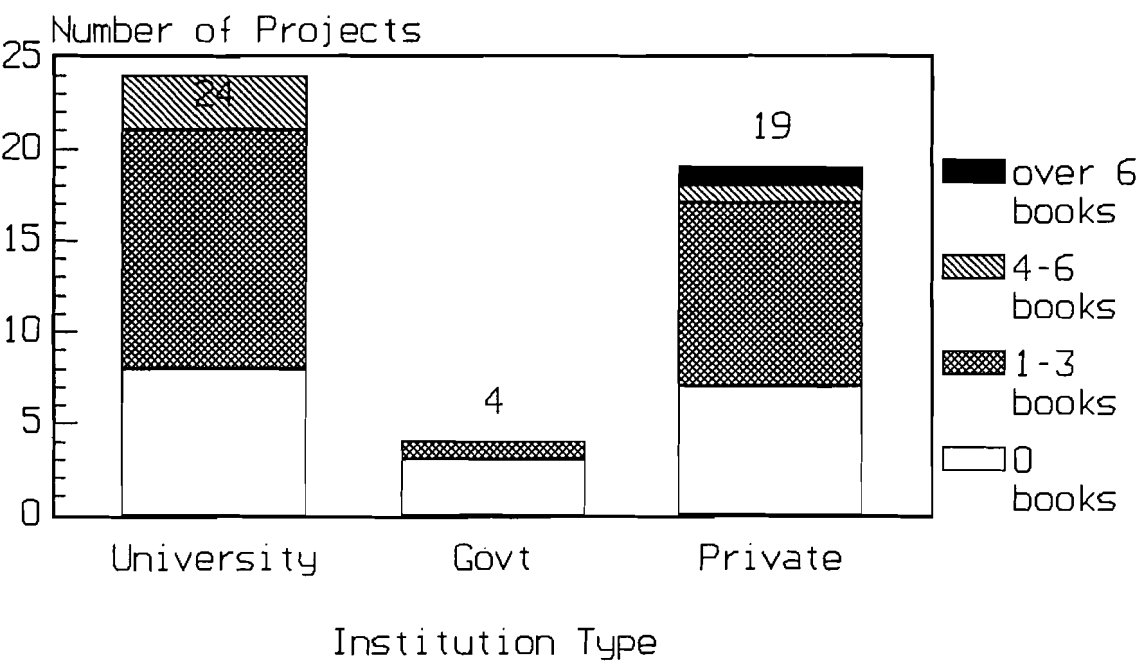


Figure 3

NUMBER OF JOURNAL ARTICLES PRODUCED PER PROJECT, BY REGION

13

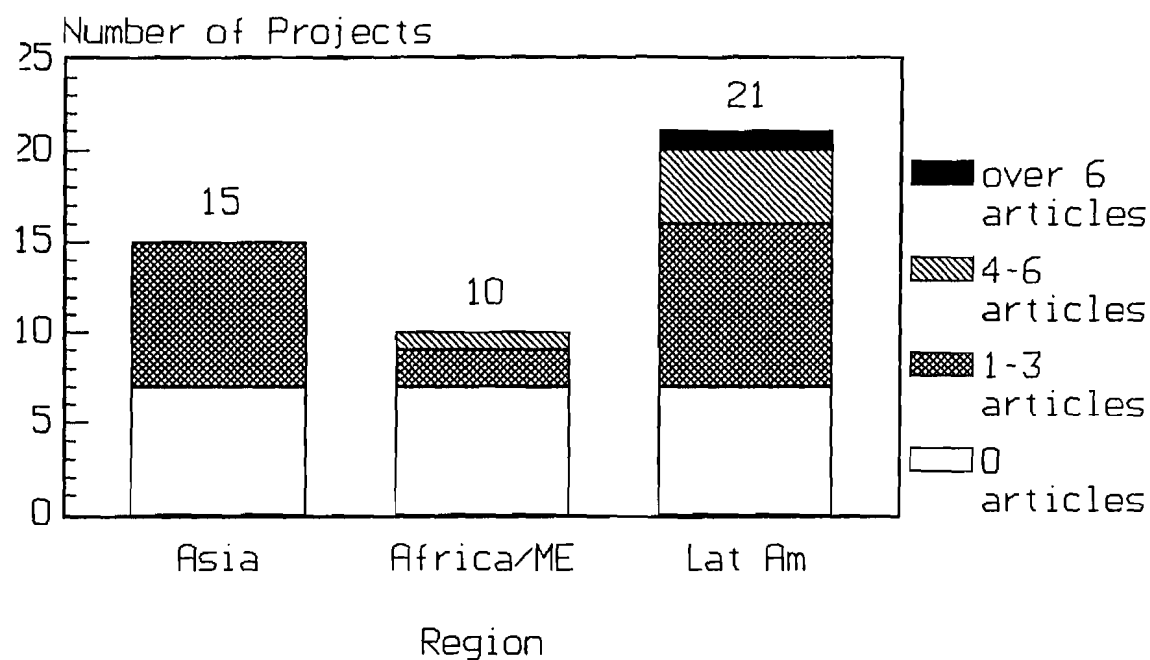


Figure 4

NUMBER OF JOURNAL ARTICLES PRODUCED PER PROJECT, BY RECIPIENT INSTITUTION TYPE

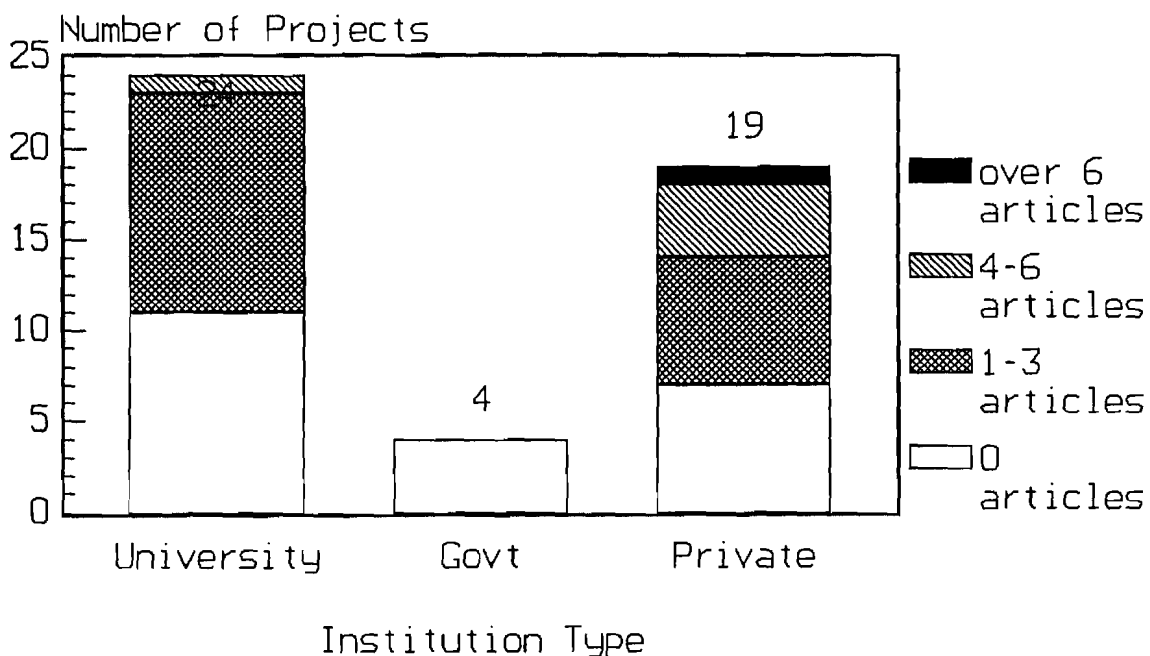


Figure 5

A. 5. Other Products

Less than a third of projects (n=15) reported other products. Those that did reported producing lecture or teaching materials for graduate and undergraduate courses (10.6% of projects, or n=5)¹⁰; cuadernos populares or "comic books" for popular dissemination (4.3%, or n=2); and a database for future research use (2.1%, or n=1)¹¹. Several projects produced visual aids such as photographs, drawings, and transparencies (6.4%, or n=3), maps (2.1%, or n=1), audio-visual programs (6.4%, or n=3), and materials for training technical staff of governments or target populations (4.3%, or n=2).

A. 6. Mass Media

Dissemination through the mass media occurred for a significant number of projects, as can be seen from Figure 6. (Information was gathered on the number of articles or programs in which information about the project appeared, but this does not reveal the extent of media coverage, which would be affected by factors such as length of the articles or programs, frequency of their broadcasts, or extent of circulation.) The numbers of articles and programs reported per project ranged widely, although most respondents indicated that the numbers provided were estimates (see Appendix B).

A. 7. Workshops, Conferences, Seminars, and other Presentations

In most projects (85.1%, or n=40), the research findings were presented at a workshop, conference, seminar and/or symposium (hereafter referred to as "workshop"). Only 5 respondents reported that no workshops were held; responses were missing for the remaining 2 cases.

Project findings were often disseminated at more than 1 workshop. The most frequently occurring number of workshops per project was 2. In 6 cases, findings were presented at 5 or more workshops (see Appendix B).

Figure 7 shows the regional breakdown of workshops held by projects. Workshops were held in the case of almost all Latin American projects, and several projects in

¹⁰Some respondents may have included similar items under "unpublished papers".

¹¹Other projects may have produced data which can be used in future research but did not report this in their response to this question.

Percentage of Projects
Using Each Medium

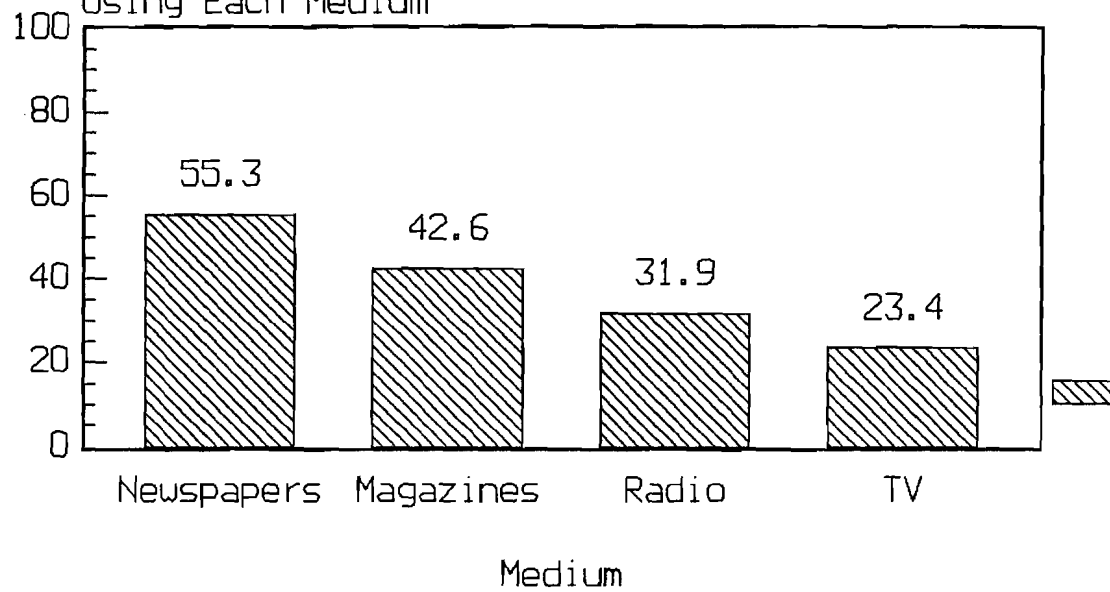


Figure 6

NUMBER OF WORKSHOPS/SEMINARS/SYMPOSIA
PER PROJECT, BY REGION

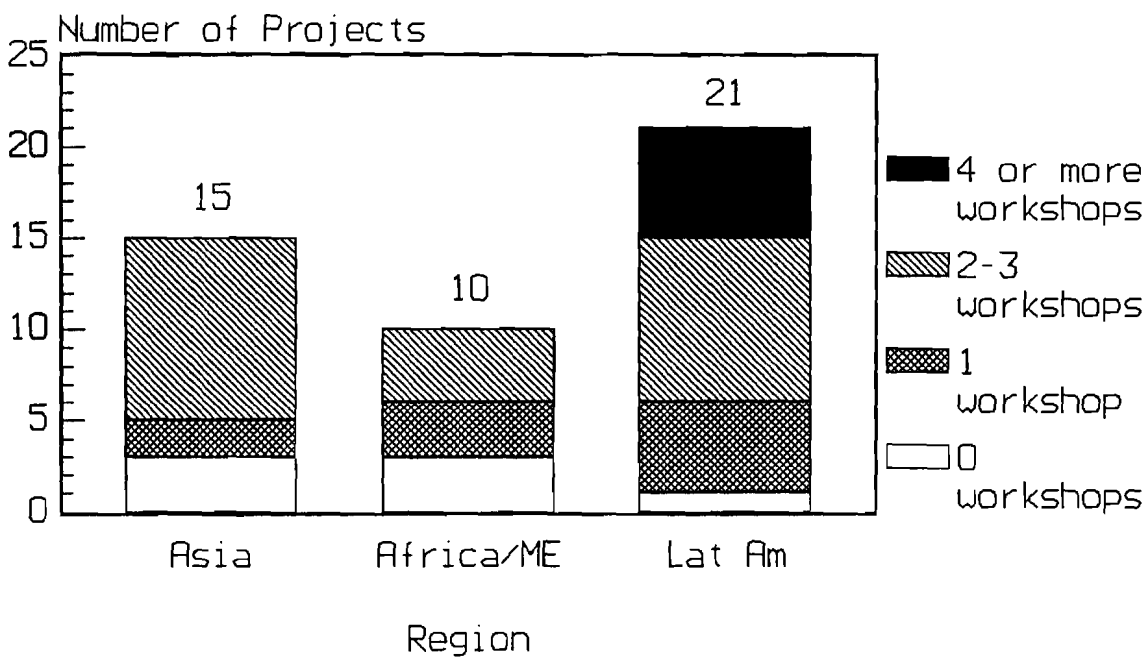


Figure 7

this group were responsible for more than 3 workshops per project, which was not reported in any other region. Figure 8 shows the breakdown by institution type. Private institutions accounted for relatively more workshops per project, whereas universities tended to have 2-3 workshops per project.

Respondents were asked about the type of audience attending these workshops. The results suggest that the main audiences were researchers and government, with the population studied in the research project least frequently in attendance at workshops (see Figure 9).

B. Effectiveness of Dissemination

B. 1. Importance of Dissemination to Various Groups

One question sought project leaders' perceptions of the importance to them, at the outset of the project, of dissemination of project findings to various groups. Respondents were asked to rate the degree of importance in reaching each group through dissemination on a 7-point scale, with 1 representing "Not at all important", 4 "Moderately important", and 7 "Extremely important".

Dissemination to government policymakers and to other researchers appears to have been the most important overall. A high proportion of respondents considered dissemination of results to government policymakers to be "extremely important" (73.9% of 46 cases, or $n=34$) and all responses ranged between 4 or "moderately important" and 7 or "extremely important". Dissemination to other researchers was "extremely important" in 52.2% ($n=24$) of valid cases (46 cases). On the scale of 1 to 7, no respondent indicated lower than 3 for importance of dissemination to other researchers. As well, a substantial proportion of respondents, 51.2% ($n=21$, of 41 valid cases), considered it "extremely important" to disseminate the findings to the population studied.

Dissemination to teachers/trainers and to students was of varying importance to project leaders, with a median of 5 in each case. (Frequencies in Appendix B and barcharts in Appendix C provide additional information.)

Respondents' ratings of the importance of dissemination to other researchers, to government and to the population studied were further analysed by region. Figures 10, 11 and 12 show the results of this. Responses are generally consistent across regions, although projects in Latin America gave slightly less importance to dissemination to government policymakers, and projects in Africa accorded less importance to dissemination to the population studied.

NUMBER OF WORKSHOPS/SEMINARS/SYMPOSIA PER PROJECT, BY RECIPIENT INSTITUTION

17

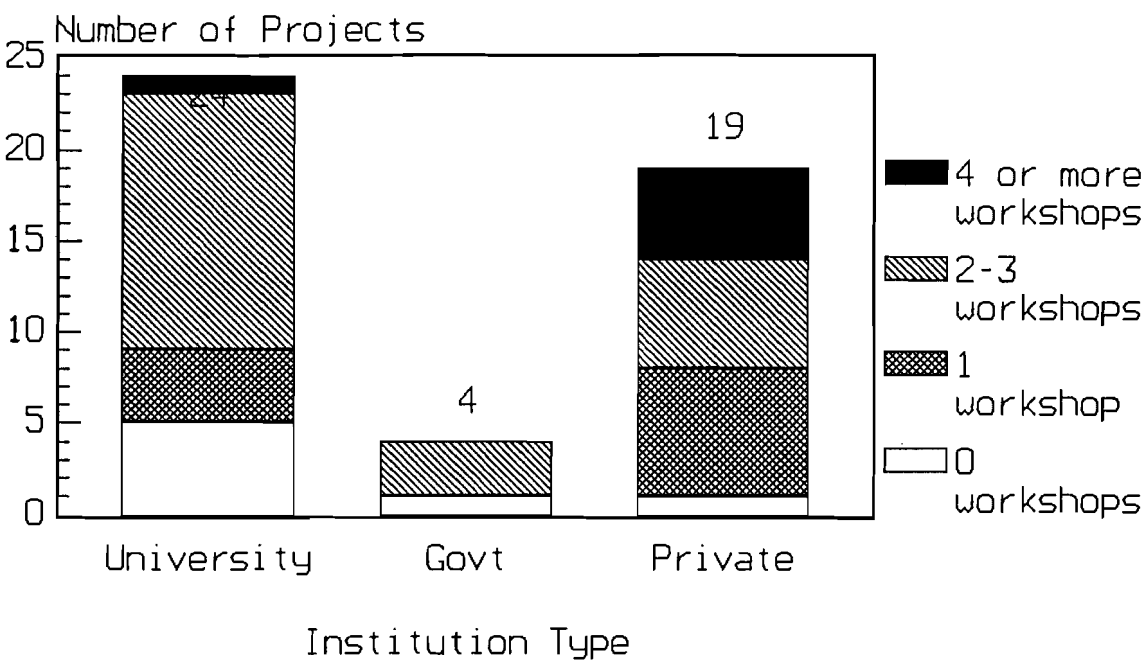


Figure 8

TYPES OF AUDIENCE IN ATTENDANCE AT WORKSHOPS/SEMINARS/OTHER SYMPOSIA

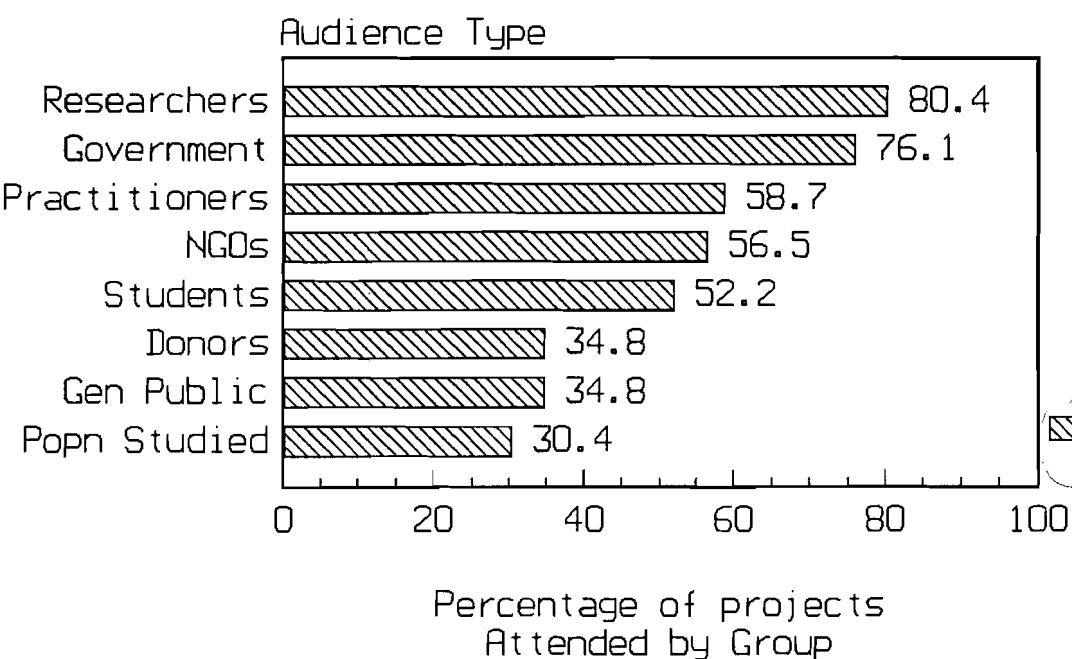


Figure 9

RESPONDENTS' RATING OF IMPORTANCE OF
DISSEMINATION OF PROJECT RESULTS
TO OTHER RESEARCHERS, BY REGION

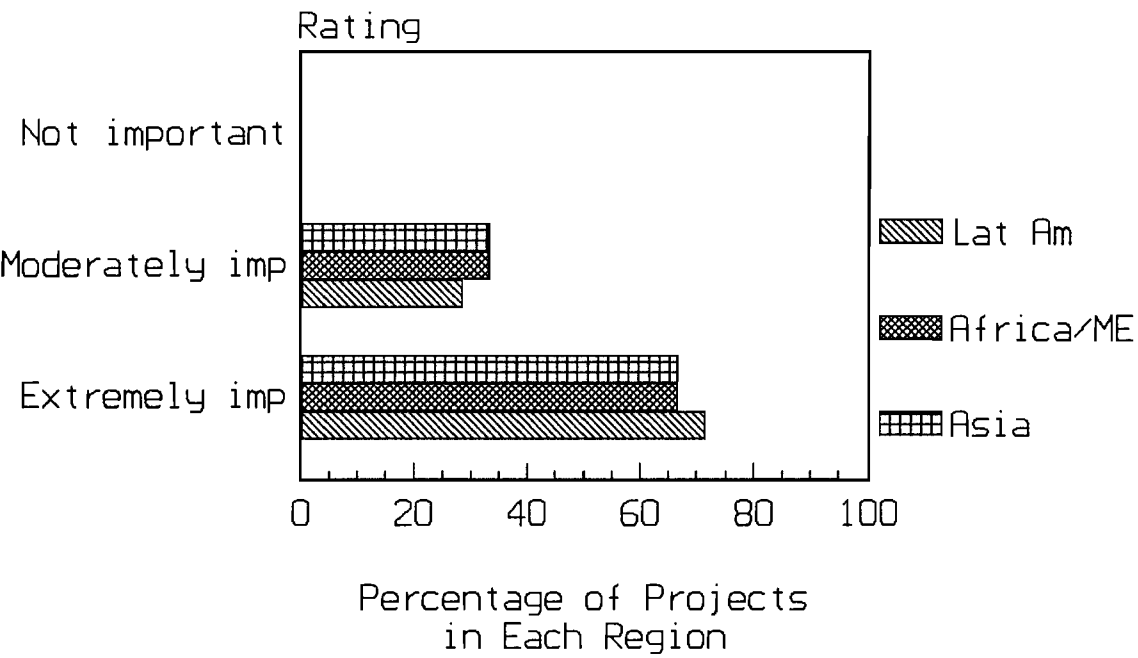


Figure 10

RESPONDENTS' RATING OF IMPORTANCE OF
DISSEMINATION OF PROJECT RESULTS
TO GOVERNMENT POLICYMAKERS, BY REGION

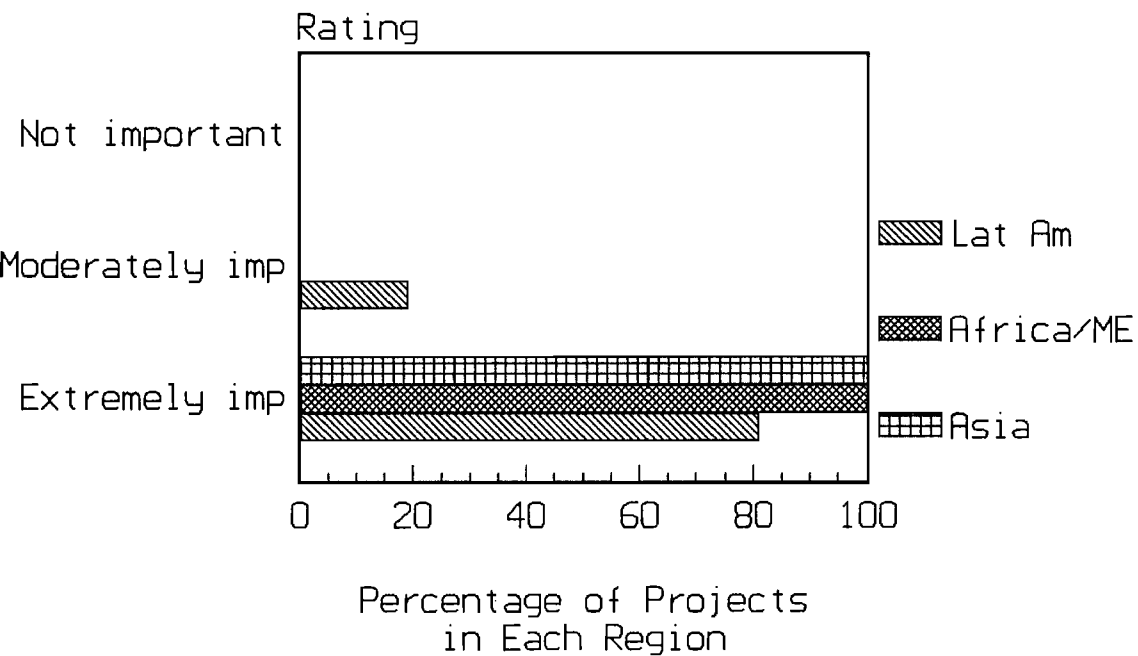


Figure 11

RESPONDENTS' RATING OF IMPORTANCE OF
DISSEMINATION OF PROJECT RESULTS
TO THE POPULATION STUDIED, BY REGION

19

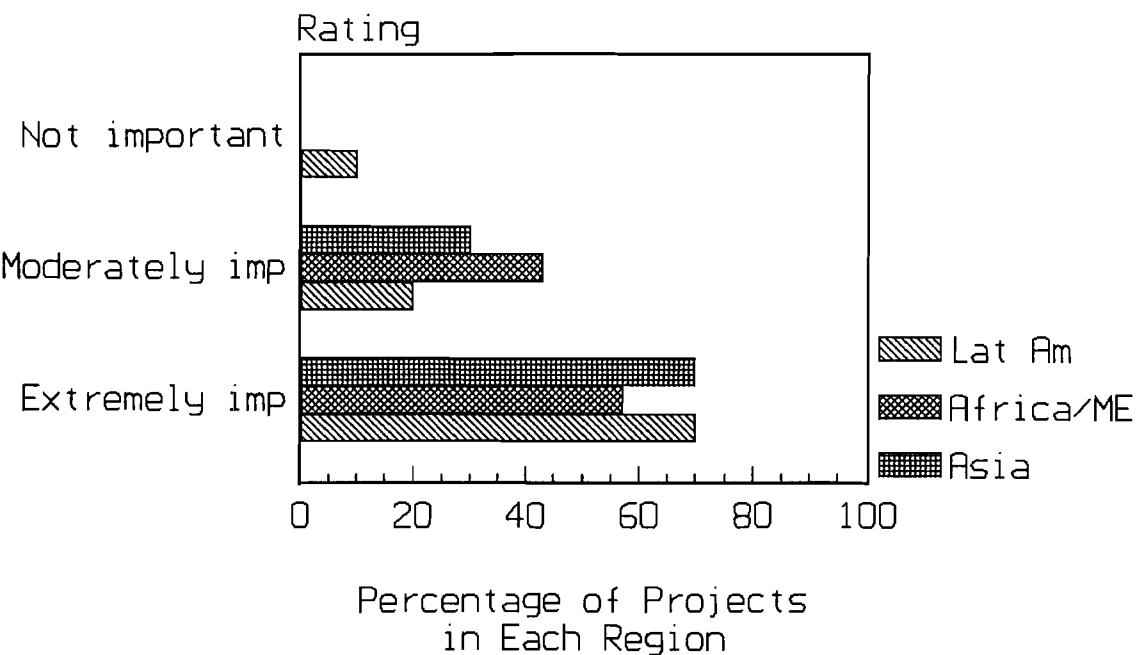
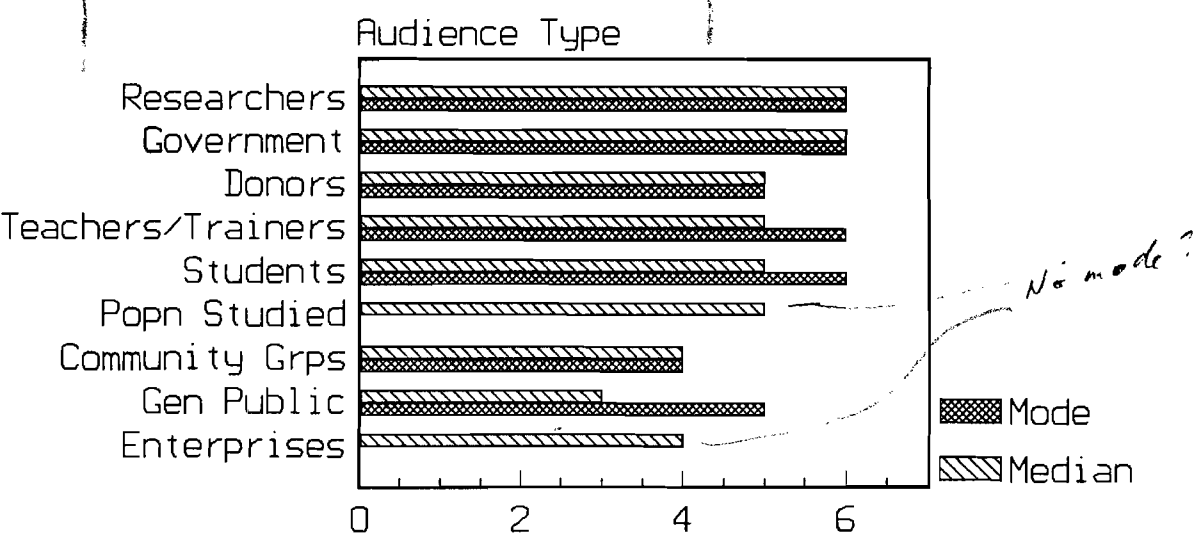


Figure 12

PERCEIVED SUCCESS IN REACHING
TARGET AUDIENCES THROUGH DISSEMINATION
OF RESEARCH RESULTS



1=not reached; 7=fully reached

Figure 13

B. 2. The Extent to Which Various Groups Were Reached Through Dissemination

Respondents were asked their opinions on the extent to which they had actually reached the above groups through dissemination of the research results. They were asked to indicate this on a scale of 1 to 7 with 1 representing "Not at all", 4 "To a moderate extent" and 7 "Fully". Frequencies of responses are presented by barcharts in Appendix C. Generally, respondents indicated that they had been relatively successful in reaching other researchers, government policymakers and donors. They also reported moderate success in reaching teachers/trainers, students and the population studied. Figure 13 above displays median and mode responses for this question.¹²

A comparison of responses with those for the previous question on importance of dissemination to each group reveals differences between desired and actual dissemination. For example, whereas 72.3% (n=34) of all respondents had considered dissemination of results to government policymakers to be "extremely important", only 59.6% (n=28) felt that government policymakers had been "fully" (n=14) or almost fully (n=14) reached. Similarly, in the case of the population studied, while 44.7% (n=21) of all respondents considered it "extremely important" to disseminate the findings to the population studied, only 6.4% (n=3) felt that the population studied had been "fully" reached while 29.8% (n=14) indicated ratings of 5 and 6 (between "moderately" and "fully" reached).

On the other hand, projects seemed relatively successful in disseminating research results to other researchers. Whereas 51.5% (n=24) of respondents had indicated that it was "extremely important" to reach researchers through dissemination, 68.1% (n=32) felt that researchers were "fully" reached (n=15) or almost fully reached (n=17).

Crosstabulations appear to support this, although no statistically significant conclusions can be drawn. A crosstabulation of responses indicates that those who considered dissemination to other researchers to be "extremely important" were also successful in reaching other researchers (see Appendix C). Correspondence of this type is also observable in the case of dissemination to government policymakers (Appendix C).

B. 3. Satisfaction with Dissemination of Research Results

Satisfaction with dissemination of research results through various channels was reported using a 7-point scale, with 1 representing "Completely dissatisfied", 4 "Neither

¹²Modes include the 8 value for "Do not know"; medians were calculated excluding the 8 value.

satisfied nor dissatisfied", and 7 "Completely satisfied". Blank space was also provided for respondents to comment on their responses. (Barcharts in Appendix C give an overview of answers to this set of questions.) In general, respondents reported a relatively high degree of satisfaction with dissemination through publication and through seminars, and moderate satisfaction with dissemination through the mass media (which was less frequently used as a dissemination channel).

B. 3. a. Satisfaction with dissemination through publication of books, journal articles, and other written materials

About half of the questionnaire respondents (53.2%, or n=25) indicated by selecting 6 on the 7-point scale that they were almost completely satisfied with dissemination through publication. Only 4 respondents indicated that they were relatively dissatisfied by selecting 1 or 2 on the scale.

The question was a subjective one, and respondents' comments indicate that they based their responses on a variety of criteria. Some respondents indicated a high degree of satisfaction because research results were published in books or journals. Few respondents elaborated on why publication was important, although one commented that "disseminating through books is a slow process but once they are produced they can be used over a long period of time, which permits a certain continuity in the treatment of a problem" (Case #43).

Other respondents were less satisfied with publication because they had been unable to publish the research results in book form. Two respondents specified that the cost of publishing had restricted dissemination through this channel (#16, 32).

Responses varied, however, as to the perceived usefulness of publication. One respondent commented that publication of an article in a book did not lead to wide dissemination because many people in the country could not obtain the book as "they do not have convertible currency to import it from the USA where it was published" (#24). Other respondents commented on the inadequacy of publications for disseminating research results beyond a narrow audience. In one case, although a rating of 6 was given, the comment was that "this form of dissemination is limited to a particular class of audience. General public may not have either accessibility nor the time to go through the published material" (#17). In another case a rating of 5 was given but with the comment that readers were limited to the circulation of the journal in which the results were published (#14).

Other respondents commented that the length of the written material produced had been a problem. One respondent who rated degree of satisfaction with publication at 5 stated that "the technical report is voluminous and shorter articles and papers need to be written on the subject" (#02). This was echoed by another respondent, who

rated satisfaction at 6 but stated that "a summary of about 50 pages would have allowed the work done to reach a larger audience" (#29). ✓

B. 3. b. Satisfaction with dissemination through the mass media

Just over 50% of respondents (n=24) rated their satisfaction with dissemination through the mass media at 4, 5 or 6 on the 7-point scale. Only 4.3% (n=2) of respondents were "completely satisfied", while 15.2% (n=7) rated their satisfaction between 1 and 3. Several of the comments given by respondents suggest that mass media are regarded as potentially useful means for dissemination but are not utilised to the extent that they could be. The reluctance to use mass media appears to result from perceptions about the role of the media and their usefulness in reaching certain audiences. One respondent wrote that use of the mass media was not highly esteemed (#04). Two other respondents indicated that the media had not been used as much as they could have been because the research was intended for academic or government audiences (#15, 16).

Other respondents blamed the media's lack of interest in covering the topic. In one case, the respondent commented that the topic -- the informal sector -- was "seldom tackled by the media" (#27). This was echoed by another respondent, who stated, "there isn't sufficient interest among some media to support the dissemination of this type of work" (#39).

Nonetheless, some respondents indicated that the mass media had been useful in disseminating the research results. One respondent who gave a rating of 7 ("completely satisfied") indicated that their radio programs had been positively received (#26). Another found dissemination through the mass media satisfactory (rating it at 6) because the seminar had been covered by "all government and private newspapers" (#47). One respondent pointed out the relative advantages of the mass media, commenting that "their duration is ephemeral although when the theme is in the news the media organise quickly to make use of the information" (#43).

B. 3. c. Satisfaction with dissemination through conferences, seminars and workshops

Most respondents were either "completely satisfied" (26.1%, or n=12) or almost completely satisfied (50.0%, or n=23) with dissemination through workshops and other symposia. Several respondents felt that workshops had enabled the research results to reach key groups or a wide range of audiences. High ratings for satisfaction were in a few cases accompanied by comments describing the use and impact of the research results by policymakers or by comments that the audience included key individuals or policymaking groups (#14, 17, 61). For example, in one case "those who attended the workshop are the people directly involved in the implementation of programs for the urban poor" (#14).

Other respondents were less satisfied with dissemination through workshops, conferences and seminars, some because they would have preferred a greater effort to disseminate the research results through this channel. One respondent gave a rating of 1 because no workshops had been held due to lack of funds (#15). Other respondents indicated that dissemination had been limited to a particular group. For example, one respondent reported satisfaction at 5 "as far as a small circle of researchers are concerned" (#13). Another rated satisfaction at 6 but stated that a key group, in this case "government officials at town level" had "fewer opportunit[ies] to attend" the seminar (#16).

B. 3. d. Satisfaction with dissemination through other channels

Responses to this question were inconsistent. However, a few respondents mentioned other channels of dissemination which were judged highly satisfactory. These were academic channels (n=3), which included course teaching, thesis supervision, and university extension; work on similar research (n=2); cuadernos populares or popular booklets (n=2); consultancies or training courses to groups studied (n=2); and contacts with policymakers (n=2).¹³

B. 4. Other Comments or Suggestions for Dissemination

Respondents' suggestions can be grouped as follows:

(1) Suggestions that funds be made available for dissemination, particularly for publications and/or workshops:

One respondent, who reported that the research institution had "not been able to disseminate its research reports even to national institutions due to very limited financial resources for the purpose," suggested that projects "have an adequate funding for disseminating research reports to concerned national and international agencies" (#47). Another respondent felt that "if the activities and costs of dissemination had been listed in the project budget, dissemination would have been done more widely and efficiently" (#16). It is not clear why in these cases dissemination activities and costs were not included in project proposals. There may have been a lack of knowledge that IDRC funds such costs, or the full costs of dissemination may not have

¹³Section C below gives a more complete indication of researchers' contacts with policymakers.

been foreseen at the proposal stage.¹⁴ Also, recipients may not always have been aware that additional funds for dissemination could be considered at the end of the project.

(2) Suggestions regarding the language in which written materials are produced:

Two respondents emphasised the importance of publishing books in English (#08, 23). However, another urged that publication in a local language be supported:

Our final research reports must be simultaneous published in both the native language beside the other language required by the funding agency. English, for instance, is a stumbling block and a strong barrier as a communicating medium to the majority of [nationals], including even university graduates. As a result, the benefit of these reports were confined to a very small minority of academicians.... This awkward situation...made me totally unable to communicate the very important issues...to almost all its target populations, including legislators, city administrators, and planners, law enforcers, (market control police, price control officers, market district committees, and health department officials, vendors, and vendors' union members etc. (#18).

(3) Comments relating to distribution of publications:

Several respondents pointed out weaknesses in existing distribution systems. According to one researcher, "one of the most important bottlenecks in terms of the dissemination of publications is to get the bookstores to disseminate our publications both at the national and international levels" (#45). Another suggestion was to "promote publication distribution systems at the regional level at least since the conventional commercial channels do not find it attractive to distribute the publications of research centres" (#35). Another respondent felt that despite the comparative advantage of researchers in disseminating research results locally, "local researchers still have a relatively weak record in terms of international dissemination of their study findings. Additional assistance and/or incentives from IDRC could help in this regard" (#11).

¹⁴Indeed, not all respondents seemed aware of IDRC's practice regarding dissemination of research results. One respondent expressed the belief that IDRC had the copyright, so had not submitted the report for publication; this respondent recommended that "the leader should know his 'rights' on the report otherwise the assumptions are that the donor is expected to disseminate the information" (#23). However, the rights to publication, which lie with the recipient, are set out in the Memorandum of Grant Conditions which constitutes the legal agreement between the recipient institution and IDRC.

(4) Suggestions for support for workshops and other forms of dissemination to reach a wider variety of audiences:

Specific suggestions were for post-research workshops (#06), as well as video, policy briefs, audio-visual documentary, case presentations and briefing kits "for different publics and a variety of audiences" (#02). One respondent felt that results should be disseminated through audio-visual methods and workshops with the population studied (#40). Another suggested the formation of "working groups on housing with participation from government, NGOs, and community-based organisations" (#39). One respondent justified the need for dissemination of results to local levels and to the general public as follows:

Results of the research studies in the area of urban services delivery policies should be widely publicised at the town/city levels to enable the general public [to] realise the manner in which the services are produced, operated and distributed; the kinds of problems that institutions face in the operation etc. In the existing state of affairs general public is totally ignorant about the manner in which a local agency functions. If community participation in provision of civic services is to [be] a reality dissemination of research results on a large scale at micro-levels through audio-visual, local T.V. programmes, special publicity programmes at the neighbourhood levels is essential (#17).

(5) Suggestions regarding the sharing of research results among institutions and researchers:

One respondent saw a role for IDRC in distribution of research results among institutions, stating that "IDRC should send to the institutions it finances the results of research recommending their dissemination in other institutions" (#25).¹⁵ Another suggestion was to "promote computerised systems (networks) that enable us to access other research institutions' production" (#35).¹⁶

Other comments reflected the importance given to networking. One respondent advocated closer cooperation among institutions working on the same issues in

¹⁵While this would not be feasible on a large scale, it can be -- and is -- done for projects which are related to other IDRC-supported research.

¹⁶IDRC's Communications Division and Library do provide some services of this type. Otherwise, institutions are encouraged to pursue such linkages, although IDRC can play a role in facilitating those linkages.

different countries (#39). Another felt that

in research projects it is necessary to foresee the dissemination of preliminary results through working documents. In the future it would be useful for IDRC to organise through networks the NGOs that it supports through the financing of documentation exchanges, theoretical and methodological advances, and the evaluation of results on specific themes... (#33).

Some mechanisms were suggested for sharing information on specific topics, even beyond the project level. The leader of one project on the informal sector suggested that "perhaps a bulletin with wide dissemination would be useful which would present research results combined with advances in the promotion of the informal sector" (#36). Another thought that "IDRC should create a special fund to assist/support small-scale seminars on critical urban issues" (#06).¹⁷

(6) Suggestions for evaluating the impact of dissemination:

One respondent thought it was important to go beyond an evaluation of dissemination channels to investigate the reaction of groups receiving the information produced by projects. This respondent advised IDRC to "get information of the response of relevant people, so that the effect of the project findings in service to government policy making could be evaluated better" (#16).

C. Conclusions re Outputs and Dissemination

C. 1. Written and Other Materials

The survey reveals that at least through the projects responding to the survey, a substantial number of outputs were produced. Almost all projects produced technical reports, presumably because they are required by IDRC at the end of projects. Moreover, most projects also went on to publish or present the results in another format as well. Approximately half of the projects published their results in some

¹⁷IDRC funds can be made available for seminars of this type, for example through DAPs.

IDRC support has included many of the features suggested by respondents in regard to sharing of information. The role of Program staff includes assessing when to encourage publication of research results, workshops, information exchange and other linkages. It would be impractical and undesirable to encourage all forms of dissemination for all projects. Nonetheless, these comments help to highlight the needs of researchers and are worth further consideration.

form; this represents a significant contribution to literature in the field of urban and regional development.

Nonetheless, the potential may exist for greater dissemination through this channel, since 38.3% of projects did not publish the research results in books, and 46.8% did not publish in journal articles. This will have to be assessed by the Program, since whether to publish research results depends on a number of factors, including the quality of research results; nor should publication be undertaken simply for its own sake, since, as some respondents indicated, books were not always the most appropriate method of dissemination.

Generally, it appears that project leaders wanted to publish research results, with those who had been unable to publish the results relatively dissatisfied with dissemination through written material. Nonetheless, respondents' comments indicate that publication can be less than satisfactory unless provisions are made to ensure that publications are distributed, and are accessible in terms of availability, affordability and language.

The survey did not reveal who the users of specific research outputs were, nor did it identify the impact of specific outputs on target audiences (unless respondents offered this information in their qualitative responses). This type of information would be useful, although is difficult to trace. For example, one could attempt to investigate who the "users" of technical reports are. As two respondents pointed out, these reports may not be the most suitable format for wide dissemination or for dissemination to policymakers because of their length and amount of detail. Another possibility is that the audience for publications, particularly professional journals, remains somewhat narrow -- i.e. restricted to academic circles. On the other hand, in a few projects, journal articles were reportedly responsible for influencing policy (see Part III).

Other potentially useful detail about users was not captured by the survey. For example, the audiences for published works other than books and journals may be national or international, depending in part on where these works are published and where disseminated. The items reported as "unpublished works" may or may not have served to effectively disseminate research results -- for example, a report written specifically for government policymakers may or may not have reached the targeted audience; theses or papers for academic use may not have been widely disseminated beyond academic circles, but may nonetheless have been a significant contribution to the literature. More information would be needed to investigate these issues.

In a smaller but noteworthy proportion of projects (less than one-third), additional materials were produced, such as cuadernos populares, audio-visual programs, visual aids (e.g. photographs, drawings, transparencies, maps), and training materials. These

may have a high potential for dissemination beyond the academic community to governments, target populations or a wider public, and were reportedly highly satisfactory in a few cases. In future projects it would be important to explore the potential for diversification of output beyond the more common written format. This is not to say that production of such materials is useful in all projects; this is a matter for project staff to determine. Nonetheless, Program staff are in a position to suggest and encourage such methods where appropriate.

in collaboration with the recipient

C. 2. Mass Media

The mass media were used to disseminate project results in a substantial number of cases, but were not always considered an appropriate channel for dissemination of research results. A few projects which reported dissemination through the mass media found it satisfactory. It appears to depend on the interest of the researchers in having the research made known through these channels, and possibly the frequency with which they use the media. For example, the experience of one project was that ongoing links between the research institution and the media facilitated use of the media in disseminating research (#31). Also, the most appropriate medium will depend on the intended audience, the accessibility and availability of the medium, and the type of dissemination wanted (e.g. rapid spread of a summary of results).

C. 3. Workshops

Workshops, conferences, and seminars were considered to have been an important format for dissemination of results, particularly to other researchers and to government policymakers. This is important since in the question which followed, most respondents indicated that it had been their intention to reach government policymakers and researchers. Researchers tended to be satisfied with dissemination through workshops. Workshops, conferences and other symposia appear to be potentially useful in reaching a wide audience, not only other researchers but also policymakers, other organisations, and target groups. However, attendance at workshops may be restricted by accessibility or availability of funds to participate. It is therefore important to ensure that key groups and individuals attend.

C. 4. Choice of Dissemination Format

The experience of past projects shows that a wide range of research products are possible. The question which arises, ultimately, is what format provides the greatest potential for dissemination of the research to target audiences. At present, project outputs appear to have several purposes. They are expected to satisfy several criteria,

including IDRC's reporting requirements, demands for academic rigour, and the information needs of policymakers, target groups and the public. These needs may or may not be satisfied by one kind of research output. The survey does not reveal the extent to which these issues were addressed during project development; project files and Program staff would be a better source of such information. Nonetheless, it seems essential to take into account the objectives of the research when identifying formats for dissemination. In practical terms, this requires that researchers identify target groups at the start of each project and suggest means of reaching those groups; and that the costs of these be included in the project budget, if appropriate. ✓

It is also important to monitor the distribution and use of materials which are produced. One respondent wrote that several hundred copies of the book produced were still available (#03). (This respondent went on to suggest that IDRC receive and assist in the distribution of 20-30 copies of the book). This suggests that numbers of publications produced are not by themselves a good indicator of dissemination of research results. ✓

It appears that overall, the most important target groups for dissemination of research results were government policymakers and other researchers. Some project leaders considered the projects to be quite successful in reaching these target groups. However, projects were reportedly less successful in reaching the populations studied although this was also considered an important target group for dissemination.

III. Impact of the Projects

A. Impact of the Projects on Policy Development and Policy Implementation

A. 1. The Projects' Initial Objectives Regarding Policy Development

Policy development was defined in the questionnaire as "the process by which governments, non-government organizations, and other groups at local, national, regional and global levels select goals and procedures which will guide present and future action." The findings show that policy development was an important aspect of most of the projects surveyed. Projects' objectives regarding policy development are illustrated in Figure 14.

(... still seems
an unneeded
definition to me!)

A. 2. Policy Recommendations Made

Policy recommendations were made in 81.5% (n=40) of the projects responding; 10.6% (n=5) reported that no policy recommendations were made. Figure 15 shows the frequency of recommendations made by projects in specific policy areas. (Some respondents selected more than one policy area.)

A. 3. Influence of Recommendations on Policy Development

Respondents were asked to indicate their views on the extent to which the project's recommendations had influenced policy development. Their responses are indicated in Appendix B. The medians were generally low, around 3-4 on the 7-point scale, with 5 in the case of informal sector policies, suggesting that recommendations had influenced policy development to a low or moderate extent. However, the responses ranged a great deal.

Because the number of cases for each value was very low, the values were recoded with 1 representing "Little or not at all," 2 "To a moderate extent" and 3 "To a great extent." Frequency tables in Appendix C show the results when the values are recoded. It is difficult to draw conclusions from these because of the large number of missing responses as well as the frequency of "Do not know" and "Not applicable" responses. Nonetheless, they do suggest that some projects had a moderate influence on policy development, with a somewhat greater influence in a few cases. The policy areas in which influence appears to be particularly significant are urban management and the informal sector. This can be seen from another perspective in Figure 16.

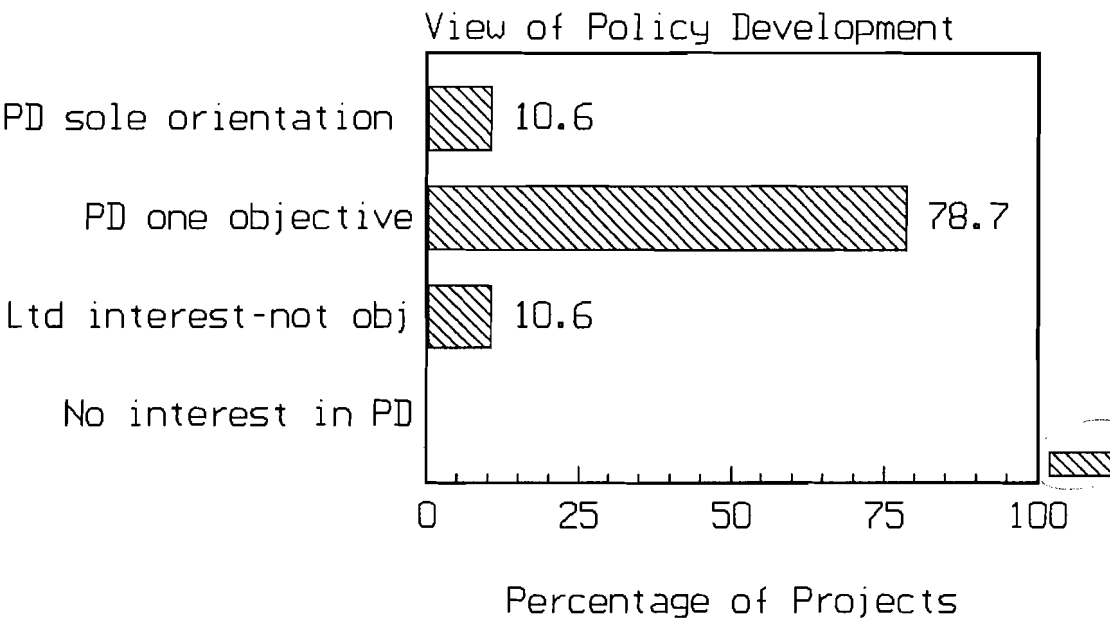
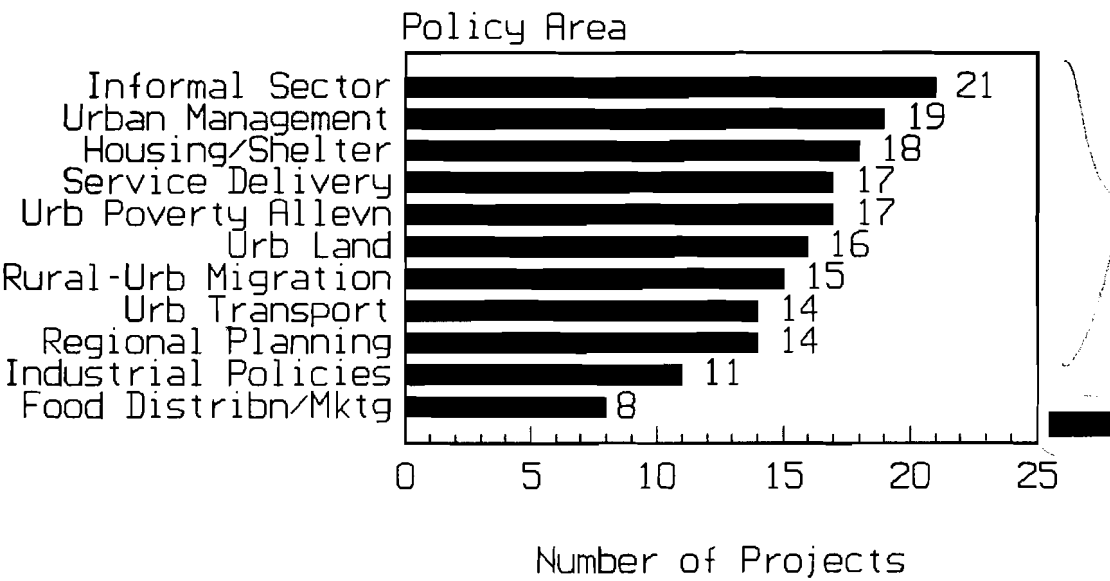


Figure 14

POLICY AREAS IN WHICH PROJECTS MADE
POLICY RECOMMENDATIONS



reflects thematic mix of projects

Figure 15

PROJECTS' PERCEIVED INFLUENCE ON
POLICY DEVELOPMENT
(Where Reported to Be Moderate or Great)

32

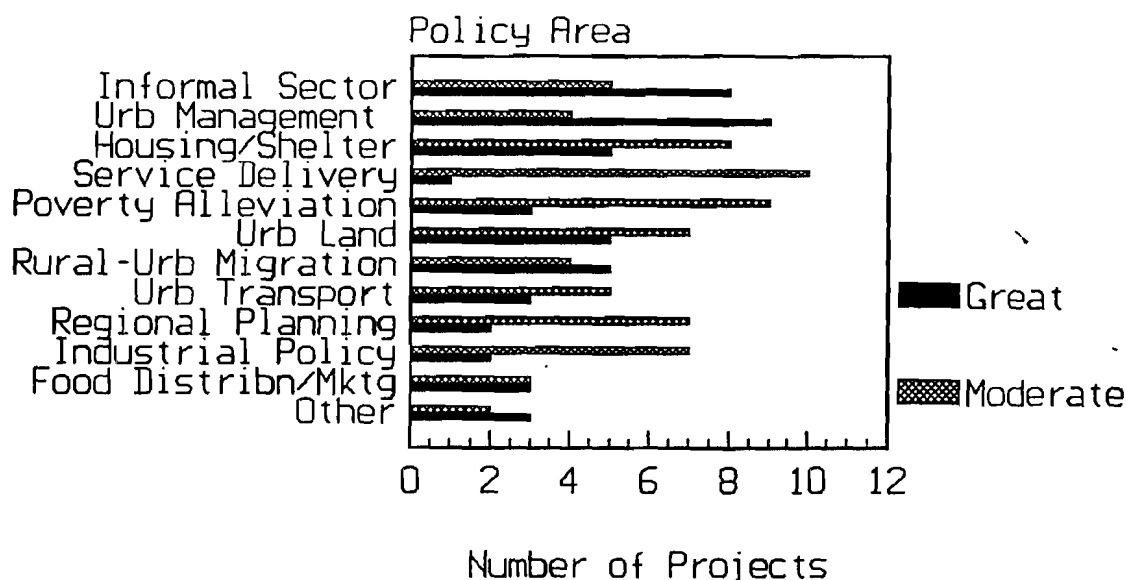


Figure 16

The respondents who commented further on how the recommendations influenced policy development give some insight into the ways in which this influence occurred. One set of respondents answered the question by identifying activities which enabled the recommendations to have an influence. These activities can be grouped into 4 categories:

- (a) conventional dissemination channels e.g. workshops, journals, reports through which results were disseminated to policymakers (n=3).
- (b) policymakers sought advice directly from the researchers (n=3). In 1 case, the national economic planning agency asked the researchers to prepare "policy papers" on the issue (#11). In the other 2 cases, researchers provided advice or consultancy services to government policymakers.
- (c) the existence or development of links between researchers and policymakers enabling researchers to participate in the policymaking process (n=3). In 1 case, a member of the research team acted as an intermediary between the population under study and the government regulatory agencies involved, because "he was trusted by both sides"; this same researcher later became an adviser to the government (#05). In another case, the project leader was on advisory committees to local and state governments (#22). In the third case, the project's principal investigator was also Director of Planning in the municipal government (#45).
- (d) policymakers participated in the research process (n=1). Specifically, key

*put
some
link*

government policy and planning officials and administrators, and other groups participated in drawing up the study's recommendations (#02).

All of these responses, but particularly (b), (c) and (d), reveal the importance of links between researchers and policymakers in facilitating influence on policy development.

The second set of responses to the question of how the recommendations influenced policy development described changes in policy which occurred due to the project's influence. These responses are grouped below according to the nature or degree of the changes which occurred in the process of policy development:

- (a) Specific measures or programs in line with the recommendations were implemented (n=11). It is important to note that in a number of these cases, the links between the research project and the programs implemented were not specified; it was not always clear if or how the measures were a direct result of the influence of the project's recommendations. Moreover, it cannot be assumed that implementation of programs had a positive impact; in fact, one respondent reported that while small programs had been implemented by local governments and NGOs, these programs had little impact (#42). Nonetheless, a significant number of projects (35.5% of 31 cases responding to the question) reportedly contributed to the implementation of specific measures or programs.
- (b) The recommendations were used in or influenced the design of policies (n=3). In these cases, the recommendations were not translated into actual programs but were incorporated in policy documents (#05, 09) or were used during policy design (#06).
- (c) The recommendations contributed to the creation of institutional bodies (committees, commissions) or groups (self-help groups) intended to support the issue studied (n=3).
- (d) More priority was given to the issue (n=1), in terms of both increased attention and increased resources.
- (e) Policymakers' attitudes changed (n=2). In one case, attitudes toward the issue changed from negative to positive (#30); in another, policymakers recognised the importance of the issue (#38).

In 2 cases, researchers indicated that it was too soon to identify any influence of the research results on policy development.

Also worthy of note is the comment of one respondent that while no concrete policy recommendations had been made, the findings of the research, having been made available to high-level government officials, "did have some influence on policy development in the area of the introduction of representative government" (#13). This suggests the possibility that even if recommendations did not influence policy development, the research may still have had an effect on policy.

A. 4. Utilisation of Recommendations

A. 4. a. Utilisation of recommendations by various groups

Respondents were asked to indicate the extent to which the project's policy recommendations were utilised by local government, national government, local NGOs, international NGOs, productive enterprises, and the population studied.

In almost all cases for which responses were given, the most frequently occurring response was "Do not know". Nonetheless, a number of respondents felt that the above-mentioned groups had utilised the recommendations to some extent.

Again, responses were reported on a scale of 1 to 7. Responses are presented in Appendix B. The responses were recoded with 1 and 2 as "Little/not at all", 3-5 as "Moderate extent" and 6-7 as "Great extent" and the frequencies are recorded in Appendix C. These recoded responses indicate that a considerable number of respondents felt that the recommendations had been utilised to a moderate extent by local governments (29.8% of all respondents, or n=14), and by national governments (36.2%, or n=17); a few respondents felt that recommendations had been utilised to a great extent by local governments (17.0%, or n=8) and by national governments (19.1%, or n=9).

Respondents seemed to be less certain in the case of utilisation by local and international NGOs, with a substantial number of respondents reporting "Do not know" (31.9%, or n=15 in the case of local NGOs, and 34.0%, or n=16 in the case of international NGOs). There were also a large number of missing responses for these variables. Nonetheless, a few respondents felt that NGOs had utilised the recommendations to a moderate or great extent (see Appendix C). Similar responses were observed for utilisation by productive enterprises.

In the case of utilisation by the population studied, although 21.3% (n=10) of respondents did not know and 34.0% (n=16) did not reply to the question, another 21.3% (n=10) respondents felt that utilisation had occurred to a moderate extent and 8.5% (n=4) felt that it had occurred to a great extent.

Although a significant proportion of respondents indicated in this set of responses that the research recommendations had been utilised to some extent, the evidence given in the qualitative responses which followed did not always substantiate the claims made about utilisation. Often little evidence was given to support these claims. However, the comments provided reveal that respondents interpreted "utilisation" in a number of different ways, as explained below.

4.2.2 Was your IDRC-supported project expected to have any policy impact?

There were a number of answers to this question in which PLs explained that yes, the IDRC-supported project was expected to have policy impacts, however, none were achieved (L13, L11, E1 and S2). On the other hand, like the quote at the top of this policy section shows, there were also a number of projects which were not expected to have policy impacts, however they did eventually influence policy.

Some of the more interesting quotes include:

The IDRC-supported project was expected to have a policy impact, or he thought it did. There was a summary of their findings in newspapers dealing with the role of the informal sector in the agricultural produce wholesale exchange, the largest wholesale centre in Bogota. The articles provoked a negative response from entrepreneurs because it expressed their exploitation of informal workers and made them prone to policy intervention as a result. (L10)

Bambang had difficulty identifying any impact that the IDRC project had on development. "I don't know. My institution is quite academic. I gave a copy of my report to the Ministry but it was an academic paper and I don't know if anybody read it." Bambang has been involved in providing data for policy makers although he doesn't actually help formulate policy. However, it is noteworthy that, although a direct connection cannot be made, several of the recommendation made in his report are not [sic] policy and practice. For example the study noted that fertility is correlated to the level [sic] of education. Recently, the government increased primary school enrolment to 9 from 6 years. The study also showed that contraception is on [sic] used when provided and when accurate advice is given. Previously family planning workers were high school graduates only and didn't have much knowledge. Now, all workers must be university graduates. (A2)

Developing a new technology (dehuller) which was in keeping with the government policy, i.e. promoting the consumption of local cereals which was limited because of processing problems (it required a lot of work and time). With the dehullers, local cereals are offered ready-to-use.

Because of this project, it was possible to limit the importation of cereals and to increase the consumption of local cereals. (W5)

The data in 4.2's questions on policy impact show that more PLs are currently involved in policy-making processes than were when involved in IDRC projects. Some of the increase may be attributed to the IDRC projects simply taking a few years to become influential in policy making circles. However, in other cases, PLs have become involved in other issues, or have joined other bodies which are closer to policy makers than they were before.

Handwritten notes in a later section of the document include:

attitude to IDRC projects - But efforts →

local gov't, NGOs, women, research, etc.

experience in policy making

4.3 Innovations

The four main categories of innovations listed in the answers to question 4.3 were research methods, agriculture, technologies, environment and information systems.

The largest category of answers to question 4.3 stated that **research methods** saw the most important innovations made by their project. Some P.L.s spoke of introducing qualitative or quantitative analyses to institutions which was weak in one of those areas. Others modeled ways of doing interdisciplinary or participatory research and encouraged the further spread of these methods. Finally, one project demonstrated the use of a cross-sectoral panel of people contributing to project design and implementation, and created a network of people from across several different disciplines.

The second largest category of answers mentioned innovations in **agricultural techniques**. These had to do with:

- breeding/spawning/bioengineering of plants and fishes (A4, W8, A7)
- alternative ways of improving germination rates (L7)
- varying shade cover to increase productivity of food crops (L7)
- decreasing diseases or toxins in crops (A10)

Yes, the innovations were successful. The demand for aflatoxin-free maize is now high, as feed millers have recognized that the use of corn infected with aflatoxin reduces their profits. Moreover, NAPHIRE is now promoting actively the use of both the dryer and corn sheller. The whole system was pilot tested in a cooperative and the technology was proven to work and be beneficial. Therefore, they now have a nation-wide program to disseminate technology to farmer cooperatives. Have sold 500 units of dryers and 300 units of corn shellers to date through manufacturers. NAPHIRE has worked with manufacturers to teach them how to make the hardware the manufacturers sell the hardware for a profit. (A10)

- improving methods of crop harvesting, storage and processing (A5)
- designing a policy for sustainable rural development (L5).

0150 **Technological** innovations accounted for another category of responses. The technologies were either newly created for the initiative, or were adaptations of a proven technology to fit a local environment. They had to do with

- water pumps (A4, E6, and W6)
- kiln for smoking or drying fish (E6)
- bamboo made into plywood substitute (S4)
- corn dehuller (W5).

Innovations around **environmental** problems were another major group of responses in the questionnaire. Models were developed to assess water pollution (W3), simulate salt water intrusion into ground water (W1), and test ground water quality (E7). Another dealt with waste water management and the popular dissemination of information about water treatment:

The most valuable contributions to national development that IDRC support enabled him to make related to environmental issues (waste management). Most electroplating plants are gaining awareness of environmental impact of waste water and are becoming more committed to doing something about it. The seminar which was part of Phase II helped to raise plant owner awareness of the harmful effects on the human body and the environment...

The second innovation was the comic pamphlet on the effects of effluents on the environment, developed and distributed at the seminar. (A6)

Again, many agricultural innovations also have environmental implications, so these categories are not mutually exclusive.

Finally, a number of P.L.s mentioned innovations on **information systems**. Three (L8, E8, and E9) spoke of universities improving upon their computer and networking facilities and software. Another established a method for creating a development information system (M2).

The categories in which innovations were named do not necessarily correlate to those in which the greatest development impact was achieved, nor the area in which policy was most affected. While health was the one of the largest categories of development impacts and policy implications, only two P.L.s mentioned a health innovation as particularly noteworthy. (check this out with the data!)

4.3.2 Did the innovation impact on your career?

Yes	20
No	10

Not all P.L.s interviewed answered question 4.3.2. But of those who did, twice as many answered Yes than No.

Most of the PLs who said that yes, the innovation did impact on their careers, stated that the innovation helped to improve their reputation. Other PLs pointed to their promotions as having been influenced by the innovation produced in the IDRC-supported initiative. One saw the improvement in reputation as leading to more invitations to conferences, and another won an award. Others got more contracts as a result.

Other PLs took the question a different way, and mentioned that the innovations in methodology carried on in their later work, or the project topic and results changed the focus of their career. One PL stated that he moved from doing strictly research to starting up a separate company to market the water pumps he helped innovate during the IDRC-supported project.

4.3.3 Was the innovation successful?

Only two PLs said their innovations were not successful. Another 24 stated that the innovations were successful. Many PLs did not answer this question.

For many PLs, the proof that their innovation was successful was the fact that it was implemented, technologies were disseminated, and methods produced results in the project and beyond.

agriculture:

- innovation about forestry is being used by the hydro society (L7)
- bioengineered tissue culture still being disseminated -- somewhat slowly (A7)
- the National Department of fisheries to disseminate the fish spawning technique more widely (however, waning, because people prefer taste of salt water fish over fresh water) (A4)
- rice spoilage in storage reduced (A9)

technology

- solar water pumps installed, though they wear out after 5 yr (W6)
- dehuller adopted and disseminated. Nestlé wants to use results and make weaning food using the improved technology (W5)
- pump patented, disseminated, modified and motorized (A4)

health

- people using drug and being cured (W2)

environment

- water being treated (W3)
- model for testing groundwater is reliable (W1)
- electroplating plants for waste water treatment being accomplished (A)

methodology

- method developed for isolating factors that effect adoption of technology produced research results (A9)

4.3.4 *Innovations followed through*

Yes	28
No	3
n/a	2

Of the Yes answers, PLs identified a couple of different areas in which their innovations were followed through:

policy	9
new research	2
product marketing	4
practical application	8

Since policy is covered under a different question, I will only deal with the last three areas here.

new research:

- having undertaken research on the spawning of carp, more research was undertaken on

spawning other fish (A4)

product marketing

drug available free through health centres (W2)

water pump (hand pump and motorized version) patented and marketed (A4)

local cereals now available in supermarket because processor developed (W5)

rice and corn dryers and hullers commercialized and disseminated (A10)

Both projects (Corn huller and rice mill) were successful, but only now are being appreciated. It took time before dissemination and extension started on a nation-wide scale. Andales started to do some dissemination while serving as a consultant to NAPHIRE, but more was done when he became its executive director, and when the national government added commercialization to its mandate. (A10)

practical application

groundwater quality model applied in two countries (W1)

water testing kit works (A11)

electroplating plants for waste water management becoming widespread (A)

NO answers with comments:

It's a shame, but research results were not used. It would be interesting to dig deep wells with sufficient output and to install pumps and have accompanying activities such as market gardening. But the villagers would have to learn how to manage the pumps. (W6) a case of inappropriate technology to begin with??

No, the innovation was not followed through, because the government was not interested in it. (L11)

Questionnaire - question 30

Project leaders listed numerous examples of how **IDRC projects** with which they were involved **had assisted communities of people to improve their wellbeing**. The examples cited cover the range of areas in which IDRC operates including agriculture, environment, health and economic livelihood. In most of the cases, the comments are limited to descriptions of the project benefits to the communities only, thus it is not clear whether the project leader has continued to remain involved with the project's targeted community. In a few cases, however, the project leader has elaborated on his continuing work. For instance, Abu Yssuf Choudhury writes:

Since the past three years, I have been involved in a community managed nutrition and primary health care program. The principal component of the program is to sensitize and mobilize the community people to identify and solve their own health problems, using the community resources and make best use of the public health facilities available at the community level. I am the team leader for this project.

This idea was originated through working with IDRC supported nutrition education program at the community level.

Another project leader, Candida B. Adalla describes her continuing involvement with her former project:

Yes; for the moment I regularly visit our former project site, assist and organize former cooperators for various projects like income generation (for women and youth) and crop production for men folk.

Other respondents claimed that links between researchers and policymakers had facilitated utilisation. Utilisation was attributed to the participation of policymakers in the research process (n=1), to personal contacts, formal or informal, between the researchers and policymakers (n=3), or to institutional linkages between the researchers and policymakers (n=4).¹⁹

A number of other factors were mentioned as contributing to utilisation. Some respondents thought that policymakers' prior awareness of the problem and their willingness to make changes had encouraged utilisation of the research recommendations (n=3). In another case, an institution was created which was able to use the research results (n=1). Other respondents described existing conditions which they thought had facilitated utilisation, these being the target population's high level of organisation, the worsening economic crisis, and the pressure of needs (n=2). One respondent referred to the good publication record of the researchers (n=1) while others pointed to the high quality of the research itself (n=2) as factors contributing to the use of the research results by policymakers.

Factors identified by respondents as inhibiting utilisation of the research results included inadequate dissemination (n=4), lack of publication in the native language (n=1) and weak links between research and policymaking institutions (n=2). Other respondents pointed to changes in personnel or organisations responsible for policymaking which had occurred during the course of the research (n=3). Some referred to the dominance of elite groups and lack of popular participation in policymaking (n=2), to policymakers who disregarded the findings (n=3), and to vested interests of groups reluctant to lose existing benefits (n=1). A few respondents mentioned problems in implementation of recommendations including "red tape" (n=1) and the inability of actors to implement the recommendations due to lack of power, resources or capability (n=3). One respondent thought that political destabilisation had inhibited utilisation, while another referred to the magnitude of the problem itself.

¹⁹One assessment was that "definitely one advantage of IDRC's policy to favour local researchers -- from established research agencies -- over foreign 'experts' " was that institutional linkages between the government and the research institution had facilitated utilisation (#11).

B. 1. Impact of the Research Project on Target Populations

The target populations identified by respondents fall under the categories indicated in Figure 17.²⁰ Projects generally targeted poorest urban groups or selected segments of the population such as the informal sector, workers or migrants.

Respondents were asked whether they thought the research project had had an effect on the target population(s) they had identified. The responses of the 42 respondents answering the question are displayed in Figure 18. A substantial number of respondents felt that the project did have some effect on the target population.

These responses were investigated further by region, revealing that Latin American respondents perceived an impact in more cases, and also expressed less uncertainty than in other regions (Figure 19). When compared by institution type, it is evident that none of the respondents from government institutions felt that the project had had an impact on the target population, whereas those from universities were more confident that an impact was observable (Figure 20).

The 22 respondents who indicated that there had been some impact on the target population went on to describe these impacts. Their detailed responses can be found in Appendix D. Generally, their responses can be divided into 3 groups: (a) those which reported that improvements had been made in programs or policy affecting target groups (36.3%, or n=8); (b) those which indicated that awareness-raising or strengthening of the target population had occurred (45.8%, or n=10); and (c) those which indicated that policymakers' attitudes toward the target population had changed as a result of the research (18.1%, or n=4). However, not all of these responses were clear as to whether actual improvements in the situation of target populations were observed.

When asked why they thought the research was able to have an effect on the target population(s), few respondents identified specific factors. The responses of those who did suggest that direct contact between the researchers and the target population was just as important as influencing policymakers through dissemination of results. Of those who thought that contact with policymakers was important, one respondent credited technical consultancies which resulted in measures affecting the target population (#45). Another thought that dissemination of the research results to policymakers had contributed to a readjustment of policies affecting the conditions of workers (#04). Of those who considered contact with the target population to be important, one respondent indicated that regular institutionalised contact between the target population and the research institution had facilitated the exposure of the target

²⁰Some respondents identified more than one target population.

TARGET POPULATION(S) OF PROJECTS AS IDENTIFIED BY RESPONDENTS

38

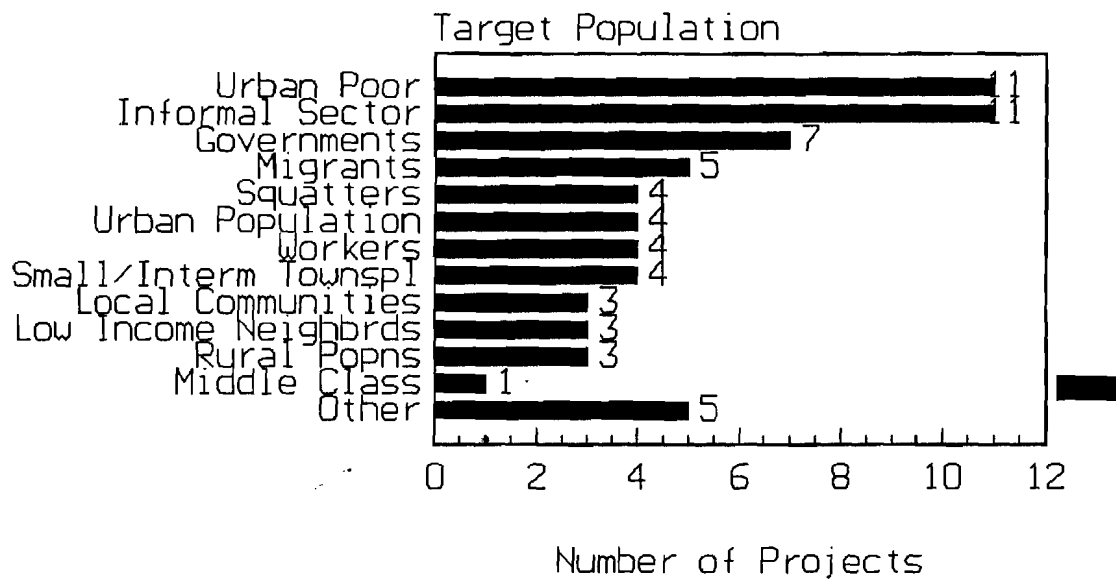


Figure 17

PERCEIVED EFFECT OF PROJECTS ON TARGET POPULATIONS

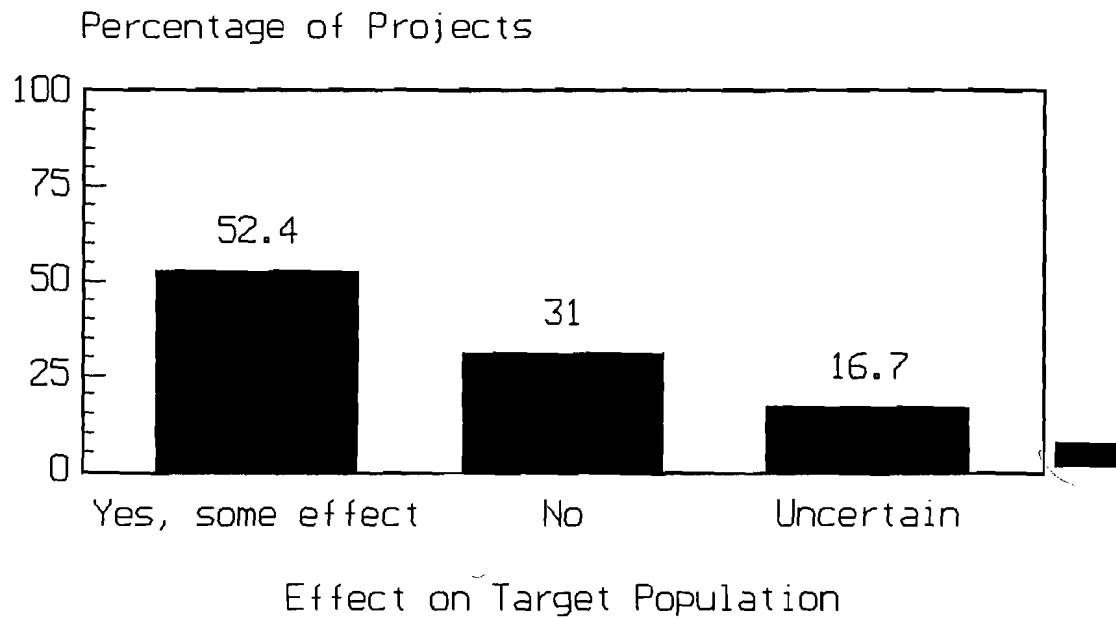


Figure 18

PERCEIVED IMPACT OF PROJECTS ON TARGET POPULATION, BY REGION

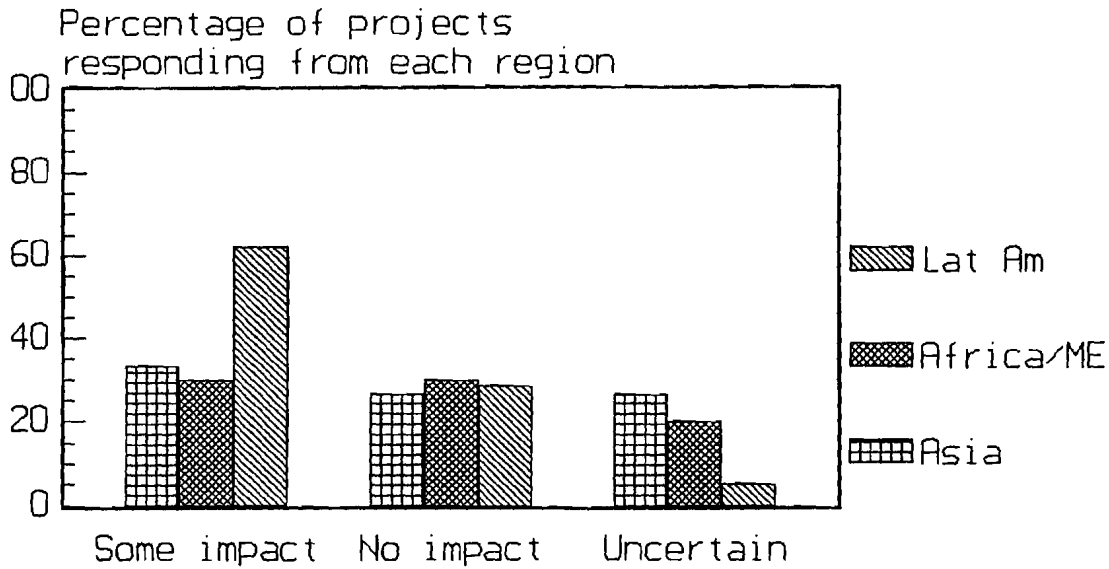


Figure 19

PERCEIVED IMPACT OF PROJECTS ON TARGET POPULATION, BY RECIPIENT INSTITUTION TYPE

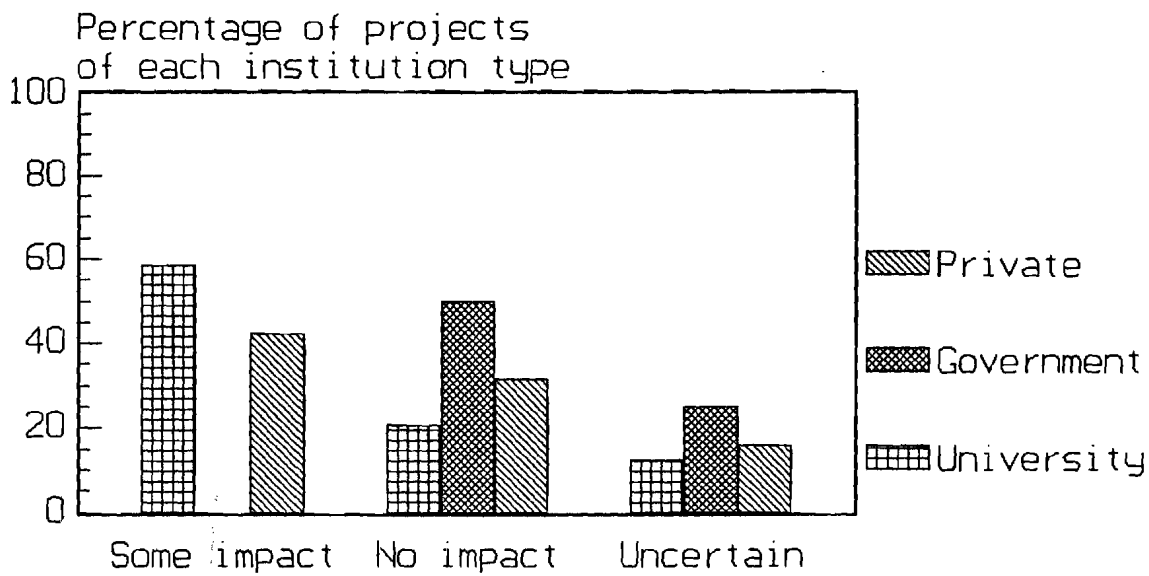


Figure 20

*ironic that
government had
no impact!*

population to the research results (#31). Another respondent felt that sharing the research results directly with the target population had resulted in that group's "greater sense of purpose" (#36). Two respondents indicated that the conduct of the research itself, particularly the field work, had led to awareness-raising among the target population (#02, 14).

When asked why they thought the research was unable to have an effect on the target population(s), respondents again offered few answers. A few referred to obstacles within the policymaking process, such as "clientilism" inside planning institutions (#32), or government agencies which had little interest in the research (#21). The relationships between policymakers and the target population and between researchers and the target population were also cited as factors. In one case, lack of confidence in NGOs (#32) was considered key. In another, the target population was "diffuse" and not closely linked to the project (#40); in others, the recipient institution did not have the means to train the target population (#41) or had difficulty in approaching community based organisations (#39).

Several respondents who described effects of the project on the target population qualified their responses in some way. For example, one stated that it was "hard to 'prove' that a single study had such an impact upon the broad groups listed above..." (#11). Another felt it was "difficult to determine precisely because there isn't a very direct relationship between research and development action" (#36). Still another felt that "new efforts to support useful programs...have been made -- not as a direct response to any unique proposals on our part, but as elements in a more diffuse process of change" (#05).

Most respondents did not mention how they had ascertained whether the research had had an impact on target populations. Only one respondent reported that evidence of the project's impact on beneficiaries had been obtained during subsequent studies (#60). Another respondent suggested that "holding a colloquium would be of great interest to evaluate the impact of the study on the target populations" (#29).

B. 2. Crosstabulations Using Impact on Target Populations

Crosstabulations were done linking data on the impact of the research on the target population to other variables, but the results were not statistically significant. For example, data on the impact on target population(s) were crosstabulated with responses on attendance of the population studied at workshops. The results for this were inconclusive. In 10 cases where the target population attended a workshop, there was also an effect on the target population; whereas in 12 cases where workshops were attended by the target population, there was no effect observed on the target population. When crosstabulated with attendance by governments, there

was coincidence as well with impact on the target population. However, no causal relationship can be assumed.

B. 3. Additional Impacts of the Research Project

Respondents were asked to describe any additional effects of the research on any aspect of development (social, economic, political, environmental) in their country. Few described any specific impacts, and several indicated that it was too soon to comment. Responses can be found in Appendix D.

C. Impact of the Research Project on Training/Research Capacity Building

The questionnaire asked the respondents for their perspectives on the impact of the research project on training (defined as "the development of specific skills which contribute either to the capacity to carry out research or, more generally, to the ability to address development problems").

C. 1. The Project's Initial Objectives Regarding Training

When asked about the project's initial objectives with regard to training of project personnel, 62.2% (n=28) of 45 responding indicated that "training was one objective amongst others" whereas 33.3% (n=15) indicated that they had had limited interest in training but it had not been an objective of the project. Only 4.3% (n=2) respondents indicated that the project had had no interest in training. In no case was the project "solely concerned with training" (although responses were missing in 2 cases).

C. 2. Development of Skills

A list of skills was given in the questionnaire and respondents were asked to indicate the extent to which they felt each type of skill was developed during the project. Generally, respondents indicated a high level of skill development in project design and questionnaire design, and a fairly high level of development in interviewing/data collection, data analysis, project management, writing, with slightly less in organising conferences. (See Appendix C).

Respondents were also asked to list any additional skills which had been developed during the project. Most of the skills listed can be grouped into the following categories: skills in multidisciplinary research (n=3), skills related to working in a

team (n=4), skills in interinstitutional coordination (among research institutions, as well as with governments, NGOs, etc.) (n=4), and skills in working with practitioners, governments or beneficiaries (n=3). Other skills mentioned as having been developed include learning where to find information, increasing understanding and skills related to social indicators (#01), enhancing ability to solve practical problems (#16), and learning to draft a project for submission to donors (#27). Several respondents also mentioned here that the project contributed to a greater understanding of or appreciation for the subject area (n=4).

C. 3. Post-Secondary Degrees or Diplomas Obtained

The questionnaire asked if any researchers used the field work toward the completion of a post-secondary degree or diploma. Figure 21 contains the total number of degrees reported, as well as a breakdown by region. The responses suggest that many of the projects did not lead to post-secondary degrees or diplomas, although the high number of missing responses makes conclusions difficult (it is not clear whether missing values indicate "Do not know" or "0"). Most degrees obtained were at the Masters level. Projects in Asia accounted for relatively more Bachelor and Masters degrees, while the few PhD degrees were spread evenly (throughout) the regions.

C. 4. Other Increased Research Capabilities/Ability to Address Development Problems

Respondents were also asked to comment if the project contributed to increased research capabilities or the ability to address development problems in any way not already mentioned. The answers to this question were diverse. Some respondents listed additional skills which had been developed, such as computer skills (n=2) and increased ability in social survey methods (n=2). Others specified that research assistants had gained expertise and stature because of the project, and had gone on to become professionals or join other institutions (n=2).

Other specific effects on research capacity reported were the collection of reference materials (#01), the use of the study as a practicum exercise for graduate research classes (#02), the collection of valuable data (#19), the development of theory and methodology for further studies (#17, 33), the establishment of inter-institutional linkages and coordination between research institutions (#11, 32), and the enhancement of regional cooperation in comparative research (#13). Two respondents noted that their studies had raised other issues for research (#06, 36).

Other examples of responses can be found in Appendix D.

NUMBER OF POST-SECONDARY DEGREES
COMPLETED THROUGH PROJECTS
(for projects responding)

43

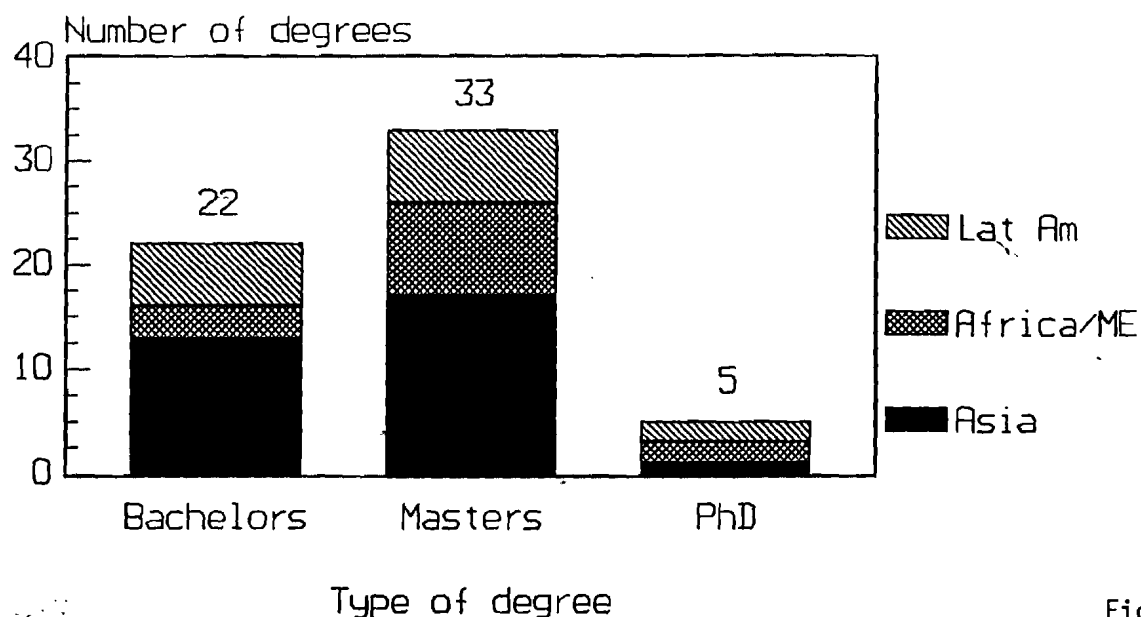


Figure 21

D. Conclusions re Influence of Recommendations on Policy Development, Utilisation of Recommendations, and Impact of the Research

Policy development was an important aspect of most projects responding to the survey, fitting the Social Sciences Division's objectives regarding support for policy-oriented research. Policy recommendations were made in a number of critical urban policy areas.

It is more difficult to determine from the responses what influence projects had on policy development, although there are indications that some projects did have an influence. Similarly, there is a lack of knowledge of the extent to which groups utilised policy recommendations, with more certainty in the case of utilisation by governments, and less certainty with regard to utilisation by NGOs, productive enterprises and the population studied.

Nonetheless, some respondents felt that the projects did have some degree of influence on policy development, although there was not often evidence that the project alone was responsible for policy changes which occurred. Projects apparently did affect policy and program development at several levels, from program implementation to policy design to changes in policymakers' attitudes towards a problem.

The responses indicate that influence took various other forms, as when policymakers expressed interest in the data or agreement with the recommendations. In other words, while recommendations are not always implemented, policymakers can be influenced by the research in a variety of subtle or indirect ways which can nonetheless be important.

Contacts with policymakers, especially those in government, appear to have been crucial in influencing policy development. Conventional dissemination channels such as workshops and journals seemed important, but a greater number of respondents reported that more direct links, including consultancies and personal links, were influential. Similarly, access to policymakers was a key in facilitating utilisation of research results, not only through dissemination of research results but also through more permanent links between researchers and policymakers, at both an individual and an institutional level. Conversely, utilisation was inhibited by inadequate dissemination, weak institutional links, and changes in personnel at policymaking institutions.

Numerous other factors reportedly had an effect on policy development and utilisation; these included the political and economic climate, level of organisation of the target population, quality of the research, and timing of the research. This reinforces the assertion that the process of policymaking and the factors affecting it are complex.

In addition, a significant percentage (over 50%) of respondents reported some effect on the target population, although not all indicated whether actual changes in the situation of target populations were observed. Influence on target populations seemed to occur where there was contact between the target population and the researchers (as when researchers provided consultancy services), where results were disseminated to policymakers or to the target population, or when the field work itself led to awareness-raising.

In most projects, training was an objective. Considerable training occurred through the projects in terms of development of skills. Some projects also contributed to the completion of degrees, mainly at the Master's and Bachelor's level.

Projects also contributed to research capacity-building in a variety of ways. Respondents cited the development of skills which enhanced the institution's ability to conduct research to address development problems; the development of human resources that improved institutional capacity; and inter-institutional linkages that increased cooperation and coordination among institutions.

E. Other Comments for IDRC

Respondents were given the opportunity to provide additional comments for IDRC to consider. Some of the comments reiterated points made elsewhere, such as the importance of urban issues, or reviewed topics which they considered of primary importance and the groups which dissemination should target. Some respondents took the opportunity to suggest specific research topics for which they would like IDRC to consider funding.

Other respondents gave suggestions for IDRC to consider. Their main points can be summarised as follows:

- ✓ (a) IDRC should continue or increase support for research on urban issues (urban research is less "institutionalised" than other areas of research);
- ✓ (b) IDRC should support comparative research, both within and between geographical regions (e.g. between Africa and Latin America, or between Asia and Latin America);
- ✓ (c) IDRC should support action-oriented research, action programs based on initiatives of community and family-level organisations, or even implementation of research recommendations;
- ✓ (d) Access to IDRC's information services, including access to information on other IDRC-supported research, should be increased;
- ✓ (e) IDRC should continue to evaluate projects and their impact, by means of surveys such as this, or seminars at which researchers evaluate project impacts and identify future areas of research.

A few respondents commended the Program for undertaking the survey. Others complimented Program staff for their assistance and advice to researchers, or commended IDRC for being one of the few organisations which supports social research.

IV. Trends and Priorities in Urban Research for Development

A. Trends

Virtually all respondents felt that in the last decade it had become more important to examine urban issues. Over half of respondents thought that national and international support for urban research had increased in the last decade. Most Asian respondents felt that national and international support had increased, although a few judged that these had decreased. Most African respondents thought that national support had increased, and that international support had either increased somewhat or had not changed. Most Middle Eastern respondents saw no change in national support and a slight increase in international support. Latin American respondents tended to report some increase in support for urban research, although there were also some who observed no change or even a slight decrease. (See Appendix C).

B. Priorities

Respondents were asked to list current and future urban research priorities both in their own country and in developing countries more generally. Most respondents answered this question. The structure of responses varied somewhat, with some respondents providing general categories which they considered of priority ("urban services") while others offered more specific topics ("formulation of concrete policy proposals on employment, health, education, drinking water, sewerage, transport and shelter"). For the purpose of identifying common areas of concern, responses have been organised according to general topics. Appendix E contains tables showing the breakdown by category.

The results should not be considered comprehensive or conclusive, since the number of respondents per region varied a great deal, and the sample is not a random one of urban researchers in developing countries. Nonetheless, the responses provide an indication of priorities as well as some suggestions for topics which the Urban Development Program could consider supporting.

B. 1. Priorities in Developing Countries Generally

Table 1 in Appendix E compares current and future research priorities in urban research for development as identified by respondents.

One observation which can be made is that the priorities given by respondents

(Randomness does not necessarily provide more reliable or better results. In fact it could be argued that because IDRC selects project leaders from among the most active in each region, this is an excellent sample.)

correspond fairly closely to the priority themes of the Urban Development Program. This is of interest because respondents answered the questionnaire prior to the mail-out of the new Program description, which was written in January 1990 and mailed to researchers by the Program in mid-1990. The Program description sets out the 3 main themes of the Program as being (i) Governance, Decentralisation and Urban Management, (ii) Urban Poverty, Access to Resources and Participation, and (iii) Urbanisation, Economy and Environment. ✓

Areas which respondents consistently identified as research priorities include urban management and finance, decentralisation, delivery and financing of basic urban services, housing and land, poverty and survival strategies, participation, employment, the informal sector, the urban economy, cities and macroeconomic considerations (including effects of structural adjustment), environmental problems, and urban development strategies generally. These broad areas remained priorities for developing countries in the future as well as in the present. *comparable just above every 2-3*

Beyond these basic categories, respondents mentioned topics such as health and education, preservation of architectural heritage, political governance, breakdown in quality of life, and urban crime and violence as being worth further study. (These are for the most part issues which fit within the Urban Development Program's mandate although are not specifically mentioned in the Program description.) A number of respondents mentioned the need to identify urban development strategies which are appropriate to the particular situation of the country or urban centre.

Regional development and rural-urban migration were listed as priorities by several respondents, although issues of a specifically rural nature were not mentioned by any of the respondents as being future priorities.

There were few issues identified as current priorities which were not also named as future priorities. Of these, industrial policy and international migration were named as current but not future priorities.

B. 2. Current Priorities in Respondents' Own Country

Table 2 in Appendix E contains current research priorities identified by respondents, arranged by geographical region.

Topics which were consistently mentioned as priorities across Asia, Africa (and the Middle East) and Latin America include urban management and local governance, urban service delivery, housing, land access and use, participation, employment, the informal sector, the urban economy, environment, and crime and violence.

Considerable emphasis was given to the informal sector by Latin American respondents, likely reflecting the relatively large number of respondents with interests in that issue. Industrial policy and regional development were not mentioned by Latin American respondents.

B. 3. Future Priorities in Respondents' Own Country

Table 3 in Appendix E contains responses by region. Again, urban services are given priority, with an increasing number of countries specifying basic services such as water, education and health, and non-basic services. Interestingly, housing and shelter seemed to be mentioned less often and were not mentioned by any Asian respondent.

Environment was also identified as a priority issue in all regions. Employment generation remained important in all regions, while surprisingly the informal sector was mentioned less often, and not at all by Asian and African respondents.²¹ Urban management and finance, and the urban economy and consequences of macroeconomic policies remained priority areas for all regions. Crime and violence were mentioned slightly less often, and not at all by Asian respondents.

Respondents from Asia, particularly those in the more developed countries, and from the Southern Cone of Latin America tended to mention issues such as poverty less frequently; problems were more related to quality of life, changing social relations, and the effects of more advanced technologies.

²¹In cases where issues were mentioned less frequently as future priorities, it is possible that this results from respondents' not fully completing the question, rather than a reflection of their assessment that the issue was not a priority.

V. Recommendations

A. Recommendations For IDRC Support for Urban Research

A. 1. Outputs and Dissemination

A number of recommendations follow from the survey findings:

- ✓ 1. Develop or improve mechanisms for ensuring that technical reports are sent to and are recorded by the IDRC Library.
- ✓ 2. Consider mechanisms for following up on project outputs: perhaps a followup letter sent to the project leader 1 or 2 years after project completion; or incentives to encourage project leaders to provide this information to IDRC (e.g. regularly publish or circulate lists of IDRC-supported research outputs); and continue to encourage project leaders to send IDRC copies of outputs even after project completion.
- ✓ 3. Suggest to project leaders that they mention in their reports to IDRC outputs in addition to books, papers and articles, such as teaching and training materials, photographs and databases for use by others, as well as dissemination through course teaching, thesis supervision, etc. and through mass media.
- ✓ 4. Conduct further evaluation to determine the impact of various kinds of outputs on policy development and on target populations, and to investigate additional hypotheses e.g. are audio-visuals, or mass media, more useful than publications in reaching a popular audience or specific target populations?
- ✓ 5. Continue to support conferences, seminars and workshops as a useful way of disseminating research results to a fairly wide audience and particularly to policymakers and other researchers. However, ensure that key groups (e.g. representatives from the appropriate Ministry or municipality) are encouraged to attend. Continue to suggest, where appropriate, that project leaders include in their workshops, or hold additional workshops for, groups other than researchers and policymakers, particularly the population studied or their representatives, where feasible.
- ✓ 6. Investigate and suggest ways of disseminating research results to those groups which project leaders expressed an interest in reaching but were less successful in reaching, especially the population studied.
- ✓ 7. During project development, urge researchers to consider what forms of written

outputs are most appropriate (e.g. published books), and to produce summaries of the project findings for dissemination to wider audiences and to policymakers. Attention should be paid to a number of issues regarding publication of research results (e.g. language of publication, accessibility) and where necessary include these costs with dissemination costs (e.g. cost of translation into a local language).

- ✓ 8. Provide additional encouragement to regions where publication may have been less (Africa, and to some extent Asia).
- ✓ 9. In projects, continue followup beyond publication to the distribution stage. For example, who distributes the publications, and at what level (national, international)? Are commercial or non-commercial channels appropriate? (Assistance could be obtained from the Communications Division in this regard.)
- ✓ 10. Investigate not only what the outputs of projects were, but also who the users (actual as well as potential) of these outputs are. For example, were published books distributed, received and read?
- ✓ 11. Investigate the reaction of target groups (e.g. policymakers, target populations) to the research results, as a followup to individual projects or as an evaluation of a group of projects.
- ✓ 12. Continue to urge project staff to take into account the objectives of the research when identifying formats for dissemination. Is it to inform or change government policies? To contribute to the development of alternative programs? Ensure that researchers identify target groups for dissemination of results, and means of reaching these groups, during project development, and that they include these methods and their costs in project budgets and time frames where feasible.
- ✓ 13. Judging by respondents' comments, it is important to continue support for information exchange, not only distribution of research results but also networking, exchanges of working papers on a particular topic, sharing of methodologies, etc. Continue to promote inter-institutional linkages at all stages of projects. Consider, where feasible, avenues for sharing of information on specific themes (e.g. as with the suggestions for a bulletin on the informal sector, or the formation of working groups on specific topics), or suggest to institutions that they develop these linkages.

A. 2. Utilisation and Impact

- ✓ 1. The survey results reveal the complexity of issues such as utilisation and impact of research. Much more investigation is needed on the processes of policy-making and implementation themselves, as well as how these processes are influenced (by research

as well as by other factors). It is likely that only a few of the variables which affect policy development were mentioned by respondents (e.g. nature of the government and political processes, the country's economic situation, relationship of individual researchers to policymakers).

For this reason, it is important not to over-generalise. Different issues have to be looked at depending on whether research results are targeted for governments, NGOs, or other groups; on the particular social, economic and political environment of the country or locale, etc. IDRC could conduct or support further research on these issues.

- ✓ 2. Take factors which may facilitate or inhibit utilisation of research results into account during proposal review and development. This is already done to some extent, particularly in project appraisals. However, the experience of past projects can contribute to the identification of these factors. For example, categories of facilitating and inhibiting factors could be identified: e.g. one could think in terms of factors internal to a project (researchers' links with policymakers, quality and presentation of research results) and factors external to a project (policymakers' prior interest in an issue, personnel changes within policymaking institutions); or in terms of political, economic and social factors. It would be more difficult to identify these factors for a particular region, country, institution, etc. since what affects these will change over time, and often depends on what is not measurable e.g. personalities.

Researchers should also be expected to attempt to identify facilitating and inhibiting factors in their proposals to IDRC. ✓

- ✓ 3. The perspective of this survey has been whether policymakers and potential users are exposed to the results of research. The question could also be asked: what kind of information do policymakers and potential users want? In what format do they require it? Further investigation of the "demand" side of research is needed (Glover, 1990), although it should not necessarily be what determines research priorities. Similarly, it seems crucial to investigate the information needs of beneficiaries, rather than making assumptions about these needs.
- ✓ 4. The researchers' own attitudes to utilisation and impact should be considered. The survey suggests that there was relative satisfaction with dissemination, yet many researchers were unable to define any impact or influence of the research, suggesting that some may be satisfied with dissemination alone.
- ✓ 5. In proposals to IDRC, researchers should continue to be expected to define anticipated outcomes of the project, and to identify potential beneficiaries and users of the research, to outline the participation (formal or informal) of beneficiaries and users in the research process, and to provide an indication that their interest in the

this is the whole issue of involving policymakers at the project design stage - something which has been tried for years with varying degrees of success

proposed research has been investigated.

- ✓ 6. The Program should continue its efforts to encourage links, both formal and informal, between researchers and policymakers. This is "easier said than done"; however, where possible, policymakers should be included in the research process. The same should be done with potential users or beneficiaries.
- ✓ 7. It would be interesting to explore the effect, if any, of contacts between IDRC staff and policymakers on policy influence and utilisation. (Such contacts presumably would have at least some awareness-raising effect on policymakers. This is not to advocate an increased role for IDRC staff in this regard, but since such contact does occur, its effects should not be ignored.)
- ✓ 8. The survey indicates that governments, more often than other groups, were reported to have utilised research results. Recipients could encourage utilisation not only by governments but also, where appropriate, by NGOs, community-based groups, the population studied, beneficiaries, etc.
- ✓ 9. Projects, in making recommendations, should include an assessment of the feasibility of implementing the recommendations (including resources required, physical/logistical constraints, and so on.)
- ✓ 10. The survey responses confirm that there is no clear linear path from research results to dissemination to utilisation and impact. On the contrary, indirect methods seem to be effective in having an impact. For example, in some cases target populations benefitted by the research process itself, rather than through implementation of research recommendations by governments or non-governmental organisations (for example, when the interviews raised people's awareness of their situation or informed them of services available to them). This was the case even where the research was not explicitly action research. To illustrate further, there was a range of ways in which respondents felt that the research had an influence beyond the implementation of policies (for example, where policymakers became convinced of the importance of an issue). In another case, legislators were interested in empirical findings from the research, not specifically in its recommendations (#02).

There is a need to devote attention to the process of research and its effects, not just the effects of dissemination of research results. A key question is whether influence on policy development is more likely accomplished by bringing recommendations to the notice of policymakers, or through more indirect methods (e.g. sensitising policymakers to the issues by involving them in research).

Also, one can hypothesise that projects have indirect effects beyond what this survey shows, such as effects on research capacity beyond what was identified by

respondents, or generation of knowledge which can over time have an impact on target populations.

- ✓ 11. Most of the respondents had to make assumptions about if and how the research benefitted the target populations, in the absence of any systematic evaluation. However, caution should be exercised in making assumptions about what will benefit the "beneficiaries". For example, if the project increases a population's awareness of its rights, will the eventual impact on that population be positive or negative (in the particular political climate)? Some attempt to investigate this would be useful (either a review by the Program, or an investigation by recipients following project completion).
- ✓ 12. It is important to clarify all assumptions about utilisation and impact. For example, there may be cases where it is not desirable that policy recommendations arising from IDRC-supported research be utilised, where recommendations are inappropriate ~~for example, if conflicting positions on the issue are still being debated or are unresolved~~ or even harmful. One question is whether IDRC's emphasis on utilisation constitutes endorsement of research results and recommendations arising from research projects which it supports.

in my view, the donor make recommendations inappropriate

A. 3. Other Suggestions

- ✓ 1. A number of useful suggestions were made by respondents, including support for comparative urban research, within and among continents; support for action research; and better access to information through IDRC. These should be taken into consideration by the Program. It is important to note, however, that some of the suggestions are beyond the Centre's mandate. For example, the suggestion that IDRC support implementation of action programs following research projects may be something the Centre is unable to consider; nonetheless, creative ways of addressing implementation of research results can be and are being thought up (for example, IDRC can facilitate links between recipients and implementing agencies, such as CIDA or NGOs).

A. 4. Priorities for Research for Urban Development

- ✓ 1. Respondents generally agreed that increased support for urban research is needed. Obviously researchers in the urban field will have "vested interests" in increased support, but they are also in a position to identify priority areas for research. If one judges by their responses, IDRC should consider continuing if not increasing support for urban research. In particular, based on current and future priorities identified by respondents, IDRC should continue to support research on the urban environment, the

urban economy and impact of macroeconomic policies and debt on urban life, urban management and delivery of basic services, housing and land, poverty and survival strategies, and participation. These are issues and problems which respondents indicated are likely to be important into the future.

2. It would be useful to conduct a more systematic and comprehensive survey of urban research priorities, analysing by region, particularly if the Division considers it important to concentrate support for research on more specific topics. This could be done through a followup survey to a sample of researchers in the field.

B. Recommendations For Future Evaluation-Related Surveys

The survey generated a great deal of information. This information is by no means comprehensive, but it does give an indication of the effects of projects, and does suggest avenues for action and areas requiring increased attention. ✓

The survey was also of some value in re-establishing contact with past recipients (institutions and researchers), and in giving former project leaders an opportunity to provide feedback and to present ideas for further research. ✓

Several respondents conveyed their opinion that the survey was valuable in giving them the incentive to review project outcomes. ✓

The use of periodic evaluative reviews of completed projects should be considered in future. This type of survey can provide information which might not be obtained in any other way, because (a) it can be designed to collect more information than what is otherwise available and (b) it can capture information which is not available until several years after project completion. For example, as an experiment the author compared two completed questionnaires with existing information on file (which would normally often be the only information available for compiling the Project Completion Report). The questionnaire responses contained substantially more information on outputs, dissemination and impact than appeared on file. In some cases, program staff will have additional information on projects, but such information does not necessarily become part of the "corporate memory".

However, this type of survey has its limitations. It is difficult to thoroughly explore dissemination, utilisation and impact of past research projects using a mail-in questionnaire format. Other limitations are described in Part I of this report.

Since this type of evaluation may be adapted in future for other use, additional recommendations are as follows:

1. With regard to questionnaire design, the experience of this survey has shown that it is important to include open-ended questions, which capture information specific to projects which might not be otherwise made available. The disadvantage is that these qualitative data can make analysis more problematic.
2. During design of the questionnaire, it was thought that by separating the questionnaire into distinct sections relating to project outputs, policy development, utilisation, and impact and by following a particular line of reasoning, respondent thinking would be directed into meaningful categories. The disadvantage in doing this is that respondents may neglect to mention points which do not arise obviously from the questions. Some respondents were able to provide information which challenged the assumptions about the linear process suggested by these categories, such as those who indicated that the research had an impact on target populations even though policy recommendations had not been utilised.
3. There was some confusion over terms such as "policy development" and "utilisation", which led to inconsistent responses and made any data analysis beyond descriptive analysis difficult. Terms need to be carefully selected and their use illustrated.
4. The issue of confidentiality must be carefully considered. If the main objective of the survey is to identify trends and test hypotheses about project outputs and outcomes, then confidentiality can be assured to researchers. However, if the main objective is to obtain details on specific projects and their outcomes, then confidentiality should not be guaranteed because the identity of the respondent will be made known.
5. Issues of policy influence, utilisation and impact of research need to be investigated further. This survey provided important information but should not be seen as comprehensive. One mechanism which could be instituted is periodic follow-up evaluation of specific projects and their impact (for example, after 1-3 years) done by Program staff during travel or by questionnaire.
6. Future evaluations of past IDRC-supported projects could consider the use of other data sources, such as interviews with users of research results and with groups identified as beneficiaries of the research results. Although contacting such data sources is less feasible than mailing questionnaires to past recipients, ways of obtaining the input of users and beneficiaries should be considered.
7. Because the factors identified by former project leaders as affecting utilisation and impact of research results are somewhat specific to particular countries and political situations, it might be useful to investigate the research environment in specific countries or even for specific institutions.

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