

I. PROJECT IDENTIFICATION

931011(3)

PROJECT TITLE

Land Tenure and Related Institutional Development
211(d) Grant to University of Wisconsin

APPENDIX ATTACHED

YES NO

FD-206-663
A1

PROJECT NO. 931-11-920-111
O.C. 1025.2

RECIPIENT (specify)

COUNTRY

REGIONAL

INTERREGIONAL **TAB**

4. LIFE OF PROJECT

BEGINS FY 1969

ENDS FY 1976

5. SUBMISSION

ORIGINAL

REV. NO. 2 271876

CONTR. PASA NO. CSD 2263

II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

A. FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMODITIES \$	F. OTHER COSTS \$	G. PASA/CONTR.		H. LOCAL EXCHANGE CURRENCY RATE: \$ US (U.S. OWNED)		
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN	(2) COOP COUNTRY	
										(A) JOINT	(B) BUDGET	
PRIOR THRU ACTUAL FY	2,120	2,120						2,120				
OPRN FY 76	180	180						180				
BUDGET FY												
BUDGET +1 FY												
BUDGET +2 FY												
BUDGET +3 FY												
ALL SUBO. FY												
GRAND TOTAL	2,300	2,300						2,300				

OTHER DONOR CONTRIBUTIONS

(A) NAME OF DONOR	(B) KIND OF GOODS/SERVICES	(C) AMOUNT

III. ORIGINATING OFFICE CLEARANCE

DRAFTER	TITLE	DATE
Edgar Owens <i>Edgar Owens by H-115</i>	Director, TA/RD	2/18/76
CLEARANCE OFFICER	TITLE	DATE
S. Butterfield <i>S. Butterfield by H-115</i>	AAA/TA	2/18/76

IV. PROJECT AUTHORIZATION

CONDITIONS OF APPROVAL

Amendment to Supplement to Grant AID/csd-2263 is authorized to add a focused research scope of work (attached) to Section III.B, Expanding Knowledge, and provide \$180,000 from FY 76 KPA 1 programmed funds.

Ref.: Action Memorandum for the Deputy Administrator dated 2/23/76

CLEARANCES

BUR/OFF.	SIGNATURE	DATE	BUR/OFF.	SIGNATURE	DATE
TA/PPU	Thomas L. Eliot <i>TLE</i>	2/23/76			
TA/PPU	Carl R. Fritz <i>CRF</i>	2/23/76			
PPC/DPRE	A. Handly <i>AH</i>	2/26/76			

APPROVAL AAS OR OFFICE DIRECTORS

SIGNATURE: Curtis Farrar *Curtis Farrar* DATE: 2/24/76

4. APPROVAL A AID (See M.O. 1025.1 VI C)

SIGNATURE: John Murphy *John Murphy* DATE: 2/24/76
ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT

MAR 9 11 29 AM '76

FEB 26 1976

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU : ES
 AA/PPC, Philip Birnbaum

FROM : AA/TA, Curtis Farrar

SUBJECT: Amendment to the 211(d) Grant to the University of Wisconsin Land Tenure Center for Research

MAR 1 11 26 AM '76
 EXECUTIVE SECRETARIAT

PROBLEM: To provide funds for research undertaken by the Land Tenure Center of the University of Wisconsin.

DISCUSSION: You will recall that last Spring you approved a two year extension (7/75 - 6/77) of the 211(d) grant to the University of Wisconsin Land Tenure Center. The grant of \$415,000 covered core costs. Funds were earmarked for support of the Center's research program in the FY 1976 Congressional Presentation under Agricultural Economics and Analysis, Page 14. However, these funds were held in abeyance pending action on two points: (1) Seeking additional financial support for the Center and (2) developing research agenda agreeable to both the LTC and AID.

With respect to the first point, the Administrator has approved an Action Memorandum which will be followed shortly by letters from Mr. Parker and Chancellor Young to the organizations listed at Attachment B. (PPC is now arranging to have State/IO, Treasury, HEW, et al clear the Parker letters as appropriate.)

With respect to the research program, the AID Committee on Land Tenure has just completed six months of discussions with LTC. While the Committee has not written a report on these discussions, the original proposals of the LTC have been modified in response to AID's operational needs and are now considered satisfactory by the Committee. The scope of work for research is Attachment A. The summary budget of the grant is Attachment D.

RECOMMENDATION: Since the first condition is in the process of being met, and the second condition has been met, it is recommended that you sign the attached PROP Amendment face sheet, Attachment C, which provides \$180,000 for research during the period of the current 211(d) grant and increases the total of the grant to \$595,000.

For your information, the management of the LTC was changed several weeks ago. Suffice it here to say that we are pleased.

Attachments: a/s

Clearances:

AA/TA:SHButterfield (info) LA/DR:BSchouten (phone) AFR/DS:AGayoso (phone)
 TA/AGR/ESP:AMartin (draft) PPC/DPRE:AHandly EA/TD:JFot1 (phone)
 GC:CGladson NE/T:JDalton (phone)

Drafted: TA/RD:GBayer vc 2/20/76

Scope of Work for Land Tenure Center
Research Grant

The research program of the Land Tenure Center shall be organized under the headings and with program and country emphases as follows:

1. Monitoring Land Reform Experience. The LTC shall collect library materials, maintain sources of secondary information, work with officials, universities and students in developing countries and, as much as resources permit, carry out field research on land reform experience in developing countries. During the period of the grant the LTC will give special emphasis to the Philippines, Chile, Peru, Turkey and Ethiopia.
2. Interaction of Land Tenure Systems and Agricultural Advance. The major subjects in this category are the relationship between land tenure systems and technological innovation, population density and irrigation and the structure of opportunities, especially jobs, with country emphases in Tanzania, Zambia, Philippines, Ethiopia.
3. Group Farming. This category includes the evaluation of economic and social results of group farming and the various arguments used by governments to justify their support of group farming; land consolidation; problems of incentive structures, government involvement and management and group farming as a way of employing landless workers. The first area of emphasis listed above involves world-wide study of group farming. In addition country studies in South Korea, Honduras and El Salvador are planned on several of the more discreet aspects of group farming.
4. Peasant Participation. This category includes the situation and role of small farmers, tenants, sharecroppers and landless workers before and after land reform; cultural and economic factors related to peasant participation; and the role of farm organizations in helping small farmers. Special attention will be given to Chile and the Southeast Asian countries.
5. Legal Aspects of Land Tenure and Rural Development. Research in this category will be concentrated on agrarian tribunals in land reform and legal issues involved in peasants' access to needed resources and services. The geographic emphasis is Latin America.

List of Prospective Donors

- ✓ World Bank Group
- ✓ United Nations Development Program
- ✓ Inter-American Development Bank
- ✓ Organization of American States
- Asian Development Bank
- Ford Foundation
- Rockefeller Foundation
- United Nations Food and Agriculture Organization
- United Nations International Labour Organization
- United Nations Educational, Scientific and Cultural Organization
- United States Department of Agriculture
- Social Science Research Council
- African Development Bank

211(d) GRANT TO UNIVERSITY OF WISCONSIN LAND TENURE CENTER

Grant AIF/csd-2263

Original: 4/28/69 for five years

1,500,000

Objective and Scope

To expand permanent full-time core professional staff and organize interdisciplinary courses of study in land tenure and related rural institutions.

To expand library and public information services

To expand research in geographical regions other than Latin America to provide comparative analyses.

Amend. 1: Extend to 9/27/74

Amend. 2: Extend to 6/30/75

Add: 205,000

SUPPLEMENT: PROP Rev. 1 approved by Mr. Murphy 6/10/75

Extend two years to 6/30/77

Add: 415,000

Objective and Scope

To complete on-going research on agrarian reform, rural poverty, community development, related institutional changes.

To direct six graduate fellowship programs.

To develop a focused research program.

Amendment: PROP Rev. 2 for approval by Mr. Murphy
Total Supplement to Grant

Add: 180,000 30%
595,

Objective and Scope

Focused Research (See Attachment A)

TOTAL GRANT

\$2,300,000

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Date _____

Technical Assistance Bureau
Field Support Project
Analysis

Project Title : Land Tenure Center

Project Number: 931-11-120-111

Contractor : University of Wisconsin

Response:

1. This project was initiated in FY 62. It is currently approved through FY 77 and will be considered for extension in FY 77 by TAB and the Regional Bureaus.
2. Not Applicable.
3. The requests for services are initiated by Missions, LDC officials, Regional Bureaus, multilateral and international agencies and are forwarded directly to the contractor or through official AID channels. The services are funded under separate contracts apart from general enquiries. These are handled out of the library and information portion of the "core grant." In all cases in which AID is the financing agent, Regional Bureau and/or Mission clearance is obtained. Some of the work done by the LTC is financed by LDC governments or other aid agencies.
4. The project budget is based on the amount of "core support" needed to sustain the LTC as an institution. To this, there is added a separate amount for research. Both estimates are reviewed by the AID land tenure committee and discussed with the LTC. The final figures reflect AID needs and interests as well as the minimum operating requirements of the LTC.
5. The most recent communication to Missions was sent out in November 1974.
6. The following Missions have used the services of the LTC the last two years:

Philippines
Chile
Colombia
Kenya

Ecuador
Peru
Sri Lanka
Honduras

Costa Rica
Bangladesh
Bolivia
Uruguay

Cont. - Land Tenure Center

7.	<u>Man-Months of Services</u>	<u>Of Which Field Requested Task</u>
Contract Period Ending		
4/1/73 - 3/31/74	200	60
4/1/74 - 3/31/75	226	80
8. At Madison, the LTC carries on continuously the tasks covered by the "core cost" grant, that is, maintaining the library and running the information service, and teaching. In addition, some of the research is done in Madison.		

931 - 111

March 10, 1977

TO: AA/TA, Mr. Curtis Farrar
FROM: AA/PPC, Philip Birnbaum
SUBJECT: Memorandum for the Record - University of
Wisconsin Land Tenure Center (LTC)

This second extension of the subject project is approved given the higher utilization of LTC services in the future years expected by the Africa, Latin America and Near East Bureaus.

The supporting documentation--A. Shakow memo to the Acting Deputy Administrator of March 7, 1977--indicates that the funding for the period of this extension, basically FY 1978 and 1979, would be financed each year as follows:

One-third from the University; one-third from "earnings" and user fees and one-third from the AID 211(d) grant extension. It is understood that the user fees are estimates and it is difficult to predict the LTC's volume of business in FY 1978-1979. However, it is recommended that as new users including AID mission programs request the services of the LTC consideration be given to charging higher fees than presently contemplated--more like the true costs of the LTC services--so that at the end of FY 1979 the LTC might have a "surplus" and be less dependent for its core support upon still further extensions of 211(d) grants.

MAR 7 1977

ACTION MEMORANDUM FOR THE ACTING DEPUTY ADMINISTRATOR

THRU: ES

FROM: AA/PPC, Alexander Shakow

Problem: Request for your authorization of \$838,000 for a 27-month extension of the 211(d) grant to the University of Wisconsin (UW) Land Tenure Center (LTC). This extension is needed to facilitate continued utilization of LTC's unique capacities for training, information dissemination, research and advisory assistance on agrarian reform, land tenure and related issues dealing with access to productive resources by the world's rural poor.

Discussion: Less than two years ago DA/AID carefully examined the request to authorize the first 2-year grant extension for the LTC. Before deciding to approve that request, A.I.D.'s twelve year association with UW and the LTC was thoroughly assessed. The findings of a review team composed of senior A.I.D. officers and outside experts, whose comprehensive report on the initial 211(d) grant had been completed the year before, were considered. This report clearly saw need for further utilization of the LTC's capacity and recommended a continuation of A.I.D.'s support. It concluded that without A.I.D.'s support this unique institutional resource could not be continued. But it found that the LTC's effective capacity could and should be improved through better management, through a research effort more clearly focused toward outputs addressed to areas of priority for A.I.D. and LDC rural development needs, and through improved linkages both with other U.S. centers of excellence and with LDC institutions with common interests.

Beyond these findings and recommendations -- which the University accepted and agreed to act upon -- DA/AID wanted additional assurance that UW would tap and effectively utilize other potential sources of financial support to the LTC, such as other donor grants and charges for services, before approving the recommended extension. To this end, Sam Butterfield from AA/TA conducted another round of negotiations with LTC and UW administrators before concluding that, while the grantee should be encouraged to make additional efforts to reduce dependence on A.I.D., the prospects were slim. It was acknowledged then that to maintain an effective, internationally oriented information, research, training and advisory capacity in the LTC, A.I.D. assistance would be needed.

11/11/77 10:30 AM

On June 10, 1975 DA/AID approved the grant extension but urged that the University and LTC should make every reasonable effort -- with A.I.D.'s help -- to implement recommended improvements as well as to seek other sources of financial support.

Since then substantial progress has been made:

1. The University selected a new Director of the LTC. It drew the Center into a closer, more supportive administrative relationship to the University and its College of Agricultural Economics.
2. The new administration of the LTC worked with faculty to develop and gain support for a well focused, more rigorous research program emphasizing issues of priority to A.I.D. and LDC development practitioners.
3. The PhD-in-Development program has been permanently maintained and continues to draw outstanding students from throughout the developing and developed world.
4. Linkages with U.S. institutions with interest and capability in land/man issues for rural development have been substantially expanded and similar linkages with LDC institutions initiated.
5. The new LTC Director and TAB's Office of Rural Development have initiated and continued frequent joint planning sessions with our Inter-Bureau Land Tenure Committee.
6. Partly as a result of these sessions an issues-oriented international conference on rural poverty, agrarian reform and development will be hosted by UW under the leadership of LDC agrarian reform experts in the summer of 1977.
7. A practitioner-oriented, up-to-date collection of state-of-art papers on agrarian reform has been initiated by LTC faculty and has been given a first-phase review by our Land Tenure Committee.
8. The basic, high quality core program for library maintenance, on-campus training, agrarian reform monitoring, worldwide network maintenance and information dissemination, and consulting has been continued.
9. LTC initiated user fees for its library/publication center services to defray some costs previously borne by the UW and the A.I.D. grant.

10. The University launched a broad effort to gain direct financial support from organizations interested in maintaining and utilizing the LTC's capacity; among them were the IBRD, IDB, FAO, UNDP, UNESCO and several major foundations. For a variety of policy and institutional reasons A.I.D. was unable to add its support to these efforts. The responses were laudatory of the LTC program but unproductive of new funds.

Since major new sources of funds were not forthcoming, this request for a second extension of the 211(d) grant reflects much the same support mix as has obtained during the first extension. About one-third of the LTC budget (\$350,000) will come from the University in salaries, physical plant, reduced student fees, unbilled administrative support and other in-kind contributions. Clearly, the Wisconsin state legislature is unprepared to support an increase in this share. Another third will be earned through library/publications user fees plus consulting contracts with other aid-agencies, our field Missions or Regional Bureaus, some LDC's or middle income countries directly, plus occasional, but very limited grants. (Total: approximately \$300,000) For the final third, the A.I.D. grant (\$350,000 per 12 months) is still essential to cover the core costs of the LTC program.

In December the Research and Development Committee received this Grant Project Statement for this extension. It reviewed the recent history summarized above and concluded that, given the Agency's continued need for the LTC's institutional resources, it should be recommended for approval.

Noting the improvements at the LTC and in its more positive relations with the Agency as a whole, the Regional Bureau representatives on the R&DC unanemously supported the motion to recommend approval.

Several added specific comments. The Africa Bureau representative indicated his bureau's expectation for a higher utilization of LTC expertise to assist in addressing the complex land/man problems facing the Missions trying to identify and implement new approaches to rural poverty and land access issues on that continent. The Latin America Bureau representative welcomed the LTC's broadened interests and its focused research agency as likely to yield more useful help for the rural development focus of the 70's than had the narrower "agrarian reform" focus of the Alliance for Progress in the 60's. He also pointed out that quite aside from the formal use of the LTC by the Bureau, the LTC's continuing information network with its own graduates and other contacts throughout Latin America represented a continuing informal influence of great value for more equitable tenure policies for rural development.

The Near East Bureau representative strongly supported this view, indicating that through such contact in Iran, Syria, Iraq, Egypt and Jordan, the LTC is able, informally but effectively, to influence rural development policy and programs in the sensitive areas of tenure and tenure related issues. This continuing influence, it was noted, is only possible if the LTC's program remains at the forefront of land/man issues through our grant support.

The R&DC did recommend that, mid-way through this grant extension, a thorough evaluation of the project be done. At that time, the need for and character of our future relationship with the LTC should be considered and the appropriate means be selected to follow the 211(d) grant. This recommendation was based on the clear assumption that at the conclusion of this extension some form of continuing relationship between A.I.D. and the LTC would be appropriate, that our need for utilization of this unique institutional resource might change but probably would not cease, and that complete self-financing from non-Agency sources plus directly reimbursed services to A.I.D.'s Bureaus and Missions, was unlikely.

The R&DC also approved including within the grant a supplementary amount of approximately \$50,000 for travel, per diem and miscellaneous participant costs, to support the International Conference on agrarian reform and rural development to be held at Madison in July 1977. Although the University will absorb most conference costs and a number of A.I.D. Missions and host countries may send participants separately, it was agreed that many LDC authorities who will lead the conference should be brought directly by the LDC under this grant. Therefore, this recommended grant total of \$838,000 represents:

a) Operational support to the LTC at:

\$ 88,000 for the quarter 1 July-30 Sept. 1977
350,000 for the fiscal year 1978
350,000 for the fiscal year 1979

b) Supplemental funding for the international conference July 1977:

\$ 50,000

Funds for the support of the LTC were included in the FY 1977 Congressional Presentation under Agricultural Economics and Analysis, Page 13 of the Interregional Programs Section.

With your approval, negotiations with the University of Wisconsin will commence immediately to develop in greater detail a proposal for a grant extension/revision (through September 30, 1979) consistent with this memorandum, the attached grant project statement, and with Agency policy and regulations, for subsequent execution by SER/CM.

Recommendation: That you approve, by signing Part II of the attached Project Authorization Form (TAB B), the 27-month extension revision of the 211(d) grant to the University of Wisconsin for an amount not to exceed \$838,000, subject to satisfactory negotiation with the grantee.

Attachments:

- A. Project Authorization Facesheet Part I
- B. Project Authorization Part II
- C. Grant Project Statement

Clearance:

AA/TA, C. Farrar Curt Farrar Date: 2/25/77
GC, G. Morgan, Jr. GM Date: 3/1/77
GC/TFHA:ARRichstein ARRichstein Date: 2/23/77

TA/RD:HHobgood:bf
2/18/77