



Institutional Grant Project Statement

Proposal for a 211(d) Grant in Agricultural and Rural Sector Policy Area.

Applicant: North Carolina Agricultural and Technical State University

Date: June 27, 1977

Grant Title: Small Farmer Technology and Marketing Analysis for Rural  
Development

Amount and Term of Grant: \$765,600 for 5 years.

Sponsoring Technical Office: Office of Agriculture, Technical Assistance  
Bureau.

<u>Table of Contents</u>	<u>Page</u>
I. <u>Development Need and Relationship to Agency Priorities</u>	1
A. Description of Problem Area	1
B. Agency Priorities	2
C. State-of-the-Art	3
D. Institutional Gap, Shortage of Professional Minority Manpower, and Justification for 211D Grant	3
II. <u>Opportunity and Demand</u>	8
A. Current Demand	8
B. Areas of Focus and Relation to Demand	9
C. Steps to Facilitate Utilization	12
III. <u>Grant Project Design</u>	13
A. Purpose	13
B. Major Outputs and End of Project Indicators	15
1. Research	15
2. Education and Training	16
3. Advisory and Consultation Services	18
4. Information Capacity	19
5. Linkages and Networks	19
C. Critical Assumptions	20
D. Proposed Budget	21
E. End of Grant: Institution Status	22
IV. <u>Complementary Actions Planned</u>	23
V. <u>Management Considerations</u>	24
A. Role of Grant Project Officer	24
B. Evaluation Plans	25
C. Administrative Plans of Grantee	25

	<u>Page</u>
VI. <u>Selection of Grantee</u>	26
A. Criteria for Evaluation of Universities	27
B. Results of Selection Team	29
VII. <u>Role of Women</u>	30
VIII. <u>Environmental Impact</u>	30
IX. <u>Critical Progress Indicators</u>	31
X. <u>Environmental Threshold Determination</u>	33
XI. <u>Project Design Summary</u> Logical Framework Matrix (3x4 - Elimination of Goal Level)	34

## I. Development Need and Relationship to Agency Priorities

There is an urgent need in most developing countries to improve the performance of their agricultural sectors as a means of promoting their overall economic and social development. In many developing countries, food production has barely kept pace with population growth, while in Africa and parts of other continents per capita food production has actually declined. This inadequate output growth is in spite of massive expenditures on agricultural programs, including billions of dollars of external development assistance. This assistance, while increasing the production of a few basic grains grown largely in irrigated areas, has failed to solve many problems that require much more attention if LDCs are to have the capacity to produce adequate food for their burgeoning populations in the future.

The situation in many countries is even less satisfactory in regard to objectives other than increasing food production such as improving income distribution, reducing underemployment, raising productivity and levels of living of the rural and urban poor, and maintaining price and balance-of-payments stability. Countries and international assistance agencies are placing priority on programs whose benefits will be widely distributed by the output and productivity increasing process itself, rather than deferring concern with equity objectives until adequate output levels have been achieved.

The term "Rural Development" is increasingly used to include the ex-

pansion of productive employment opportunities both on and off farm; greater sectoral, regional, and personal equity in the distribution of income and social services; and increases in agricultural output. In this sense, rural development looks at the LDC growth process from the viewpoint of a target population—the majority of people in rural areas who now exist in varying degrees of absolute and relative poverty and whose conditions are tending to deterioriate in many countries as rural populations grow relative to available resources, current technology and prevailing institutional structures. Within this context of development, agricultural production by small farmers continues to play an important role. However, these benefits must be distributed broadly so as to reach others in the rural community as well, such as landless laborers and non-farm workers.

Agency priorities as detailed by the "New Directions" mandate focus on the areas of food and nutrition, population and health, and education and human resources. Programs in these areas are designed to have an impact on the poor majority target group - a large part of whom are found in the rural areas of the world and are dependent on agriculture either directly or indirectly for their livelihood and existence.

The focus of programs in the areas of agricultural production and rural development will continue in the foreseeable future as evidenced by the FY 1978 Congressional Presentation, and the 1979 Annual Budget Submissions. Nevertheless, this expressed concern of rural development with multiple economic and social goals for the target rural population has not yet pro-

duced an adequate analytical framework or an approach that shows how the benefits of the development process can be widely extended to the small farmers, landless laborers, and non-farm workers who constitute the poor majority of LDC rural populations. The need to assist LDCs to develop their own capacity to analyze agricultural and rural development problems has been identified by AID as a significant problem area. LDCs need to be able to explore a wide variety of questions about agricultural and rural development analytically-using relevant tools and reliable data. They need to understand how the farming and marketing systems of small farmers operate, particularly the use and adoption of technology. They need to know, for example, how best to allocate resources among different crops. They need to know whether their land, labor, and capital resources are being used efficiently in pursuit of their multiple goals. They need to better understand how agricultural change effects the total economy and how the agricultural sector is affected by growth and change in other sectors of the economy. They need to understand how to motivate and effectively organize for participation their population groups that have largely been excluded from past growth processes. At present, most LDCs are unable to obtain useful answers to these questions due to a lack of analytical capability and a poor data base. Nevertheless, in a number of countries, policy makers are beginning to recognize the significance of the questions and the importance of the analytical capability needed to answer them.

Following the concern with world food supplies in the mid-60s, the

less developed countries and AID began to attach much higher priority to agricultural and rural development. This shift in priorities soon revealed a critical deficiency in the Agency's skilled manpower. To provide the help that the developing countries need in the shaping of programs and policies which would substantially increase their agricultural production, research, skilled methodology, sophisticated analysis, and professional expertise are required and can only be provided by economists and other social scientists with an understanding of and experience in agricultural and rural development.

A large part of the Agency's needs, of course, can be met through contracts with private consultants and with universities, and these devices are used extensively. There remains, however, the responsibility of establishing the framework of a total program, of ordering priorities, of evaluating results and of seeing that results are applied. As a result AID missions with substantial agricultural development programs need more agricultural economists and other rural development specialists as regular staff members. These requirements can only be met if the Agency and LDCs had access to a larger number of capable economists and social scientists professionally trained and working on programs of agricultural development.

The need for trained and experienced agricultural and rural development specialists has continued to increase both within AID and LDCs. Missions, and Regional Bureaus, have been unable to attract and retain personnel with

the skills they need in this key problem area. The deficit supply in talent has been accentuated by the recent strong shift of emphasis in the Agency toward agricultural and rural development objectives, especially in terms of their relationship to the small farmer and the rural poor. Needs for additional manpower and analytical results are reflected in the overall Agency approach to food production and increased equity and in the country strategies proposed in many of the DAPs.

AID has used several approaches to build and utilize talent in U.S. universities for activities designed to strengthen LDC capabilities to undertake their own planning and policy analysis. The 211(d) institutional grants in agricultural economics have been important elements in building university capacity. They represent a first step towards the overall goal of improving the quality of life in developing countries. The Expanded Program in Economic Analysis provides a means to utilize the capacity and professional expertise developed at U.S. universities under 211(d) grants.

There is general agreement within the Agency that it needs to involve more minority group individuals in its programs and that the 1890 land grant universities' experience in assistance to small farmers and the rural poor in the United States may be very helpful to AID in designing and implementing small farmer development projects in LDCs. TA/AGR presently has two university grants in agricultural economics: Virginia State College and Southern University. These grants were designed in 1971, when AID's emphasis (with regard to grant programs) was on building institutional

capacity, and not on developing institutional response capability as is now called for. Utilization of the capacity generated by these grants is now being emphasized and various AID offices and the grantees are identifying opportunities in developing countries where the capabilities which have been developed can be applied.

Minority participation in foreign assistance activities either through previous 211(d) grant programs, professional minority staffing within AID, other U.S. government agencies or private consulting firms qualified to execute R and D programs is still small. Comprehensive minority professional training programs, which can generate new talents versed in international development skills and provide needed overseas exposure to existing talent, are virtually non-existent.

The continuing critical shortage of experienced professional minority manpower and the need for developing these resources in minority universities were important considerations in the Agency's decision to begin negotiations on two new 211(d) grants with 1890 land grant institutions. The grants proposed to the Agency would develop the capabilities of the institutions selected to analyze factors contributing to rural poverty with regard to both production and distribution activities. The grants emphasize a multi-disciplinary approach to rural development problems through the involvement of disciplines such as rural sociology, anthropology, psychology, education, agricultural extension, etc., along with economics and agricultural economics.

A PID was submitted to the Research and Development Committee on July 13, 1976 for concurrence to proceed with the institution selection process and development of grant project statements. The Committee agreed that TAB should utilize the 211(d) grant approach to develop the capacity of minority institutions as the most economical and effective among alternative funding modes. Regional Bureau representatives of the Committee indicated their support for further development of the project because expertise was critically needed. The Committee felt that the funding proposed for the activity was not sufficient to fully support the intended multidisciplinary activities at the two institutions which might be selected. TAB accepted this advice and increased the funding. The DA approved the PID on November 2, 1976 and the process of selecting two institutions from among the 1890 land grant colleges and the development of grant project statements was started. (See Section VI).

In light of the above, the Economics and Sector Planning Division of TA/AGR proposes that a new multidisciplinary 211(d) grant involving economics, agricultural economics, and other social sciences be established and extended to North Carolina A&T State University. The purpose of this grant is to increase the competence and strengthen the capabilities of North Carolina A&T State University in assisting less developed countries in planning and executing programs and projects concerning their economic and social development.

In general, the grant will be directed towards developing programmatic

capabilities required by AID such as project identification, design, analysis, implementation and evaluation. This grant will enable North Carolina A&T State University to enhance its capacity to provide this type of technical assistance to LDCs in the general area of Small Farmer Technology and Marketing Analysis for Rural Development through the funding of research activities and dissemination of results; faculty training to enhance analytical skills; opportunities for involvement in advisory and consultation activities; curriculum revisions to include economic development aspects; additional courses; seminars and workshops; and increased library holdings.

Grant funds are insufficient to build broad institutional capacity in international economic development. However, funding of these activities will allow the institution to strengthen an environment which is supportive of work in international economic development by permitting faculty and students to work on LDC problems and allow faculty to gain actual experience overseas. As such it will act as a catalyst which will ease the expansion of other development activities at the University. On the other hand, AID will be able to utilize response capabilities in such areas as small farmer technology and marketing which the University has developed during the grant period.

## II. Opportunity and Demand

Agency priorities are now focused generally on programs aimed at a predominantly rural target group and in the key areas of food production, nutrition, population, health, education and human resources. Mission requests for technical assistance accordingly have focused on these areas of concern as well. From a programmatic standpoint, requests for assistance

have centered on project identification, design, implementation and evaluation in the key areas just mentioned.

The proposed focus of activities under North Carolina A&T's grant, Small Farmer Technology and Marketing Analysis for Rural Development, appears to tie in well with current and future opportunities and demand within the Agency. The vast majority of people in the LDCs are involved in subsistence and/or small scale agriculture. In addition one of the major problems in development efforts in LDCs is the development, adoption, and utilization of appropriate technology by the small scale farmer, and the analysis of their existing marketing and distribution system. Therefore the proposed 211(d) grant will use a multidisciplinary approach involving agricultural economics, economics and other social sciences to examine problems in these and other areas of relevance to agricultural and rural sector policy analysis.

A. Small Farmer Technology: The activities in this component would emphasize the current social and community structure, with the anticipation that education and extension systems (formal and non-formal) could be used to transmit knowledge of changes in production and management techniques. It would be hoped that some of the major economic/<sup>and</sup> social as well as non-economic barriers to technology advances can be identified. Efforts to develop alternatives or to modify existing systems could then begin so as to improve the quality of life of the rural poor. The University would seek to develop collaborative research with LDC institutions in this problem area.

It is anticipated that the work on small farmer technology would focus on the identification, analysis, and evaluation of problems in the discovery, adoption, and diffusion of new technology. The major problem areas center on questions such as the socio-economic factors that affect the rate of adoption of new technology; the rate at which technical gains in developed countries can be transferred to the developing countries; what types of extension systems exist for the dissemination of information pertinent to changes in production procedures and practices, and what non socio-economic conditions (soils, topography, etc) retard the development of technology.

Particularly important in many of the LDCs is an understanding of how the decision-making process is structured. For example, sociological and anthropological factors may have an important role on the rate at which changes are made in management and production practices by <sup>the</sup>small farmer. There is a need to understand the role that community and social groups play and what effect they have upon the small farmers' choice of technology.

B. Marketing and Distribution: One of the major problems in the development efforts among LDC's is that of marketing and distribution of production surpluses (production above home consumption needs). These problems relate to either market and distribution institutions or to market functions. It is anticipated that institutional problems in marketing would focus on credit (formal and informal sources), community and social structure, and channels of distribution, including cooperatives, assembly and distribution systems and the role of marketing boards. The assembly and distribution systems are especially important for the small

farm producer, since his marketable surpluses are likely to be small. An understanding of the operations of current assembly systems and the development of adequate assembly and distribution would assist in improving the quality of rural life.

The major problem areas under market functions could include standardization and grading of commodities, price stability, transportation and storage. Storage is especially important both at the producer level and at the assembly points. Cost analysis and feasibility studies might be among the research topics to determine if reductions of post harvest losses justifies investment in storage facilities at the farm or at the assembly point. Research on problems of this type would be applied in nature and designed to solve pressing small farmer marketing problems which are preventing increases in the income and welfare of small farm producers.

The multidisciplinary approach to such research questions would involve the inputs from various departments. No formal multidisciplinary institute or center would be established to work on these problems. However an advisory committee consisting of members from the various social and technical science departments would be formed to assist the Grant Director in the allocation of funds to such research and other activities (See Section V). Course revisions for example, would also reflect some of the areas of focus in which response capabilities would be developed.

The response capabilities which North Carolina A&T State University wishes to develop are in problem areas where the Agency demands are significant and promise to increase further. For example, in the area of food

production, the Agency needs have centered around the production and distribution problems which face small scale agriculture. Therefore, North Carolina A&T State University's focus on small farmer technology and marketing and distribution problems of small producers are particularly relevant. The demand for such analysis and expertise far exceeds the supply.

At the end of the five year period, North Carolina A&T would have developed the knowledge and experience to assist LDCs in analyzing these types of agricultural and rural sector problems. The research activities, advisory services and courses at the university would generally complement each other. The development and strengthening of faculty skills in international development work would provide response capabilities useful to AID and also be an element of institution-building which would have to be further supported by other sources. Thus, the grant would provide the opportunity for overseas experience in LDCs that would be useful to both AID and the institution.

A number of steps are planned by AID and the University to facilitate the development and utilization of these response capabilities. University personnel would attend AID project design, logical framework, and other appropriate seminars in the earliest phases of the Grant to be conversant with AID's terminology and systems. Funds would also be allocated to permit University faculty to become involved in actual project identification and design activities in some of the problem areas outlined above. Such involvement is expected to become progressively greater after the first year of the grant. The Grant Project Officer (GPO), in cooperation with the Regional Bureaus, will alert the University of opportunities in the field that can pro-

vide more detailed and responsible involvement in such activities. This will also permit the response capabilities of the University to be developed and strengthened gradually.

### III. Grant Project Design

The grant to North Carolina A&T University will reflect the emphasis on developing institutional response capabilities. Prior to 1973, institutional grants emphasized the building of broad institutional capacity. While elements of this are still contained in such grants, it is generally recognized that funding is insufficient for developing such capacity solely from the grant. The activities and expected outputs which are described below can be viewed as catalysts which would stimulate additional support for international development activities.

The ultimate goal of this and other projects in agricultural and rural sector policy analysis is to strengthen LDC capabilities and assist LDCs in developing the capacity to analyze problems in their agricultural and rural sectors, thus leading to better program and policy choices for enhancing the quality of life of the rural poor. The purpose of this grant is to assist in the development of utilizeable response capabilities at North Carolina A&T in such areas as small farmer technology, marketing and distribution.

At the end of the grant period, AID and other donors would be able to contract with the University for such services as project design, implementation and evaluation, particularly in those areas of focus. The University expects that at the end of five years, there would exist a cadre of faculty

with overseas development experience and/in using multidisciplinary approaches to development problems, courses incorporating LDC economic development aspects, and established linkages with institutions working on development problems; all forming a base for further strengthening of an international development component at North Carolina A&T particularly in the social science departments.

Grant funds would be used to develop the institution's response capability using a multidisciplinary approach involving economics, agricultural economics, rural sociology and, to a lesser extent, anthropology, agricultural and extension education, technical agriculture and related fields as appropriate, to analyze problems in such areas as small farmer technology and marketing.

In general, grant funds would be used to finance the following:

North Carolina A&T expects to use grant funds to expand its faculty in agricultural economics and/or rural sociology; provide release time for research activities, faculty training, and advisory and consultation services.

North Carolina A&T will expend the bulk of its funds on activities which will expose faculty to LDC problems such as research and which provide the opportunities to work in the countries themselves. The University feels that this is the best alternative, given the level of funding, to develop response capabilities for AID and strengthen its international development capacity.

- Support of graduate and undergraduate students interested in agricultural and rural development problems.

North Carolina A&T views the student support element as critical in

attracting promising students into its international development programs.

- Funds would be provided for travel in establishing both domestic and international networks and linkages with institutions working on agricultural and rural sector problems in LDCs.

- Other funds would be used for workshops, seminars, publication of research results and increasing library holdings.

During the next five years North Carolina A&T will allocate grant funds to develop and strengthen its response capabilities by carrying out activities with these expected outputs:

A. Research (Expanded Knowledge Base):

North Carolina A&T will develop organized research emphasizing an interdisciplinary approach to problems of small scale producers and rural poor in LDC's as part of its academic training programs.

It is anticipated that research will focus on such areas as small farmer technology encompassing analysis of traditional technology and methods of disseminating improved technology through both formal and non-formal educational processes. Other research would focus on the analysis of conventional marketing and distribution systems used by small farmers, and on methods of altering those systems to improve their income and welfare. In general the activities will focus on applied research and will be strengthening analytical response capabilities of North Carolina A&T that are particularly useful to AID and other donors.

The grant will fund release time for faculty research as well as travel where on-site research is relevant. It is estimated that approximately 17 man months of faculty release time per year would be funded; a total of 83

man months for the life of the grant.

Approximately four research studies would be completed and results published by the end of the project.

B. Education and Training:

A number of activities are planned under grant support to improve or expand the educational and training capabilities of North Carolina A&T. Activities focused on this general area account for an estimated 60 percent of grant funds. A&T feels that these activities are <sup>part of</sup> the basis for long term response capabilities on the part of the University.

1. Curriculum Revision and Expansion - North Carolina A&T will expand and improve its undergraduate and graduate offerings in economics, agricultural economics and rural sociology as they focus on agricultural and rural development. It is expected that approximately five courses in economics, agricultural economics and rural sociology will be revised to reflect aspects of current development problems and/or research activities pursued by A&T under the grant. In addition approximately two new upper-level courses in agricultural economics and/or rural sociology focusing on aspects of development will be introduced. It is expected that this will require partial support for one additional faculty member.

The curriculum revision activities are expected to occur during the first two years of the grant. The University realizes that it will be difficult to expand course offerings by hiring faculty until possibly the spring of 1978 and will develop its detailed workplan to reflect this possibility.

2. Student Support - The grant will support approximately 15 students

for two years each in the North Carolina A&T graduate program. The graduate component in this grant will be used to support students who will follow an interdisciplinary training program in economic development of LDCs at a graduate level. Until the A&T graduate program for an M.A. in applied economics is implemented, these funds will be used to support students in graduate programs at other universities. When this occurs, a cooperative joint relationship will be negotiated with the involved university. If the graduate program in applied economics is approved by the State of North Carolina approximately 15 students would be expected to receive two years of support by the end of the grant period; because of added cost fewer M.A. students could be supported at other universities.

The undergraduate support in this grant will be concentrated at the advanced undergraduate level. Students agreeing to follow an interdisciplinary approach to economic development based in economics, agricultural economics or rural sociology will be supported by an average stipend of approximately \$500 per year. Every effort will be made to select students from this group to participate in the graduate program.

Fifty student years will be supported under this program involving an estimated total of 25 students each receiving about two years of support.

3. Faculty Training - The grant will provide release time for faculty to participate in study leave for graduate or post-graduate work in areas of agricultural and rural development. Approximately 5 man months each year of release time will be provided throughout the life of the grant, which

would permit approximately two faculty members to use one year of release time for graduate work by the end of the grant period. A&T views this activity as particularly useful in strengthening its international development response capabilities and their social science program in general.

4. Workshop and Seminar - A seminar series would be supported by the grant. A general topic area such as small farm technology or marketing will be selected and approximately three seminars held on aspects of that topic. For example, a topic on marketing problems of the small farm producer could include seminars on the nature of the producer, the nature of the product, and marketable surplus of the small farmer.

It is anticipated that in addition to the yearly series one or more seminars might be held during that year on other development topics.

These seminars will provide the opportunity for outside experts in agricultural and rural development to exchange ideas with both faculty and students and help forge stronger linkages with these individuals and their institutions.

C. Advisory and Consultation Services:

The grant will provide release time for the faculty of North Carolina A&T State University to serve as consultants and provide other services to USAID/W, AID missions, developing countries, and multinational organizations on project design, analysis and evaluation of AID projects in such areas as small farm technology, marketing and distribution.

North Carolina A&T will utilize grant funds for faculty to participate in AID workshops on design, planning, and evaluation, so as to enable the University's faculty to become familiar with AID planning systems. Approximately nine man-months of release time will be supported during the grant period.

The University views AID assistance in providing opportunities for advisory services as crucial in achieving the expected utilization of faculty. The scheduling of release time is expected to concentrate in the third and fourth years of the grant as opportunities become clearer and staff response capability becomes stronger.

D. Information Capacity:

North Carolina A&T State University will increase its library holding of books, periodicals, journals, and other pertinent literature pertaining to economic development in LDC. Grant funds will be provided for publication and dissemination of research findings of staff, faculty, and research assistants on problems of rural development in LDCs.

It is estimated that about 100 volumes per year dealing with development topics will be acquired. In addition, about three or four journals would be ordered.

E. Linkages and Networks

The University plans to increase its domestic linkages and ties with those institutions which share a common interest in the problems in developing countries. It will attempt to increase its visibility among U.S. institutions through its seminars, workshops, and publications. Faculty members will participate in the exchange of information with

their colleagues at other institutions having similar research and teaching interests. A special effort will be made to develop ties with other minority institutions interested in economic development. North Carolina A&T will also begin to develop linkages and networks with LDCs, assisted by AID/W and the Regional Bureaus. The purpose of this activity is to provide a basis for future involvement by the institution in development activities overseas. Attempts will be made to forge at least one domestic and one international linkage by the end of the grant.

Assumptions which are considered critical to achieving these outputs include:

1. Professional economists, agricultural economists and other social scientists with interest in pursuing research and related work in developing countries are available and interested in teaching and research at North Carolina A&T.
2. Graduate and undergraduate students at North Carolina A&T are interested in research and studies in development problems in LDCs.
3. AID will assist in identifying opportunities for utilization of faculty members in advisory/consulting activities related to agricultural and rural development.
4. Experts are available to present lectures, and seminars on selected marketing and development topics.
5. Research projects can be developed and adequate data obtained on crucial problems in the LDCs and problem areas selected.

Table 1 Estimated Budget

<u>Inputs</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Year 4</u>	<u>Year 5</u>	<u>Total</u>
1. Salaries	100,900	109,000	109,100	113,500	107,100	539,600
2. Student Support	11,500	23,000	31,500	28,500	8,500	103,000
3. Travel	19,500	19,500	15,500	16,000	12,000	82,500
4. Supplies and Materials	2,500	2,500	2,500	2,500	2,000	12,000
5. Publications	500	500	1,000	1,000	500	3,500
6. Library	2,500	2,500	2,500	2,500	2,500	12,500
7. Workshop and Seminars	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>2,500</u>	<u>12,500</u>
Total	139,900	159,500	164,600	166,500	135,100	765,600

<u>Outputs</u>						
1. Research	42,000	48,600	51,500	54,500	50,000	246,600
2. Education and Training	82,500	99,300	99,400	96,800	76,300	454,300
3. Advisory Capacity	3,400	4,100	9,700	11,200	5,300	33,700
4. Linkages and Networks	9,000	4,500	500	500	500	15,000
5. Information Capacity	<u>3,000</u>	<u>3,000</u>	<u>3,500</u>	<u>3,500</u>	<u>3,000</u>	<u>16,000</u>
Total	139,900	159,500	164,600	166,500	135,100	765,600

Table 1 presents estimated expenditures by input and output categories. A detailed project proposal and workplan outlining the activities in the first two years of the project and more general summaries for later years will be developed after GPS approval. The estimated budget allows for flexibility in the grant expenditures. As critical assumptions change or the development needs are altered, changes in expenditures may become necessary.

During the grant period North Carolina A&T will be attempting to develop linkages with other international donors. Through its involvement in overseas activities, it will attempt to demonstrate the gradual development of its response capabilities to Regional Bureaus and Missions. This will enable it to enter into contractual arrangements after grant funding ends that should provide partial support for the capacity developed by the grant. The institution intends to support some of the capacity developed through the grant, particularly new courses, if the demand for them continues.

At the end of the five year 211(d) grant to North Carolina A&T it is expected that the university will have:

1. a small but significant core group of social scientists in economics, agricultural economics, sociology, and anthropology with sufficient overseas research and consulting experience to be of substantial assistance to AID in the design, evaluation, and implementation of agricultural and rural development projects; particularly in the areas of small farm technology, marketing and processing;
2. an expanded set of courses in the social sciences which place em-

phasis on agricultural and rural development problems;

3. a significant number of graduate and undergraduate students interested in economic development as demonstrated by enrollment in courses emphasizing agricultural and rural development;

4. substantially expanded linkages with LDC institutions, development agencies, and professional groups working on or interested in the problems of international development -- as demonstrated by widespread recognition of the university's development program and professional staff working in this area; and

5. substantial improvements in library capacity and institutional support facilities for staff and students working on international development problems.

#### IV. Complementary Actions Planned

This multidisciplinary 211(d) grant with a focus of agricultural economics, economics, and other social sciences will permit North Carolina A&T to increase its competence and strengthen its capabilities in assisting less developed countries in planning and executing programs and projects concerning their economic and social development with emphasis on such areas as small farmer technology, marketing and distribution.

As mentioned previously, the grant will fund travel for University personnel to attend AID project design and logical framework seminars. In addition, the Grant Project Officer (GPO) will contact Regional Bureau representatives to become cognizant of opportunities for overseas involvement so that North Carolina A&T State University can continue developing

and strengthening its capabilities. The GPO with the assistance of the Regional Bureaus will alert missions of the problem areas that are covered by the 211(d) grant so that Missions may be aware of the developing capacity and opportunities for utilization of the institution in Mission activities.

North Carolina A&T will seek opportunities for their students and staff/faculty members to participate in: work study arrangements for students, short-term (summer) employment for faculty, and staff exchange with AID. Students with demonstrated talents would be encouraged to seek participation in the minority graduate and IDI programs.

#### V. Management Considerations

The GPO in TA/AGR/ESP will manage the 211(d) for the Office of Agriculture. In addition to the normal administrative requirements of such grants, the GPO will be the liaison for the University in matters dealing with the Agency particularly when the research and advisory activities of the grant require Regional Bureau and Mission assistance. The GPO will also alert the University of non-Agency opportunities that may arise for strengthening capacity such as research opportunities, seminars, etc. It is estimated that close to three man-months per year will be required to manage this grant in the first year and approximately 2 man-months per year thereafter. The grant will be centrally managed and funded by TAB; the response capabilities developed under the grant will be available to all the bureaus.

A coordinating committee consisting of the GPO and representatives

from the Regional Bureaus would assist the GPO in the development and utilization of the University's relevant response capabilities. These regional representatives will be the GPO's link to the Regional Bureaus in matters affecting the grants. The committee will meet from time to time to discuss North Carolina A&T State University's developing response capabilities and opportunities for its involvement in specific Mission and Bureau activities.

North Carolina A&T will develop a comprehensive work plan covering the activities of this grant. This workplan will serve as a management guide for the university and will be useful to the Agency for management and evaluation purposes as well.

In addition to the yearly reports and in-house review of the University's activities, on-site evaluations by a team consisting of representatives from the Regional Bureaus, the GPO and non-Agency representatives will be conducted every two years. The evaluation will focus on the objectives of the grant as well as those indicators of achievement which are specified in the grant proposal and work plan. Changes in the critical assumptions and work plan which may alter the achievement of the specified outputs will also be examined and considered during these on-site evaluations.

The management of the grant expenditures and contract-related documentation of activities will be accomplished by North Carolina A&T's Office of Research Administration under the direction of the Vice-Chancellor for Fiscal Affairs. Operationally, all grant activities will be carried out under

the leadership of the Grant Director who will be responsible directly to the Dean of the School of Agriculture. The grant will be organized as an activity in the School of Agriculture in cooperation with the School of Business and Economics. The Department of Economics and other departments such as Agricultural and Extension Education, Sociology, and Division of Social Sciences would form the interdisciplinary academic aspects of this grant. An advisory committee, consisting of members from the cooperating departments and the schools, will be appointed to advise and guide the Director in pursuing and implementing activities under this Grant. However, a formal multidisciplinary center or institute would not be formed by the University. The Grant Director in cooperation with the Deans of the Schools of Agriculture and the School of Business and Economics would determine whether the activities planned are consistent with the grant objectives.

The Grant Director will serve as the institution's contact with the GPO in TA/AGR/ESP. He will work with the GPO in developing contacts with Regional Bureaus and Mission staffs. The Grant Director will be responsible for submitting annual reports of the grant activities. The Office of Research Administration and the Office of Contracts and Grants at North Carolina A&T State University will submit the required fiscal reports to the Agency's Contracts office.

#### VI. Selection of Grantee

After the DA approved the PID for these two new 211(d) grants, on November 2, 1976 the following schools were identified from among the 1890 land grant institutions after a preliminary screening involving

informal conversations with personnel, peer group institutions, examination of and/University catalogues for an on-site visit by an AID selection team. The team visited the institution during the period January 25-31, 1977 to evaluate and recommend two universities with which to initiate discussion on the awarding of a possible 211(d) grant.

The four institutions were:

1. Florida Agricultural and Mechanical University,  
Tallahassee, Florida
2. Tuskegee Institute, Tuskegee, Alabama
3. Alcorn State University, Lorman, Mississippi
4. North Carolina Agricultural and Technical State  
University, Greensboro, North Carolina.

The institutions were evaluated on the basis of three broad criteria:

I. Existing competence and/or interest in agricultural and rural development (using a multidisciplinary approach with economics/agricultural economics as the primary disciplines) as demonstrated by:

1. evidence of significant congruence of faculty and AID interests in agricultural and rural development;
2. peer institution recognition of competence;
3. course emphasis and degree programs related to problem area;
4. participation in inter-disciplinary programs, research, etc.,  
- both intra and inter-university;
5. past or current work in problem areas with LDCs, AID and/or other

donors, or domestically;

6. caliber and interest of faculty in related subject matter fields;
7. quality and standing of person(s) assuming leadership for grants;
8. willingness and/or potential to tie into networks of similarly concerned institutions on the domestic and international scene

II. Commitment of university to the international development scene as demonstrated by:

relevant curriculum, research and specialized training--past or present--and number of LDC and/or U.S. programs in agricultural development work;

2. an opportunity by the institution to utilize the grant to broaden and improve the quality of its present involvement in international development;
3. admittance and special treatment of foreign students particularly from LDCs;
4. willingness to make appropriate faculty available without penalty to career development;
5. extent to which it is administratively and managerially prepared to handle overseas contracts;
6. policy and other actions to integrate overseas and home campus activities.

III. Receptivity to long-term involvement in assisting and working with AID, LDCs and other interested institutions within the selected problem areas as

demonstrated by:

1. sensitivity to collaborative and joint problem-solving approaches and need for new knowledge and methods in diffusion of information and technology;
2. interest in quality-of-life considerations and special requirements of LDCs where appropriate;
3. interest in skills of concern to AID, e.g., sector analysis and problem identification, program design, project services and evaluation.

The review team concluded that North Carolina A&T had the capacity in economics and agricultural economics to become involved in a 211(d) grant program where these disciplines could serve as a focal point for multidisciplinary approaches to rural development problems. Several of the economics and agricultural economics faculty members had some overseas experience either individually or through contractual/consortium arrangements.

The team also found that A&T had prior overseas involvement and had assisted institutions in several African developing countries. For example A&T's experience in problems of LDC's includes several Agency programs. In 1971 the University was in a consortium contract with West Virginia University and Ohio State University in providing technical assistance to Uganda. The University is currently in another technical assistance consortium contract with West Virginia in Tanzania. During the five year

period from 1972 - 1976 the Department of Economics administered a cooperative work-study program for Economic Interns for AID. The latter program involved training and supervising interns who were placed in AID missions overseas for five months of their training.

The team felt that A&T's approach to problems in domestic rural areas was multidisciplinary involving faculty from various departments and that there was clear understanding of the role and importance of problem identification, design analysis, planning and evaluation of research results. There was also a genuine appreciation for collaborative, problem-solving approach to rural development problems. Overall A&T had exhibited interest in and commitment to international development, both short and long-term, through its individual and institutional contractual/consortium activities.

VII. The Role of Women

North Carolina A&T State University's 211(d) grant would provide funding for several research projects in such areas as small farmer technology, marketing and distribution of commodities. It is anticipated that the role of women will also be analyzed within the framework of these studies as appropriate. In addition it is contemplated that workshops and seminars on these and other agricultural and rural sector topics will also encompass the Role of Women in the development process.

VIII. Environmental Impact

The proposed 211(d) grant to North Carolina A&T State University in agricultural and rural sector policy analysis using a multidisciplinary

social science approach is not deemed a major federal action (Section 6500.6 CEQ guidelines) since the project will have no significant effects which affect such aspects of the human environment as air, water, land, flora, fauna, or socio-economic conditions. These projects will primarily consist of survey taking, data collecting and partial analysis. Data processing, further analyses and publication of research results will be done in the U.S. The other outputs, as outlined in Section III, would not affect the environment.

COUNTRY	PROJECT NO.	PROJECT TITLE	DATE	<input checked="" type="checkbox"/> ORIGINAL	APPROVED
Worldwide	031-1154	Small Farmer Technology and Marketing Analysis.-A 211(d) Grant - North Carolina A&T State University	6-27-77	<input type="checkbox"/> REVISION # _____	

PROJECT PURPOSE (FROM PRP FACESHEET)  
 To develop the institution's response capability and multi-disciplinary capacity to assist LDCs in the areas of Small Farmer Technology and Marketing.

CPI DESCRIPTION

<u>Date</u>	<u>Prior Actions</u>
7/12/77	Research and Development Committee approves Grant Project Statement.
7/19/77	DA approves GPS.
	<u>CPI's</u>
9/20/77	Contract signed and Grant begins.
9/20/79	Course Revisions completed.
10/1/79	First group of Graduate students complete training.
10/1/79	On-site evaluation.
10/1/80	Second group of graduate students complete training.
9/1/81	On-site evaluation.
10/1/81	Third group of graduate students complete training.
1/20/82	End of project.

COUNTRY Worldwide	PROJECT NO. 931-1154	PROJECT TITLE Small Farmer Technology and Marketing Analysis for Rural Development - A.211(d) North	DATE 6-27-77	<input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION #	APPROV.
----------------------	-------------------------	---	-----------------	---	---------

OR FY FY77/FY78 Carolina A&T State FY79 University FY80

MONTH	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July	August	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July	August
-------	-------	------	------	------	------	------	-------	-------	-----	------	------	--------	-------	------	------	------	------	------	-------	-------	-----	------	------	--------

PRIOR ACTIONS

RDC approves and DA signs GPS

(1) Grant Begins

- (2) Course revisions completed
- (3) First group of graduate students complete training
- (4) On-site evaluation

ANALYSIS SCHEDULE:  
PROGRESS VS FINANCIAL  
EVALUATION SCHEDULE

CRITICAL PERFORMANCE INDICATOR (CPI) NETWORK

COUNTRY Worldwide	PROJECT NO. 931-1154.01	PROJECT TITLE Small Farmer Technology and Marketing Analysis for Rural Development - A:211(d) North	DATE 6-27-77	<input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> REVISION #	APPRO
----------------------	----------------------------	---	-----------------	---	-------

OR FY FY77/FY78  
CY Carolina A&T State University FY79  
FY80

MONTH	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July	August	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July
-------	-------	------	------	------	------	------	-------	-------	-----	------	------	--------	-------	------	------	------	------	------	-------	-------	-----	------	------

PRIOR  
ACTIONS  
  
RDC  
approves  
and DA  
signs  
GPS

0	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July	August	Sept.	Oct.	Nov.	Dec.	Jan.	Feb.	March	April	May	June	July	August

(1) Grant Begins

- (2) Course revisions completed
- (3) First group of graduate students complete training
- (4) On-site evaluation

ANALYSIS SCHEDULE:  
PROGRESS VS FINANCIAL  
EVALUATION SCHEDULE

CRITICAL PERFORMANCE INDICATOR (CPI) NETWORK

**PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK**

Line of Project:  
From FY 1977 to FY 1982  
Total U.S. Funding \$ 765,600  
Date Prepared: June 27, 1977

Project Title & Number: North Carolina A&T State University 211(d) Grant Small Farmer Technology and Marketing Analysis For Rural Development 931-1154

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes:</p>	<p>Measures of Goal Achievement:</p>		<p>Assumptions for achieving goal targets:</p>
<p>Project Purpose:</p> <p>To develop the institution's response capability and multidisciplinary capacity to assist LDCs in the areas of Small Farmer Technology and Marketing Analysis for Rural Development.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <p>1. Increased Core staff in agricultural economics and/or rural sociology by at least one full-time position. 2. Increased utilization of North Carolina A&amp;T faculty by AID, LDCs and other donors. 3. Increased knowledge base and research capability at North Carolina A&amp;T in the areas of Small Farmer Technology and Marketing Analysis for Rural Development.</p>	<p>1. Annual Reports, Project Appraisal Reports (PARs), On-site reviews 2. Annual reports, Regional Bureau documentation 3. North Carolina A&amp;T publications, on-site reviews.</p>	<p>Assumptions for achieving purpose:</p> <p>1. There is a need by AID, LDCs and other donors for the competence and expertise developed North Carolina A&amp;T. 2. Regional Bureaus will identify opportunities to utilize North Carolina A&amp;T staff capacity and expertise during the grant period. 3. North Carolina A&amp;T will maintain its commitments and interest in working with LDCs problems.</p>
<p>Outputs:</p> <p>1. Expanded knowledge base; in such areas as Small Farmer Technology and Marketing. 2. Strengthened educational and training capacity in agricultural and rural development. 3. Advisory and consultation capacity gradually developed. 4. Developed linkages and networks with domestic and LDC professionals. 5. Increased information capacity.</p>	<p>Magnitude of Outputs:</p> <p>1. 4 research projects. 2. (a) At least five courses in economics, agricultural economics, or other social sciences revised to include international agricultural and/or rural development aspects; (b) At least 2 new courses in agricultural economics and/or rural sociology (c) support for approximately 10-15 graduate and 25 advanced undergraduate students (d) approximately 5 seminar series held. (3) (a) approximately 25 mm of faculty leave for graduate and post-graduate training, (b) 9 mm of available advisory time. 4. Linkages developed with at least one domestic and one international institution. 5. (a) Publication of research results (b) Approximately 500 volumes added to library;</p>	<p>1. Annual Reports, PAR's. 2. Annual Reports, College catalogues, workshop proceedings. 3. Annual Reports, trip reports. 4. Annual reports, formal linkage agreements, correspondence. 5. Monographs Annual reports, library acquisition lists.</p>	<p>Assumptions for achieving outputs:</p> <p>1. LDC professionals collaborate on problems affecting LDCs. 2. Faculty and students can be recruited who are interested in pursuing international development work. 3. Faculty remain interested in advisory and consulting services. 4. Sufficient interest in forming linkages and networks exists in domestic and LDC institutions. 5. Facilities are sufficient for increasing information capacity.</p>
<p>Inputs:</p> <p>1. Computer, teaching, library, office, administrative and accounting facilities.</p> <p>AID 2. Financial Support 3. Project Management (TA/AGH) involvement. 4. Regional Bureau involvement.</p>		<p>1. Annual Reports 2. PIO/Ts and other AID records. 3. PARs, correspondence with North Carolina A&amp;T.</p>	<p>Assumptions for providing inputs:</p> <p>1. Facilities will be available at North Carolina A&amp;T. 2. North Carolina A&amp;T could not develop its capacity without financial support. 3. Guidance and direction needs to be given to grantee's program. 4. Regional Bureaus need to be involved in decisions affecting countries in their regions.</p>
	<p>Implementation Target (Type and Quantity)</p> <p>1) Present facilities adequate. 2) 765,600 over 5 years. 3. Approximately 2 man months per year. 4. Approximately 10 man days per year.</p>		



AGENCY FOR INTERNATIONAL DEVELOPMENT  
**PROJECT AUTHORIZATION AND REQUEST  
 FOR ALLOTMENT OF FUNDS PART I**

1. TRANSACTION CODE

A ADD  
 C CHANGE  
 D DELETE

PAF

2. DOCUMENT CODE  
 5

3. COUNTRY ENTITY  
 TA/AGR RDA #1 F

4. DOCUMENT REVISION NUMBER

5. PROJECT NUMBER (7 digits)  
 [931-1302]

6. BUREAU/OFFICE  
 A. SYMBOL: TAB B. CODE: [08]

7. PROJECT TITLE (Maximum 40 characters)  
 [Small Farmer Tech. & Marketing Analysis]

8. PROJECT APPROVAL DECISION  
 ACTION TAKEN  
 A APPROVED  
 B DISAPPROVED  
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION  
 YRS. [0] [5] QTRS [0]

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>77</u>		H. 2ND FY		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	185 I	030		750					
(2)									
(3)									
(4)									
TOTALS				750					

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S))	A. GRANT	B. LOAN
(1)					750		1 - LIFE OF PROJECT		
(2)							2 - INCREMENTAL LIFE OF PROJECT	1	
(3)									
(4)									
TOTALS					750		C. PROJECT FUNDING AUTHORIZED THRU		FY [8] [2]

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D. LOAN
(1)		
(2)		
(3)		
(4)		
TOTALS		

13. FUNDS RESERVED FOR ALLOTMENT  
 TYPED NAME (Chief, SER:FM:FSD)  
 SIGNATURE  
 DATE

14. SOURCE/ORIGIN OF GOODS AND SERVICES  
 000  941  LOCAL  OTHER

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE MM DD YY	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE MM DD YY

PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS

PART II

ENTITY: TA/Bureau

PROJECT: Small Farmer Technology and Marketing Analysis for Rural Developer

PROJECT NUMBER: 931-1302

I hereby authorize grant funds not to exceed \$750,000 and subject to satisfactory negotiations for a five year 211(d) grant with North Carolina A and T State University. This grant is designed to develop the response capabilities and multidisciplinary capacity to assist LDCs by North Carolina A and T in such areas as small farmer technology and marketing analysis.

This grant would be fully funded in FY 1977.

*Robert H. Nooter*

Robert H. Nooter  
Deputy Administrator

Date: 8/26/77

Clearances:

TA/AGR/ESP, WMerrill 7/18/77

TA/AGR, DClark 7/18/77

TA/AGR, LHesser 7/18/77

TA/PPU, KMilow 7/18/77

PPC/DPRE, EHogan 7/18/77

ENVIRONMENTAL THRESHOLD DETERMINATION

TO: AA/TA, Mr. Curtis Farrar

THRU: TA/PPU

FROM: TA/AGR, Leon F. Messer *LFM*

SUBJECT: Environmental Threshold Determination

Small Farmer Technology and Marketing Analysis for Rural

Project Title: Development

Project #: 931-~~153~~/502

Specific Activity (if applicable) 211(d) Grant-North Carolina A&T University

REFERENCE: Initial Environmental/Examination (IEE) contained in GPS attachment, p.30 dated 6-27-77

On the basis of the Initial Environmental/Examination (IEE) referenced above and attached to this memorandum I recommend that you make the following determination:

XXX 1. The proposed agency action is not a major Federal action which will have a significant effect on the human environment.

         2. The proposed agency action is a major Federal action which will have a significant effect on the human environment, and:

         a. An Environmental Assessment is required; or

         b. An Environmental Impact Statement is required.

The cost of and schedule for this requirement is fully described in the referenced document.

         3. Our environmental examination is not complete. We will submit the analysis no later than          with our recommendation for an environmental threshold decision.

Approved: *C. Farrar*

Disapproved:         

Date: *Jul 26, 1977*