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TA/POP
April 28, 1971

NONCAPITAL PROJECT PAPER (PROP)

Country: Worldwide Project No. 931-11-570-858

10p

Submission Date: April 28, 1971 Revision No. 4

Original Submission Date: April 29, 1969

Project Title: Situation Reports on Population Problems, Policies and Programs

U.S. Obligation Span: FY 1969 - FY 1973

Physical Implementation Span: FY 1970 - FY 1973

Gross life-of-project financial requirements:

U. S. Dollars: \$1,294,500

| | | |
|------------------------------|---------|-------------|
| Previous Funding Pattern:... | FY 1969 | - \$405,000 |
| | FY 1970 | - 397,960 |
| Proposed Extension..... | FY 1971 | - 411,000 |

Total.....\$1,213,960

BACKGROUND

This project (AID/csd-2515) with the California Institute of Technology, Dr. Harrison Brown, Principal Investigator, has to date received three years of funding, through June 30, 1972, for a total of \$802,960. It is likely the project will be extended three additional years, but obligating from FY 1971 funds enough to finance the project one additional year (until June 30, 1973). Before additional obligations will be made for the remaining two years of the extension, it is proposed the project be evaluated, and a decision made whether AID wishes to continue supporting the project. Because the project

has not been operating long enough to allow for a thorough review and analysis, and because universities need about two years for advance planning or project termination, evaluation of this project should take place in the first half of FY 1972 (July 1971 - December 1971).

As of March 1, 1971, the project has purchased and published eleven (11) Reports; has purchased but not yet published eleven (11) Reports; and anticipates twelve (12) Reports to be submitted for consideration by July 1, 1971. The first Annual Review Conference was held in Pasadena, California, December 1970, and the second meeting is scheduled for the Center for Mediterranean Studies, Rome, December 1971. A compilation of papers, articles and monographs presented at the Pasadena meeting will be in press as a single volume before July 1, 1971.

The body of the PROP that follows and the attached PIO/T do not change substantially the basic agreement (AID/csd-2515) or the original PROP (Revision No. 3) upon which that Contract is based and was originally reviewed and approved in the Agency for International Development.

 I. SUMMARY DESCRIPTION

The Division of Humanities and Social Sciences of the California Institute of Technology proposes to conduct a study of the factors affecting population growth and population policies. Hopefully the

study will lead to insights which will help the Agency improve the **effectiveness** of its own population programs.

The project is primarily concerned with increasing our understanding of the population problem as it is related to different social and cultural patterns throughout the world. The causes of population growth and the means of its control (including both acceptable technology and adequate motivation) are related to social attitudes, religious beliefs and economic conditions. What is true and what will work in one part of the world may be neither true nor efficacious in another.

It is proposed to make studies of population problems, policies and programs in such a way that our knowledge of demography may be combined effectively with an understanding in depth of local social and political conditions. It is hoped that from this effort our policies may be more carefully tailored and our actions more finely adjusted to the needs of particular societies. The studies, carefully selected by the Contractor, are the best observations available of population problems by non-population-oriented scholars with long residence in countries abroad.

II. SETTING OR ENVIRONMENT

Many of the official policies and programs as well as the traditional, cultural, and social practices have implications for population growth. The size and growth of the population, in turn, affect development. Many countries, sensitive to the role of population in development, are in various stages of evolution of population policies. One of the conditions that facilitates moving toward a population policy or program is an increased awareness of the factors

affecting population growth, the impact of population pressures, and the availability of family planning services. It is the purpose of this project (1) to survey the existing knowledge on population as it pertains to social and cultural patterns throughout the world, (2) to prepare reports which are intended to be a resource for policy makers within the host countries as well as in A.I.D. and create a public awareness of how population policy is formulated, and (3) expand supply of local scholars involved in population research through local and U. S. grant support. It is on such longitudinal overviews that evaluation of present policy and formation of new policy must depend.

III. STRATEGY

Intellectual direction for the development of the project will be provided by a member of the CIT faculty, a broad-guage scientist with knowledge of the field of population research and an able writer. Normally in residence on the CIT campus, he compares and assesses incoming material and participates in the writing which it is anticipated, will lead to the breaching of intellectual frontiers as well as to an enlarged public understanding of what is at stake. In addition, he plans and arranges annual conferences on topics of importance to students of population problems and to those who must formulate policies concerning population problems. He is assisted in his efforts by a group of CIT faculty, including both social and natural scientists, who are themselves engaged in research which in various ways touches on population problems.

Cal Tech maintains a close relationship with the development work of the National Academy of Sciences through the Office of the Foreign Secretary, Dr. Harrison Brown who is a member of CIT faculty as well as principal Investigator of this project. Professor Brown has developed a wide range of connections both at home and abroad which will be of great value to the project. At the present time the Academy has programs in Taiwan, Korea, the Philippines, Indonesia, Brazil, Peru and Colombia. Dr. Brown is in continuous contact with scholars around the world. Its ties with tropical Africa are strong.

The Division of Humanities and Social Sciences has appointed a Committee on Population Problems which oversees this project and includes the following persons:

Harrison Brown (Chairman), Professor of Geochemistry and of Science and Government, who has long been interested in the problems of developing nations and who is now seeking to correlate appropriate indices related to the development process and to population growth.

Alan R. Sweezy, Professor of Economics, who is particularly interested in the interrelationships between population growth, economic development and the quality of human life.

Edwin S. Munger, Professor of Geography, who has a deep understanding of African problems and whose chief research interest is the changing patterns of African nationalism. Among his concerns is the extent to which differential tribal birthrates and deathrates can bring about political upheavals such as Civil War in Nigeria.

James Bonner, Professor of Biology, co-author of The Next 100 Years and long interested in population problems.

Thayer Scudder, Professor of Anthropology, who is engaged in a long-term study of the Tonga tribe of Zambia in an attempt to understand the nature and mechanisms of social change. Population growth represents one of the key variables in his investigations.

A position for a top echelon scholar in population will be added to contribute technical expertise and guidance to this project.

For each of the three final years, FY 73-75, two local scholars will be supported at Cal Tech as visiting professors to engage in research and writing on population problems, and supplement the host-country scholar program in applying study analyses to specific countries.

IV. PLANNED TARGETS, RESULTS, OUTPUTS

In order to achieve the general objective of this contract, the Contractor will pursue the following specific objectives:

1. Prepare an annual report, which will analyze interrelated factors affecting population growth and population policy, such as changing technology, urbanization, cultural change, economic growth, governmental policies, and programs.

2. Organize and participate in an annual conference to bring together personnel from various disciplines and organizations to discuss factors relating to population, and to provide input for the annual report.

3. Seek out and support local scholars to provide relevant information on population problems.

4. Obtain (including purchase, where necessary) related publications and manuscripts such as reports, papers, books, etc., develop an international mailing list of interested persons, and distribute the publications and manuscripts, including the annual report, in accordance with the list. Such publications and manuscripts will be obtained for inclusion in the annual report as well as for distribution.

V. COURSE OF ACTION

It is the objective of this study to isolate and understand the factors which are determining the growth of population in developing countries and to communicate these findings clearly to the world community of scholars as well as to those persons both here and abroad who must make decisions concerning population policies. It is proposed to fulfill these objectives through the preparation of an annual report, the organizing of an annual conference, the supporting of local scholars in the less developed countries, and the distribution of publications and manuscripts pertaining to population to interested persons throughout the world.

In preparing the annual report, the Investigator shall seek to obtain from various sources, in various areas of the world current information on inter-related factors affecting population. He will survey and research existing publications and manuscripts and those which are in preparation and will obtain such information in the form of reports, papers, books, articles, or through consultation with experts.

In addition, discussion and findings of meetings, seminars and the annual conference, which will include experts in the field of population and related fields, A.I.D. personnel, the Investigator and his associates at CIT, and local scholars, will also provide input for the annual report. Another source of information for the annual report will be the reports relating to population problems prepared by local scholars in less developed countries who will be identified and supported in their work.

In order to communicate these findings, [a mailing list of interested persons, international in scope, will be compiled. Items to be distributed to persons on the mailing list shall include the annual report as well as selected reports, articles, papers, books, etc. obtained in the preparation of the annual report.]

BUDGET

A. The following Budget was attached to the original PROP and contract:

| | <u>6/30/69 to 6/30/72</u> |
|--|---------------------------|
| Salaries | \$134,006 |
| Benefits | 21,816 |
| Overhead | 85,763 |
| Travel | 92,100 |
| Support for Host-Country Scholars | 90,000 |
| Other Direct Costs (including, inter alia, the purchase of publications and manuscripts) | 379,275 |
| | <hr/> |
| TOTAL | \$802,960 |

B. The following Budget is proposed for the one-year extension:

| | <u>7/1/72 to 6/30/73</u> |
|---|--------------------------|
| Salaries (Professional) ^{1/} | \$ 73,000 |
| Salaries (Non-Professional) | 53,000 |
| Overhead (64%) | 80,640 |
| Benefits | 19,400 |
| Supplies/Office Expenses | 14,000 |
| Computing | 4,500 |
| Travel (Conferences) | 25,000 |
| Support of Host Country Scholars (Grants to local scholars) | 30,000 |
| Reports/Manuscripts purchases | 192,000 |
| | <hr/> |
| Sub-TOTAL | \$491,540 |
| Estimated Carryover ^{2/} | - 80,540 |
| | <hr/> |
| TOTAL | \$411,000 |

^{1/} Includes Principal Investigator, two Caltech faculty (all at 50 percent salary and time) plus two visiting professors at 100 percent salary.

^{2/} Estimated balance in contract as of June 30, 1972, including cost of services added in amendment.

Proj. 9320858
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PROJECT AUTHORIZATION

| | | |
|---|--------------------------------|--|
| 1. PROJECT NUMBER 931-11-570-858 | 3. COUNTRY Worldwide | 4. AUTHORIZATION NUMBER 0052 Amendment No. 1 |
| 2. PROJECT TITLE Situation Reports on Population Problems, Policies, and Programs | | 5. AUTHORIZATION DATE MAY 26, 1971 |
| | | 6. PROP DATED May 1971 |

932-858

7. LIFE OF PROJECT

a. Number of Years of Funding: 4
Starting FY 1969; Terminal FY 1971

b. Estimated Duration of Physical Work
After Last Year of Funding (in Months): 24

| 8. FUNDING BY FISCAL YEAR (in U.S. \$ or \$ equivalent) | DOLLARS | | P.L. 480 CCC + FREIGHT | LOCAL CURRENCY Exchange Rate: \$1 = | | | |
|---|--------------------|------|---------------------------|--|------|--------------------|-------|
| | GRANT | LOAN | | U.S. OWNED | | HOST COUNTRY | |
| | | | | GRANT | LOAN | JOINTLY PROGRAMMED | OTHER |
| Prior through Actual FY 70 | 802,960 | | | | | | |
| Operational FY 71 | 411,000 | | | | | | |
| Budget FY | | | | | | | |
| B + 1 FY | | | | | | | |
| B + 2 FY | | | | | | | |
| B + 3 FY | | | | | | | |
| All Subsequent FY's | | | | | | | |
| TOTAL | \$1,213,960 | | | | | | |

9. DESCRIBE SPECIAL FUNDING CONDITIONS OR RECOMMENDATIONS FOR IMPLEMENTATION, AND LIST KINDS AND QUANTITIES OF ANY P.L. 480 COMMODITIES

10. CONDITIONS OF APPROVAL OF PROJECT

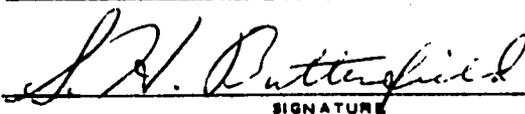
This amendment to the Project Authorization authorizes a one year extension to the life-of the project and the provision of funds required to extend the contract through June 30, 1973. This project will be evaluated in early FY 72 and a determination made no later than December 1971 to terminate or further extend this project beyond June 30, 1973. The evaluation will be coordinated with TA/SSS. If the project is extended beyond June 30, 1973 and there's a significant change in the basic objectives, scope and nature of the project, a revised PROP indicating these changes will be required prior/obligating funds for this extension.

(Use continuation sheet if necessary)

11. Approved in substance for the life of the project as described in the PROP, subject to the conditions cited in Block 10 above, and the availability of funds. Detailed planning with cooperating country and drafting of implementation documents is authorized.

This authorization is contingent upon timely completion of the self-help and other conditions listed in the PROP or attached thereto.

This authorization will be reviewed at such time as the objectives, scope and nature of the project and/or the magnitudes and scheduling of any inputs or outputs deviate so significantly from the project as originally authorized as to warrant submission of a new or revised PROP.

| A.I.D. APPROVAL | CLEARANCES | DATE |
|--|------------------------------|---------|
|  SIGNATURE | R.T. Ravenholt, TA/POP RIK | 5/5/71 |
| | T.C. Lyons, Jr, TA/POP RIK | 5/4/71 |
| | TA/PM, J. Keenan RIK Klevick | 5/28/71 |
| AA/TA, S.H. Butterfield | | |
| | A/CONT | |

5/26/71
DATE