

6990409(3)  
 PD-AAF-720-C1

I. PROJECT IDENTIFICATION

1. PROJECT TITLE Economic Development Research Organizations Project Social Science Research Sub-Project		APPENDIX ATTACHED <input type="checkbox"/> YES <input type="checkbox"/> NO
3. RECIPIENT (specify) <input checked="" type="checkbox"/> COUNTRY Kenya/University of Nairobi <input checked="" type="checkbox"/> REGIONAL Africa <input type="checkbox"/> INTERREGIONAL		2. PROJECT NO. (M.O. 1095.2) 698-403
4. LIFE OF PROJECT BEGINS FY 74 ENDS FY 77		5. SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REV. NO. 3 DATE 1/3/74 CONTR. PASA NO. 400

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. <del>XXXXXXXXXX</del> Grantee		H. LOCAL EXCHANGE CURRENCY RATE: \$ US 6.95 (U.S. OWNED)		
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN	(2) COOP COUNTRY (A) JOINT (B) BUDGET	
1. PRIOR THRU ACTUAL FY	-	-	-	-	-	-	-	-	-	-	-	-
2. OPBN FY 75	52.0	16.0	32	29.0	72	5.0	2.0	102.0	288	-	-	190.8
3. BUDGET FY 76	89.0	22.0	45	60.0	144	2.0	5.0	102.0	288	-	-	190.2
4. BUDGET 71 FY 77	91.0	24.0	48	61.0	144	3.0	3.0	102.0	288	-	-	190.0
5. BUDGET 12 FY	-	-	-	-	-	-	-	102.0	288	-	-	190.0
6. BUDGET 13 FY	-	-	-	-	-	-	-	-	-	-	-	-
7. ALL SUBQ. FY	-	-	-	-	-	-	-	-	-	-	-	-
8. GRAND TOTAL	232.0	62.0	125	150.0	360	10.0	10.0	408.0	1152	-	-	761.0

9. OTHER DONOR CONTRIBUTIONS

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

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER AFR/NARA, A. Hardie	TITLE Project Manager	DATE
2. CLEARANCE OFFICER AFR/NARA, J. Kraus	TITLE Asst. Dir. for Program	DATE

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

12/1/74  
5-28-74

2. CLEARANCES

BUR/OFF.	SIGNATURE	DATE	BUR/OFF.	SIGNATURE	DATE
AFR/ESA	T. O'Keefe		AFR/DP	M. Meares	
AFR/GC	R. Johnson				
AFR/DS	J. Elumgart				

3. APPROVAL AAs OR OFFICE DIRECTORS SIGNATURE _____ DATE _____	4. APPROVAL A AID (See M.O. 1025.1 (1) C) SIGNATURE _____ DATE _____
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*M. Meares*

UNITED STATES GOVERNMENT

# Memorandum

TO : See Distribution

DATE: May 28, 1974

FROM : AFR/NARA, Alvis O. Hardie *A. Hardie*

SUBJECT: Meeting of Project Committee, Social Science Research PROP for Kenya/  
University of Nairobi

The Project Committee is schedule to meet at 10:00 A.M. Thursday, May 30, 1974 in Room 4725 N.S., in order to review the PROP for the Kenya/University of Nairobi grant in Social Science Research. If you are unable to attend, please arrange for an alternate to attend in your place.

Attached hereto is a smooth draft of the PROP for your review and comment.

Attachment

Distribution:

AFR/NARA, A. Hardie

AFR/NARA, J. Kraus

AFR/DS, J. Blumgart

7 AFR/DP, M. Meares

AFR/GC, R. Johnson



NONCAPITAL PROJECT PAPER (PROP)  
ECONOMIC DEVELOPMENT RESEARCH ORGANIZATIONS PROJECT  
SOCIAL SCIENCE RESEARCH SUB-PROJECT

Activity: Institute of Development Studies (IDS), Faculty of Arts, University of Nairobi, Kenya.

I. INTRODUCTION

This revision requests approval of an activity which supports achievement of sub-project goals set forth under "Original", dated April 4, 1973.

As indicated in the AFR/PPC development research survey conducted in nine countries in 1971, Kenya needs to develop its capability to identify problems, find solutions to them, and implement appropriate activities designed to correct those problems, using indigenous resources.

To assist the University to strengthen local research capabilities and to provide the Government of Kenya (GOK) with practical policy oriented social science research, A.I.D. will provide a grant to pay for research activities and staff development as set forth below.

II. THE PURPOSE OF THE ACTIVITY

A. Statement of Purpose: To strengthen and expand research capabilities at the IDS, Faculty of Arts and Science, University of Nairobi, Kenya, and to provide the GOK with policy oriented social science research findings on various development related problems.

B. Conditions Expected at the End of the Activity: Additional personnel will have been trained in applied research techniques at the IDS, University of Nairobi. The results of seventeen policy oriented social science research

projects will have been made available to the GOK, and the University will have an increased capability to train needed researchers.

C. Means of Verification: An annual report concerning all aspects of the program will be produced annually, followed by meetings with representatives from A.I.D., the University of Nairobi, and the GOK to review results.

D. Basic Assumptions: That the University of Nairobi and the GOK recognize the importance of improving the quality and volume of social science oriented research for use in government planning and will devote additional resources toward these ends.

### III. ACTIVITY OUTPUTS

A. General Statement of the Outputs: Activity purposes will be achieved through a mix of interrelated outputs, the most salient of which is the planning, implementation, and completion of thirty-eight individual studies in the following six policy-oriented fields which have been selected jointly by the University and the GOK Ministry of Finance: 1) Administrative reforms in Government; 2) International policies and effects on development; 3) Land-use policy; 4) Demography and Population Carrying Capacity; 5) Technology as it relates to development, environment, and population carrying capacity consistent with certain levels of development; and 6) Baseline studies within existing policy areas, e.g., employment, distribution of income, welfare, etc.

Other outputs include the training of sixteen indigenous graduate researchers who will be available for employment after graduation at the University of Nairobi or in the GOK as a part of the Kenyan "Africanization" process; the improvement of research capability of 16 existing Kenyan staff and the University.

**B. Tabulation of Planned Outputs**

**1. Studies**

<u>Nature of Outputs</u>	<u>Magnitude of Outputs</u>	<u>Target</u>	
		<u>Begin FY</u>	<u>Complete FY</u>
a. Base Line studies on employment, income, welfare, etc.	8 reports	75	76
b. Land-Use Studies	2 reports	75	76
c. Demography and Population Carrying Capacity	3 reports	75	76
d. Administrative Reform in Government	3 reports	75	76
e. International Policies	4 reports	76	77
f. Base Line Studies	7 reports	76	77
g. Technology as it relates to Government	4 reports	76	77
h. Land-Use Studies	1 report	76	77
i. Demography and Population	3 reports	77	78
j. Administrative Reform in Government	3 reports	77	78

**2. Personnel Trained**

a. Increased competence in research methods and field data collection through on-the-job experience	16 Teaching Staff	75	78
b. Increased competence of support staff through on-the-job experience	8 Research Support Staff	75	78
c. New Researchers Trained (in research procedures, methodology, etc.)	8 Graduate Students	75	76
	3 Graduate Students	76	77
	5 Graduate Students	77	78

3. Means of Verification: Annual review of the research work plan will be conducted with University of Nairobi and GOK officials to determine whether the research is on schedule and whether findings and recommendations have been made available to the GOK.

4. Basic Assumptions: That sufficient numbers of qualified personnel will be available to train and to conduct the research.

#### IV. ACTIVITY INPUTS

A. General Statement of the Inputs: Inputs will be provided by both A.I.D. and the GOK as follows:

A.I.D. - funds to finance sixteen research fellowships, twenty-two staff research projects, in-country travel, and some office equipment and supplies.

GOK and the University of Nairobi - provision for teaching staff, library books and research report reproduction, office space, furniture and equipment, vehicles, and faculty travel within Africa.

#### B. Tabulation of Planned Inputs

##### 1. A.I.D. FUNDED

<u>Input Category</u>	<u>Specific Input</u>	<u>New Starts per Fiscal Year</u> <u>(24 months each)</u>		
		<u>FY 75</u>	<u>FY 76</u>	<u>FY 77</u>
Fellowships and Research Activities Staff	Student years	8	8	-
	Research projects	8	8	6
Faculty travel in Africa		As needed		

2. KENYA FUNDED

<u>Input Category</u>	<u>Specific Input</u>	<u>FY 75</u>	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
16 Teaching Staff	Supervision	All years in support of training and research studies			
8 Administrative Asst., Sec. Staff	Support	"	"		
Library acquisitions	Research matls.	"	"		
Facilities	Offices, equipment	"	"		
Transportation	Commercial	"	"		
Transportation	3 Vehicles	"	"		

3. BUDGET

	<u>FY 75</u>	<u>In thousands of dollars</u>			<u>Total</u>
		<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>	
a. <u>A.I.D. Funded</u>					
1. Fellowships (Avg. 2½ yrs)					
8 Fellowships	29	31	15	-	75
8 Fellowships	-	29	46	-	75
2. Faculty/Staff Research (Avg. \$2,000 per yr)					
8 Projects	16	6	-	-	22
8 Projects	-	16	6	-	22
6 Projects	-	-	18	-	18
Research Supplies and Equipment, including books, journals, re- production materials.	5	2	3	-	10
Faculty Travel in Africa	2	5	3	-	10
<b>Totals</b>	<b>52</b>	<b>89</b>	<b>31</b>	<b>-</b>	<b>232</b>

b. GOK FUNDED (Estimate for 4-year period - Rounded in thousands of U.S. dollars)

	<u>Amount</u>
16 Academic Staff (@ \$6,000 per year X 4 years)	384
8 Assisting Staff (@ \$2,000 per year X 4 years)	154
University Library acquisitions	74
Institute for Development Studies library acquisitions	26
Depart of Arts library acquisitions	20
Office Space (equate with rental for 4 years)	10
Library Space (3 facilities for 4 years)	8
Accounting and Bookkeeping expenses (\$6,300 per year X 4 years)	25
Faculty Travel within Africa (\$10,000 per year X 3 years)	30
Telephone, Mailing, Duplication (\$3,000 per year X 4 years)	12
New Equipment (Typewriters, calculators - Total for project)	9
Three University and Institute Vehicles (Total for project)	<u>9</u>
Total	761

c. Summary of Contributions to Funding

	<u>Funding</u>	<u>%</u>
The GOK	\$761,000	77%
A.I.D.	<u>232,000</u>	<u>23%</u>
Total	\$993,000	100%

## V. RATIONALE

The University of Nairobi is serving in an important education role as well as performing a vital function in developmental research through its collaborative effort with the Government of Kenya. Although creation of a capability to undertake research in economic and social science research was begun in 1965, the University has only recently developed its capacity to the point where it can be truly responsive to the needs of the Government in terms of development and policy oriented research.

A. The GOK/University of Nairobi Research Program: The GOK, in Sessional Paper No. 10, in 1965 and in Sessional Paper No. 10, in 1973 has outlined the broad areas of Kenyan national development as well as the major problems related to it, placed responsibility for coordinating research in these areas in the Ministry of Finance, and authorized the establishment of the Institute of Developmental Studies at the University of Nairobi in the Department of Arts and Science. The IDS is governed by a Board of Directors composed of representatives of the University and the several ministries to Government. It has outlined the program of needed research under the following 14 headings.

1. Rural Industrialization
2. Income Distribution
3. Wages Structure and Wages Policy
4. Technology Transfer and Diffusion within the Small Farm Holder — Small Business Sector (informal sector)
5. Land Tenure and Land-Use Policy and Environmental Policies and Practices

6. International Policy and Effects on Development
7. Manpower Development (training and education)
8. Cultural Dislocation and Institutional Reform
9. The Effects of Political Change and Societal Value Change on Productivity
10. Development Administration and Administrative Reform
11. Employment
12. Population Policy and Practice
13. Tourism
14. Industrialization and Adaptation of Technology

B. Research to be Supported under the Project: While growing at a steady rate, the IDS has been able to undertake research in only eight of the fourteen work areas mandated to it in the list above. Furthermore, it appears that present limits on funds constrains IDS to its present rate of growth, meaning it would not achieve full operational status until approximately 1988. Meantime, there remain critical, unsolved problems in the areas listed above to which research attention has not yet been given and to which this project would be directed. Therefore, specific research topics for this project are:

1. Administrative Reforms
2. International Policies and Effects on Development
3. Land-Use Policy
4. Demography and Population Carrying Capacity Issues
5. Technology as it relates to Development, Environment, Population
6. Baseline Studies within Existing Policy Areas (employment, distribution of income, etc.)

Immediate implementation of studies in the six specific problem areas above will meet the most urgent current requirements in the present program. Also, it will help meet the needs of the Institute and the GOK for trained personnel who can make it possible to conduct such studies at an accelerated pace and to continue Africanization of the program. Until recently, most of the research at the University has been done by expatriates and many of the senior positions have been held by non-Africans. Further, to meet the requirements mentioned above the grant will provide for completion of seventeen social science research studies, training of seventeen new researchers, dissemination of the results of research at all university levels and to the Government.

C. Other Donor Interest and Contributions: Further indication of the importance of this program are the contributions from other donors, as follows:

Swedish International Development Authority (SIDA). K.S. 1,500,000 to provide 5 years of support for the Equity Project relative to research on wages, incomes, services distribution and planning.

Danish International Development Agency (DANIDA). K.S. 30,000 for research on Village Polytechnics in Kenya, and K.S. 125,000 per year for 3 years to support student research in the Faculty of Arts, Department of Sociology.

Ford Foundation and DANIDA. K.S. 67,000 to support dissertations in agricultural technology and diffusion of technology.

International Labor Organization (ILO). K.S. 40,000 in 1974 supporting research on Effects of Labor Force Growth and Labor Market Pressures on Wages and Productivity.

AFR/DP

JAN 23 1974

ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR AFRICA

THRU: AFR/DP, Mr. Robert G. Eueghann /S/

FROM: AFR/NARA, Ullmont L. James

**Problem:** To approve a PROF revision for the Social Science Research Sub-Project which authorizes a research grant to the Government of Tanzania/University of Dar es Salaam.

**Discussion:** The Social Science Research Sub-Project is one of two elements under the Economic Development Research Organizations Project, (the other being the African-American Scholars Council). Its goal is to assist African countries to strengthen their capacity to conduct policy-oriented social science research by helping African universities with close linkages to the government to develop their competence to carry out such studies. The intention is to enable African countries to become less dependent on expatriate research talent for their development needs. In addition, the project aims at encouraging African universities and research institutions to become more responsive to development and national planning needs and to enrich their educational programs through use of the results of local research.

The PROF for this project was approved in May 1973, at which time the first grant under the project was authorized in the amount of \$60,000 to the University Institute of Technology of the University of Dakar to initiate a program of studies requested by the Government of Senegal.

The proposed grant to the Government of Tanzania (TanGov) for the benefit of the University of Dar es Salaam has been under discussion for some time. Originally it was part of a larger proposal which was presented to A.I.D. in April 1973. Following discussions in September with USAID and John Blumgart, AFR/DS, the Tanzanians scaled the proposal down to one research project, "a study of man made lakes" which would be carried out in three years at a cost of \$30,000. As indicated in the PROF, the Tanzanians are planning major investments in water impoundment projects and this study is designed to assist the government to avoid problems encountered in prior impoundment projects.

Although we are now satisfied with the content of the proposal, there are a few technical issues remaining on the terms of the grant agreement. The TanGov has our latest recommendations on these and we have offered to send our Regional Legal Adviser based in Nairobi to Dar to resolve any remaining problems. We therefore expect to have agreement on that document very shortly.

We have programmed \$250,000 for this project in the FY 1974 OYB. In addition to the \$30,000 required for this grant there is an unfinanced balance of \$170,000 remaining on the Senegal project. A recommendation on further funding for that project will await the results of an evaluation which has tentatively been scheduled for April. In addition, we have under consideration a recently presented proposal from the University of Nairobi for \$50,000. Our recommendations on this proposal are awaiting further information, including field comments.

Recommendation:

1. That you approve and sign the Tanzania/University of Dar es Salaam "S.M. 1974-75" in Section 2" (attached) of the Social Science Research Sub-Project. It is understood, however, that the allotment of funds and authorization of the Mission to sign the agreement is subject to notification that the legal questions on the grant agreement have been resolved.

Attachment

JPhungart  
AFR/DS:gea:1/17/74

Clearance:  
AFR/NARA:SFuhr \_\_\_\_\_  
AFR/NARA:Jaraus \_\_\_\_\_  
AFR/ESA:JKnoll \_\_\_\_\_  
AFR/NARA:JBeard \_\_\_\_\_  
GC/AFR:Thuntsinger \_\_\_\_\_  
DAA/AFR:DSBrown \_\_\_\_\_

I. PROJECT IDENTIFICATION

1. PROJECT TITLE <b>Economic Development Research Organizations Project Social Science Research Sub-Project</b>		APPENDIX ATTACHED <input type="checkbox"/> YES <input type="checkbox"/> NO
3. RECIPIENT (society) <input type="checkbox"/> COUNTRY _____ <input checked="" type="checkbox"/> REGIONAL <u>Africa</u> <input type="checkbox"/> INTERREGIONAL _____		2. PROJECT NO. (M.O. 1095.2) <b>698-11-995-402/3</b>
4. LIFE OF PROJECT BEGINS FY <u>1973</u> ENDS FY <u>1976</u>		5. SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REV. NO. <u>1/12/74</u> DATE CONTR. PASA NO. _____

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. <del>3000000</del> grantee		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	
1. PRIOR THRU ACTUAL FY	60.0	30.0	270	-	-	-	30.0 <sup>1/</sup>	30.0	270	-	-	28.5
2. OPRN FY <u>74</u>	145.0	72.7	354	-	-	10.9	61.4	72.7	354			83.5
3. BUDGET FY <u>75</u>	57.0	30.0	270	-	-	-	27.0	30.0	270			48.7
4. BUDGET +1 FY <u>76</u>	46.0	30.0	270	-	-	-	16.0	30.0	270			43.0
5. BUDGET +2 FY												
6. BUDGET +3 FY												
7. ALL SUBC. FY												
8. GRAND TOTAL	308.0	162.7	1164	-	-	10.9	134.4	162.7	1164			203.7

9. OTHER DONOR CONTRIBUTIONS

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

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER -	TITLE -	DATE -
2. CLEARANCE OFFICER -	TITLE -	DATE -

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

Summary Sheet: No signature or clearance required.

<sup>1/</sup> "Other Cost" element adjusted from previous revision to show "personnel" input.

\* This "Summary Face Sheet" shows total cumulative funding to date.

2. CLEARANCES

BUR/OFF.	SIGNATURE	DATE	BUR/OFF.	SIGNATURE	DATE
	-			-	
	-			-	
	-			-	

3. APPROVAL AAs OR OFFICE DIRECTORS		4. APPROVAL A/AID (See M.O. 1025.1 VI C)	
SIGNATURE	DATE	SIGNATURE	DATE
TITLE		ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT	