

9365305(2)
PD-AA6-434-B1

9365305004901

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

CERTIFIED A TRUE COPY THIS
15 DAY OF May
BY M. Salomon

Dr. Michael Horowitz
Institute of Development
Anthropology, Inc.
P.O. Box 45
Westview Station
Binghamton, New York 13905

FUNDS AVAILABLE		03 MAY 1979
Date	5/3/79	
Project No.	936-5305	
Obligation No.	3698269	
Project Class	4190	
Account	943-36-099-00-2091	
Amount	\$147,459.00	
By (Initials)	[Signature]	
AID/SER/FM/RSD		

RAD
5305

Subject: Grant No.: AID/DSAN-G-0140

Dear Dr. Horowitz:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (hereinafter referred to as "A.I.D." or "Grantor") hereby grants to the Institute of Development Anthropology, Inc. (hereinafter referred to as "IDAI" or "Grantee") the sum of \$147,459 to provide support for a program in "The Development potential of Agricultural Settlement in new lands", as more fully described in the attachment to this Grant entitled "Program Description".

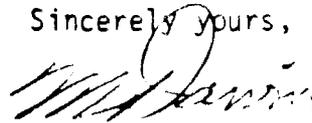
This Grant is effective and obligation is made as of May 15, 1979 and shall apply to commitments made by the Grantee in furtherance of program objectives during the period May 15, 1979 through October 1, 1980.

This Grant is made to the Institute of Development Anthropology, on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment A entitled "Program Description", and Attachment B entitled "Standard Provisions", which have been agreed to by your organization.

Please sign the Statement of Assurance of Compliance, enclosed herein, and the original and seven (7) copies of this letter to acknowledge your acceptance of the conditions under which these funds have been granted.

Please return the Statement of Assurance of Compliance and the original and six (6) copies of this Grant to the Office of Contract Management.

Sincerely yours,



Morton Darvin
Grant Officer
Agriculture/Nutrition Branch
Central Operations Division
Office of Contract Management

Attachments:

- A. Program Description
- B. Standard Provisions
- C. Statement of Assurance of Compliance

ACCEPTED:

Institute ^{of} Development Anthropology, Inc

By: Andrew M. Hornik

Title: President

Date: May 4, 1979

FISCAL DATA

Appropriation : 72-1191021.3
Allotment : 943-36-099-00-20-91
PIO/T : 3698269
Project No. : 936-5305
Total Grant Amount: \$147,459

PROGRAM DESCRIPTION

A. Purpose of Grant

The purpose of this Grant is to provide support for research on the development potential of Agricultural Settlement in new lands as described in the Institute for Development Anthropology proposal which is incorporated herein by reference.

B. Specific Objectives

The research will be carried out in three phases. In phase one, the researcher will carry out a systematic review of the literature on spontaneous, contracted and forced settlement schemes. Reviews of secondary sources will be supplemented by discussions with other U.S.-based scholars and with the senior consultants. This phase will cover the first three months of the project, and will involve travel within the U.S. At the end of this phase, the researcher will have refined the initial list of issues and hypotheses embodied in the research proposal and had the list reviewed by the consultants and other scholars.

Phase two will last six months, and will include fieldwork by the researcher and consultants in up to six countries. The assistance of in-country agriculturalist and social scientist consultants will also be required. The countries for the field research are Afghanistan, Indonesia, Malaysia, Nepal, Sri Lanka and Sudan. The fieldwork is not to take place in Central or South America or in Egypt. The researcher will collaborate with USAIDs, The World Bank, and other relevant donor agencies in the countries selected, and will apprise the U.S. Embassy of his plans and ETA in those countries in which there is no USAID (Malaysia) or where the USAID approves, but does not wish to broker the project (Nepal).

The field research will address the socio-cultural dimensions of agricultural settlement schemes, as well as the agricultural and economic dimensions. Data will be gathered from host country officials, and locally available scholars, but most of the data gathered in-country will come from interviews with the settlers themselves.

The research will focus on the eliciting of the views of settlers themselves as to the implications of the way schemes were initiated and organized, the affects of these factors on family life; on the economic and social roles of women, youth and the elderly; on the organization of agricultural production and other income-generating activities; on community life; on local-level political behavior; on inheritance patterns and other criteria affecting social mobility; on migration patterns.

In addition, the research will examine the interaction between ecological and socio-economic factors, as well as the nature and scope of the impact of government organization and control of settlement schemes on project success over time.

The selection of individual schemes for study under the project will be conditioned by their length of existence, preference being given to those schemes which have been in existence long enough for issues concerning generational shift in settler control to be available for investigation, and long enough for considerable documentation about the schemes to be available. A baseline criterion is that the scheme have been in operation for about twenty years, but case by case exceptions can be made by the researcher on the basis of consultation with relevant host-country officials, and on the basis of an assessment by the researcher of the availability of relevant documentation and settler willingness to provide information.

In Phase three, lasting three months, the researcher and consultants will analyze the data gathered in the first two phases and prepare a series of reports. The emphasis will be on the generation and presentation of research findings that will be comprehensible to and useable by development practitioners.

C. Reporting

1. A report shall be prepared on the state of the art of the development potential of different kinds of land settlement schemes. This will be submitted in draft (2 copies) no later than ten months after project start-up. The project manager will have 30 days to respond to the draft, and the grantee will then have 30 days to submit the final version of the report in 10 copies.

2. A report in the form of an issues paper, identifying major problem areas and knowledge gaps about settlement in new lands, and recommending directions for further corrective research will be submitted in 10 copies by the end of the grant.

3. A report for policy makers and planners involved in new land settlement design, implementation and evaluation will be prepared, spelling out policy implications of the research. This report will be submitted in draft 60 days before the end of the grant. The project manager will have 30 days to respond, and then the grantee will have 30 days to submit the final version of the report in 10 copies.

D. Budget

<u>Cost Element</u>	<u>Total Obligated Amount</u> FM:5/15/79 - TO:10/1/80
1. Salaries & Fringe Benefits	\$ 69,377
2. Travel and Per Diem	23,900
3. Equipment and Material	2,000
4. Consultants	20,700
5. Overhead	31,482
TOTAL	\$147,459

The Grantee may not exceed the total amount of the Budget. Adjustments among the line items are unrestricted.

E. Overhead Rate(s)

Provisional overhead rate. (See Standard Provision No. 5)

Overhead Rate: 54%

Base: Direct Wages

Period: May 15, 1979 through October 1, 1980

F. Special Provisions:

A) Payment Provision 7A applies to this grant

B) Title to Property Provision 12A applies to this grant

9365305-③
 PD-AAG-434-C1

Worksheet

AID 1350-1X (1-78)	DEPARTMENT OF STATE AGENCY FOR INTERNATIONAL DEVELOPMENT		1. Cooperating Country DSB		Page 1 of 3 Pages
	PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES		2. PIO/T No. 931-5305-3698269		3. <input checked="" type="checkbox"/> Original or Amendment No. _____
			4. Project/Activity No. and Title The Development Potential of Agricultural Settlement on New Lands		
	5. Appropriation Symbol 72-1191021.3		6. Allotment Symbol and Charge 943-36-099-00-20-91		
7. Obligation Status <input checked="" type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document		8. Project Assistance Completion Date (Mo., Day, Yr.) June 30, 1980			
9. Authorized Agent AID/W		10. This PIO/T is in full conformance with PRO/AG Date _____			
11a. Type of Action and Governing AID Handbook <input checked="" type="checkbox"/> AID Contract (HB 14) <input type="checkbox"/> PASA/RSSA (HB 12) <input checked="" type="checkbox"/> AID Grant (HB 13) <input type="checkbox"/> Other				11b. Contract/Grant/PASA/RSSA Reference Number (If this is an Amendment) New	
12. Estimated Financing (A detailed budget in support of column (2) is attached as attachment no. _____)					
		(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
Maximum AID Financing	A. Dollars		147,459		147,459
	B. U.S.-Owned Local Currency				
13. Mission References					
14a. Instructions to Authorized Agent CM/COD is requested to negotiate a grant with Prof. Thayer Scudder through the Institute of Development Anthropology, Inc., P.O. Box 45, Westview Station, Binghamton, New York 13905 for the research described herein. Voucher Identification: In each instance of voucher (SF 1034) submission made by the contractor for payment hereunder the following identification will appear on the voucher: Contract #, Project 931-5305, Project Office DS/RAD.					
14b. Address of Voucher Paying Office FM/PAD Room 601 SA-12, c/o C&RSC No. 6					

DS/PO OFFICIAL FILE

15. Clearances—include typed name, office symbol, telephone number and date for all clearances.

A. The project officer certifies that the specifications in the statement of work are technically adequate <i>Alice L. Morton</i> Alice L. Morton, DS/RAD	Phone No. 235-8918	B. The statement of work lies within the purview of the initiating and approved agency programs <i>C. Kasubian</i>	Date 3/7/79	Date 3/2/79
	Date 3/7/79		Date 3/7/79	Date 3/2/79
C. John Gelb, DS/RAD Paul Fritz, DS/RAD	Date 3/7/79	D. Funds for the services requested are available <i>Michael C. Egan</i> POSTED SER/FM/CSD	Date 2/1/97	
E.	Date			

16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to

Signature _____ Date _____

17. For the Agency for International Development

Signature *Donna A. Milow* Date 3/2/11

Title _____

Worksheet

PROJECT	1. Cooperating Country DSB	2. PJO/T No. 931-5305	Page 2 of 3 Pages
	4. Project/Activity Name 931-5305 Development Potential of Agricultural Settlement in New L		

SCOPE OF WORK

3. THE SCOPE OF TECHNICAL SERVICES REQUIRED FOR THIS PROJECT ARE DESCRIBED IN ATTACHMENT NUMBER 1 HERETO ENTITLED "STATEMENT OF WORK".

4. SPECIAL PROVISIONS

- A. LANGUAGE REQUIREMENTS (IF MARKED, TESTING MUST BE ACCOMPLISHED BY AID TO REACH THE DESIRED LEVEL OF PROFICIENCY) None
- B. ACCESS TO CLASSIFIED INFORMATION WILL WILL NOT BE REQUIRED BY TECHNICIAN(S).
- C. DUTY POST(S) AND DURATION OF TECHNICIANS' SERVICES AT POST(S) (MONTHS)
- D. DEPENDENTS WILL WILL NOT BE PERMITTED TO ACCOMPANY TECHNICIAN.
- E. WAIVER(S) HAVE BEEN APPROVED TO ALLOW THE PURCHASE OF THE FOLLOWING ITEM(S) (COPY OF APPROVED WAIVER IS ATTACHED)
- F. COOPERATING COUNTRY ACCEPTANCE OF THIS PROJECT (APPLICABLE TO AID/W PROJECTS ONLY)
 HAS BEEN OBTAINED HAS NOT BEEN OBTAINED
 IS NOT APPLICABLE TO SERVICES REQUIRED BY PJO/T
- G. OTHER (SPECIFY):

BEST AVAILABLE DOCUMENT

20. BACKGROUND INFORMATION (ALL INFORMATION IS FOR THE USE OF THE AUTHORIZED AGENT)

21. SUMMARY OF ATTACHMENTS (CHECK ONE PJO/T (INDICATE ATTACHMENT NUMBER IN BLANK))

- 1 DETAILED BUDGET REQUEST FOR INCREASED FUNDING (BLOCK 12)
- EVALUATION CRITERIA FOR COMPETITIVE PROCUREMENT (BLOCK 14)
- JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT (BLOCK 14)
- 2 STATEMENT OF WORK (BLOCK 13)
- WAIVERS (BLOCK 13) (ATTACHMENT NUMBER)

Worksheet

AID 10550-11 (11-78)	1. Cooperating Country Inter-regional	2. P.O.T. No. 931-5305-	Page 3 of 3 Pages
PIO/T	3. Project Activity No. and Title Development Potential of Agricultural Settlement in New Lands		

22. Relationship of Contractor or Participating Agency to Cooperating Country and to AID

A. Relationships and Responsibilities: The grantee will carry out the research described herein in up to six countries and will, where requested, consult with USAIDs in those countries on new land settlement project development and evaluation.

B. Cooperating Country Liaison Official

C. AID Liaison Official: **Alice L. Morton, DS/RAD, Project Officer**

LOGISTIC SUPPORT

23. Provisions for Logistic Support

A. Specific Items (Insert "X" in applicable column at right. If entry needs qualification, insert asterisk and explain below in C "Comments")	IN KIND SUPPLIED BY		FROM LOCAL CURRENCY SUPPLIED BY		TO BE PROVIDED OR ARRANGED BY SUPPLIER
	AID	COOPERATING COUNTRY	AID	COOPERATING COUNTRY	
(1) Office Space					X
(2) Office Equipment					X
(3) Housing and Utilities					
(4) Furniture					
(5) household Equipment (Stoves, Refrig., etc.)					
(6) Transportation in Cooperating Country					X
(7) Transportation To and From Country					X
(8) Interpreter Services, Secretarial					X
(9) Medical Facilities					
(10) Vehicles (official)					
(11) Travel Arrangements/Tickets					X
(12)					
(13)					
(14)					
(15)					

(OTHER SPECIFY)

B. Additional Facilities Available From Other Sources

- APC/PPC
- OTHER (Specify, e.g. supplies, entry, tax exemption)
- PX
- COMMISSARY

NOTES

1. Scudder's basic salary at Caltech is \$37,000. In addition to that he is allowed (like other Caltech faculty members) to consult 52 days a year, which in recent years he has done. 52 days at a minimum of \$180 per day = \$9360. This, plus half of an expected salary raise of at least \$2000 for the next academic year (raises for the past three years have averaged \$2333 per annum) comes to approximately \$47,500.
2. During three-fourths of his overseas work, Scudder wishes to work closely with host country professionals, with a local agriculturalist and a local social scientist accompanying him on field trips. The major exception to this procedure will be in the Middle East where the leading expert on New Lands Settlements is Dr. Hussein Fahim, who is currently based in the United States. Dr. Bernard Riley, a geographer with a master's degree in Library Science, has provisionally agreed to supervise the development of a carefully cross-referenced, computerized and annotated bibliography in connection with the Project. The two senior consultants in agriculture and agricultural economics, respectively, will advise the Principal Investigator on matters relating to the agricultural and economic aspects of settlement production systems.
3. \$20 per day is requested since consultants, with the exception of Dr. Fahim, will only accompany the Principal Investigator in the field where daily costs are cheaper.
4. Within the global amount specified, contractor is authorized to shift line item funds as necessary, except that in no case will the Principal Investigator's compensation exceed the amount indicated.
5. As a nonprofit organization, we request an advance of partial costs for travel and per diem.

BUDGET

Direct Indirect

1. Salaries, Wages, Fees

A. Principal Investigator, 12 months, 100% of time ¹	47,500	
B. Research Assistants, 12 months at \$700/month	8,400	
C. Secretary, 4 months at \$600/month	<u>2,400</u>	
	58,300	31,482
Fringe benefits at 19%	<u>11,077</u>	
	69,377	
D. Consultants ²		
Senior Consultant on Agriculture, 5 days at \$180/day	900	
Senior Consultant on Agricultural Economics, 5 days at \$180/day	900	
Consultant on Geography and Library Science (Bernard Riley), 15 days at \$130/day	1,950	
Middle East and Africa (Hussein Fahim), 15 days at \$130/day	1,950	
Indonesia/Malaysia, 60 days at \$100/day	6,000	
Nepal, 20 days at \$100/day	2,000	
Other countries, 70 days at \$100/day	<u>7,000</u>	
	20,700	

Total salaries, wages and fees
inclusive of indirect costs 121,559

2. Travel and Transportation

A. Domestic (2 x LAX-DCA/BOS)	1,000	
B. International for Principal Investigator		
(1) LAX-MNL-JKT-KUL-DEL-BGW-CAI-LAX	2,400	
(2) LAX-RIO-LIM-LAX excursion	1,300	
C. In-country travel overseas for Principal Investigator	2,500	
D. International for Consultants		
U.S. - Middle East - U.S.	5,000	
E. In-country travel overseas for consultants	<u>2,500</u>	
Total		14,700

3. Per Diem

A. Domestic, 40 days at \$50/day	2,000	
B. International, 120 days at \$40/day	4,800	
C. Consultants (international), 120 days at \$20/day ³	<u>2,400</u>	
Total		9,200

4. Equipment, Communications, Document Acquisition and
Reproduction, Medications, etc.

2,000

TOTAL AMOUNT REQUESTED

147,459

Statement of Work

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researcher on the basis of consultation with relevant host-country officials, and on the basis of an assessment by the researcher of the availability of relevant documentation and settler willingness to provide information.

In Phase three, lasting three months, the researcher and consultants will analyze the data gathered in the first two phases and prepare a series of reports. The emphasis will be on the generation and presentation of research findings that will be comprehensible to and useable by development practitioners.

REPORTS:

1. A report shall be prepared on the state of the art of the development potential of different kinds of land settlement schemes. This will be submitted in draft (2 copies) no later than ten months after project start-up. The project manager will have 30 days to respond to the draft, and the grantee will then have 30 days to submit the final version of the report in 10 copies.
2. A report in the form of an issues paper, identifying major problem areas and knowledge gaps about settlement in new lands, and recommending directions for further corrective research will be submitted in 10 copies by the end of the grant.
3. A report for policy makers and planners involved in new land settlement design, implementation and evaluation will be prepared, spelling out policy implications of the research. This report will be submitted in draft 60 days before the end of the grant. The project manager will have 30 days to respond, and then the grantee will have 30 days to submit the final version of the report in 10 copies.

9365305-4
 PD-AA6-434-D1

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I				1. TRANSACTION CODE <input type="checkbox"/> A ADD <input checked="" type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE		PAF 2. DOCUMENT CODE 5				
3. COUNTRY/ENTITY DSB				4. DOCUMENT REVISION NUMBER <input style="width: 20px; text-align: center;" type="text" value="1"/>						
5. PROJECT NUMBER (7 digits) <input style="width: 100px; text-align: center;" type="text" value="936-5305"/>		6. BUREAU/OFFICE A SYMBOL B. CODE <input style="width: 20px; text-align: center;" type="text" value="DS"/> <input style="width: 20px; text-align: center;" type="text" value="10"/>		7. PROJECT TITLE (Maximum 40 characters) <input style="width: 90%; text-align: center;" type="text" value="Development Potential in New Lands"/>						
8. PROJECT APPROVAL DECISION <input checked="" type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DE DEAUTHORIZED				9. EST. PERIOD OF IMPLEMENTATION YRS. <input style="width: 20px; text-align: center;" type="text" value="0"/> <input style="width: 20px; text-align: center;" type="text" value="2"/> QTRS <input style="width: 20px; text-align: center;" type="text" value="2"/>						
10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)										
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>79</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				148						
(2)										
(3)										
(4)										
TOTALS				148						
A. APPROPRIATION	N. 4TH FY _____		O. 5TH FY _____		LIFE OF PROJECT		1. PROJECT FUNDING AUTHORIZED		A. GRANT	B. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT			
(1)				148					1	
(2)										
(3)										
(4)										
TOTALS					148		C. PROJECT FUNDING AUTHORIZED THRU		FY <input style="width: 20px; text-align: center;" type="text" value="8"/> <input style="width: 20px; text-align: center;" type="text" value="1"/>	
12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)					13. FUNDS RESERVED FOR ALLOTMENT TYPED NAME (Chw/ SER FM/FSD) SIGNATURE DATE					
A. APPROPRIATION		B. ALLOTMENT REQUEST NO. _____								
		C. GRANT	D. LOAN							
(1)										
(2)										
(3)										
(4)										
TOTALS										
14. SOURCE/ORIGIN OF GOODS AND SERVICES					<input type="checkbox"/> 000	<input type="checkbox"/> 941	<input type="checkbox"/> LOCAL	<input checked="" type="checkbox"/> OTHER	<u>899</u>	

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

The purpose of this amendment is to extend the period of this grant from October 1, 1980, through August 1, 1981.

No additional funds are required.

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

PROJECT AUTHORIZATION AND REQUEST FOR
ALLOTMENT OF FUNDS

PART II

ENTITY: Bureau for Development Support

PROJECT: Development Potential of Agricultural Settlements in
New Lands

PROJECT NUMBER: 936-5305

I hereby authorize the extension of the project completion date from
Oct. 1, 1980 to August 1, 1981.

Signature: Tony Babbs

Tony Babbs
Deputy Assistant Administrator
for Food and Nutrition
Bureau for Development Support

Date: 9.12.80

Attachments:

1. Draft PIO/T
2. Letter from Ted Scudder

Clearances:

DS/RAD, J. French: JF Date: 9/21/80
DS/RAD, P. Fritz: _____ Date: _____
DS/RAD, R. Simko: RS Date: 9/13/80
DS/RAD, J. Gelb: JG Date: 9/13/80
DS/PO, J. Chapnick: JC Date: 7/5/81

Drafted by: DS/RAD: JGelb: fac 9/3/80
Ext: 235-8918

9/5/80

ACTION MEMORANDUM FOR THE DEPUTY ASSISTANT ADMINISTRATOR FOR FOOD AND NUTRITION, BUREAU FOR DEVELOPMENT SUPPORT

FROM: DS/RAD, Jerome French 

Problem: The completion date of current authorization for the Development Potential of Agricultural Settlement in New Lands Project needs to be amended from Oct. 1, 1980 to August 1, 1981.

Discussion: Attached is a copy of Ted Scudder's letter requesting a no-cost extension from October 1, 1980 to August 1, 1981 for the above project.

The basic rationale stems from the fact that fellowships for field research have been awarded late in the project period and therefore Scudder will not be able to analyze all the data and submit final reports until well into 1981. In addition, Scudder is only now conducting the last of his site visits (Sri Lanka, Malaysia, Indonesia) and will not return to the U.S. until the end of September.

Recommendation: That you authorize the extension of the project completion date for the New Lands project (936-5305) by signing the attached PAF.

Attachments:

1. PAF — Part I and Part II
2. Draft PIO/T

Drafted by: DS/RAD:  b:fac
Ext: 235-8918

9/3/80

9305305(5)
 PD-AA6-434-E1

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I				1. TRANSACTION CODE <input type="checkbox"/> A ADD <input checked="" type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE		PAF 2. DOCUMENT CODE 5				
3. COUNTRY/ENTITY DSB				4. DOCUMENT REVISION NUMBER <input style="width: 20px; text-align: center;" type="text" value="1"/>						
5. PROJECT NUMBER (7 digits) <input style="width: 40px; text-align: center;" type="text" value="936-5305"/>		6. BUREAU/OFFICE A SYMBOL B CODE DS <input style="width: 20px; text-align: center;" type="text" value="10"/>		7. PROJECT TITLE (Maximum 40 characters) <input style="width: 90%; text-align: center;" type="text" value="Development Potential in New Lands"/>						
8. PROJECT APPROVAL DECISION <input checked="" type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DE DLAUTHORIZED				9. EST. PERIOD OF IMPLEMENTATION YRS <input style="width: 20px; text-align: center;" type="text" value="0"/> <input style="width: 20px; text-align: center;" type="text" value="2"/> QTRS <input style="width: 20px; text-align: center;" type="text" value="2"/>						
10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)										
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>79</u>		H. 2ND FY _____		K. 3RD FY _____		
		C GRANT	O LOAN	F GRANT	G LOAN	I GRANT	J LOAN	L GRANT	M. LOAN	
(1) FN				148						
(2)										
(3)										
(4)										
TOTALS				148						
A. APPROPRIATION	N. 4TH FY _____		Q. 5TH FY _____		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	B. LOAN
	C GRANT	P LOAN	R GRANT	S LOAN	T GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT			
(1)					148					
(2)										
(3)										
(4)										
TOTALS					148		C. PROJECT FUNDING AUTHORIZED THRU FY <input style="width: 20px; text-align: center;" type="text" value="8"/> <input style="width: 20px; text-align: center;" type="text" value="1"/>			
12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)				13. FUNDS RESERVED FOR ALLOTMENT						
A. APPROPRIATION	B. ALLOTMENT REQUEST NO. _____			TYPED NAME (Chief, SER/EM/PSD) _____ SIGNATURE _____ DATE _____						
	C GRANT	D LOAN								
(1)										
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TOTALS										
14. SOURCE/ORIGIN OF GOODS AND SERVICES <input type="checkbox"/> 000 <input type="checkbox"/> 941 <input type="checkbox"/> LOCAL <input checked="" type="checkbox"/> OTHER <u>899</u>										

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

The purpose of this amendment is to extend the period of this grant from October 1, 1980, through August 1, 1981.

No additional funds are required.

DS/PO OFFICIAL FILE

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

PROJECT AUTHORIZATION AND REQUEST FOR
ALLOTMENT OF FUNDS

PART II

ENTITY: Bureau for Development Support

PROJECT: Development Potential of Agricultural Settlements in
New Lands

PROJECT NUMBER: 936-5305

I hereby authorize the extension of the project completion date from
Oct. 1, 1980 to August 1, 1981.

Signature: 

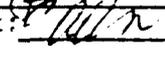
Tony Babb
Deputy Assistant Administrator
for Food and Nutrition
Bureau for Development Support

Date: 9.12.80

Attachments:

1. Draft PIO/T
2. Letter from Ted Scudder

Clearances:

DS/RAD, J. French:  Date: 9/21/80
DS/RAD, P. Fritz: _____ Date: _____
DS/RAD, R. Simko: TS Date: 9/3/80
DS/RAD, J. Gelb:  Date: 9/3/80
DS/PO, B. Chapnick:  Date: 9/5/80

Drafted by: DS/RAD: JGelb: fac 9/3/80
Ext: 235-8918

9/5/80

ACTION MEMORANDUM FOR THE DEPUTY ASSISTANT ADMINISTRATOR FOR FOOD AND NUTRITION, BUREAU FOR DEVELOPMENT SUPPORT

FROM: DS/RAD, Jerome French 

Problem: The completion date of current authorization for the Development Potential of Agricultural Settlement in New Lands Project needs to be amended from Oct. 1, 1980 to August 1, 1981.

Discussion: Attached is a copy of Ted Scudder's letter requesting a no-cost extension from October 1, 1980 to August 1, 1981 for the above project.

The basic rationale stems from the fact that fellowships for field research have been awarded late in the project period and therefore Scudder will not be able to analyze all the data and submit final reports until well into 1981. In addition, Scudder is only now conducting the last of his site visits (Sri Lanka, Malaysia, Indonesia) and will not return to the U.S. until the end of September.

Recommendation: That you authorize the extension of the project completion date for the New Lands project (936-5305) by signing the attached PAF.

Attachments:

- 1. PAF -- Part I and Part II
- 2. Draft PIO/T

Drafted by: DS/RAD:  :fac 9/3/80
Ext: 235-8918

9365305-6
PD-MA6-434-F1

PROJECT AUTHORIZATION AND REQUEST FOR
ALLOTMENT OF FUNDS

PART II

ENTITY: Development Support Bureau
PROJECT: Development Potential of Agricultural
Settlement in New Lands
PROJECT NUMBER: 931-5305

I hereby approve and authorize the funding of \$147,459
for the subject project for twelve months during the
period April 15, 1979 - June 30, 1980.

Signature: Tony Babb
Tony Babb
Deputy Assistant Administrator
for Development Support

Date: 3-18-79

Attachments:

Revised Research Proposal
RAC Project Approval Documentation
AA/DSB Memorandum to A/AID, December 14, 1978

Clearances:

DS/RAD: Paul Fritz <u>PF</u>	Date: <u>3-5-79</u>
DS/RAD: John Gelb <u>JG</u>	Date: <u>3-5-79</u>
DS/RAD: Alice Morton	Date: <u> </u>
DS/PO: Robert Simpson <u>RS</u>	Date: <u>3/12/79</u>
DS/PO/RES: MRehcgigl <u>MR</u>	Date: <u>3-7-79</u>

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I		1. TRANSACTION CC <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE	PAF 2. DOCUMENT CODE 5
3. COUNTRY/ENTITY DSB		4. DOCUMENT REVISION NUMBER Original <input type="checkbox"/>	
5. PROJECT NUMBER (7 digits) <input type="text" value="9365305"/>	6. BUREAU/OFFICE A. SYMBOL DS B. CODE <input type="text" value="30"/>		7. PROJECT TITLE (Maximum 40 characters) <input type="text" value="Development Potential in New Lands"/>
8. PROJECT APPROVAL DECISION <input type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DE DEAUTHORIZED		9. EST. PERIOD OF IMPLEMENTATION YRS. <input type="text" value="0"/> <input type="text" value="1"/> QTRS. <input type="text" value="2"/>	

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>79</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				148					
(2)									
(3)									
(4)									
TOTALS				148					

A. APPROPRIATION	N. 5TH 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): 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT	A. GRANT B. LOAN
(1)					148			1
(2)								
(3)								
(4)								
TOTALS					148			C. PROJECT FUNDING AUTHORIZED THRU <input type="text" value="8"/> <input type="text" value="0"/>

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)				13. FUNDS RESERVED FOR ALLOTMENT			
A. APPROPRIATION	B. ALLOTMENT REQUEST NO. _____						
	C. GRANT	D. LOAN		TYPED NAME (Chief, SER/FM/FSD)			
(1)	148			SIGNATURE			
(2)				DATE			
(3)							
(4)							
TOTALS			148				

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

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

DS/PO OFFICIAL FILE

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

March 6, 1979

ACTION MEMORANDUM

TO : DAA/DSB/FN, Mr. Tony Babb

FROM: DS/RAD, Paul Fritz

Problem: Your approval is requested for the initiation of a grant to Professor Thayer Scudder, Institute of Development Anthropology, Inc., to carry out research on the development potential of agricultural settlement in new lands, pursuant to approval of implementation of the project by the Administrator requested by you in your memorandum of December 14, 1978 (attached to PAF).

Discussion: This research project, based on an unsolicited research proposal which was finally approved by the Research Advisory Committee on December 29, 1978, is designed to yield A.I.D. generalizable, comparative findings on the viability and acceptability of new land settlement schemes from the point of view of the settlers themselves -- and on their socio-economic viability as communities in terms of community satisfaction and their capacity to recruit new members. The project will focus as well on the viability of the range of options available to governments for the organization and operation of settlement schemes.

The research will be carried out in up to six countries. At the R and D Committee meeting at which this project was considered (September, 1978), representatives of the Latin America Bureau requested that LA region countries not be included. Various points were raised as well concerning the advisability of including under the grant, expertise of an agriculturalist and an economist. DS/RAD was also asked to canvass relevant missions between the R&DC meeting and the RAC meeting at which the proposal was discussed (October 31, 1978). This was done and positive responses were received from Afghanistan and Indonesia, as well as Sri Lanka and Nepal. The RAC suggested that the number of countries be limited and that the project focus on Asian countries, including Malaysia, but should include some countries from other regions. The final country selection is likely to be: Afghanistan, Indonesia, Malaysia, Nepal, Sri Lanka, and Sudan,

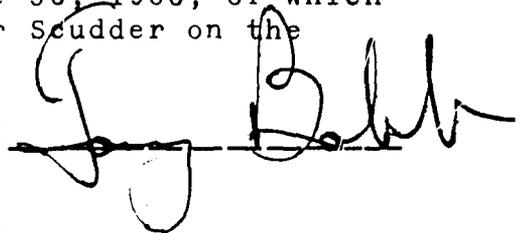
thus meeting the LA Bureau objection and the suggestion of the RAC.

Professor Scudder revised his proposal narrative and budget to conform to the suggestion of the RAC that agricultural and economic expertise be added in the form of consultants to be hired under the grant. This revised version of the proposal was approved (see attached memorandum from John Montgomery of December 29, 1978).

This project has been listed in DS/RAD's OYB for FY 1979. An Environmental Threshold Decision Memorandum has been prepared and submitted to Tony Babb, DAA/FN on September 13, 1978. The project will be evaluated after the final report has been received. A LOP of 14½ months is requested to accommodate the fact that Professor Scudder will be serving as a consultant to PPC during the same period, but the work under the project is to take only 12 months.

Recommendation: That you approve the initiation of a grant agreement for the subject project in the amount of \$147,459. to the Institute of Development Anthropology, Inc. by signing the accompanying PAF. The life of the project will be from April 15, 1979 through June 30, 1980, of which twelve months will be spent by Professor Scudder on the project.

Approved: _____



Disapproved: _____

Date: _____

3 18 79

DS/RAD:ALMorton:fac #3/5/79

CALIFORNIA INSTITUTE OF TECHNOLOGY

PASADENA, CALIFORNIA 91109

DIVISION OF THE HUMANITIES
AND SOCIAL SCIENCES

November 27, 1978

Dr. Alice L. Morton
DS-RAD
Room 506, RP Bldg. C
Agency for International Development
Department of State
Washington, DC 20523

Dear Alice:

The purpose of this letter -- to be appended to the Institute for Development Anthropology's Development Potential of Agricultural Settlement in New Lands Project as Appendix 5 -- is to propose solutions to what I understand to be the remaining RAC reservations. These concern (1) the geographical scope of the study; (2) the need for a sharper focus on government policy and settlement authority organization as they relate to the range of new lands settlement options; and (3) the agricultural aspects of new lands settlements.

Before turning to these three issues, I would like to respond further to the general RAC concern that I am trying to accomplish too much within a single year -- a concern which is also imbedded within the above three reservations. I agree that the project is a most ambitious one; I also agree that it makes sense to whittle it down as we have been doing. On the other hand, the project in fact will get off to a start several months ahead of its official commencement. In January 1979, I have been asked by AID's Sri Lanka Mission to spend several weeks in that country reviewing Sri Lankan experience with new lands settlement and relating that experience to the Mahaweli Basin Development Project, which is far and above the largest and most important agricultural project in the country. In January-February I have also been asked to participate in a small working conference on Planned Population Redistribution. Funded by the United Nations Fund for Population Activities, the conference will be held in Singapore and will involve experts dealing primarily with South and Southeast Asian settlement schemes. These will include Colin MacAndrews, who is mentioned within our Project as a collaborator. Granted the fact that our major field emphasis is on South and Southeast Asia, my Sri Lankan and Singapore visits will provide an excellent opportunity to begin familiarizing myself with Asian new lands settlement experience and to lay the groundwork for subsequent field visits once the New Lands Settlement Project gets under way. In effect I will be spending closer to fourteen months on this twelve-month study.

Under their first reservation, the RAC wants me to restrict fieldwork to Indonesia, Malaysia, and a small number of other carefully selected countries. That is agreeable to me since I wish to keep the travel and overseas component of the research proposal down to the absolute minimum necessary to do the job. Though the final selection of countries will have to be worked out with you and the AID Missions, survey work in both Indonesia and Malaysia is essential. Since AID does not have a Malaysian Mission, I have already contacted the World Bank concerning the inclusion of one or more Bank-financed Federal Land Development Authority (FELDA) projects in my field program. Dr. Michael Cernea, Senior Sociologist at the Bank, organized a full day of appointments for me on November 10, including several with Bank officials with Malaysian and more specific FELDA responsibilities. Verbal support from O.T.W. Price, Chief, General Agriculture Division, Projects Department, East Asia and Pacific Regional Office, and from Brian Gray, a tree crop agronomist with fifteen years' experience in Malaysia, including several years as a FELDA employee, was strong, so that I have every reason to believe that a collaborative arrangement can be worked out.

The second and third RAC reservations are of a more fundamental nature. While I consider them most reasonable, and have tried below to present what I hope are acceptable solutions, I wish to reiterate at this point that by training and experience I am primarily a social anthropologist. Though I have worked extensively with agronomists, ecologists, public health personnel, economists and political scientists, the greatest strengths that I bring to the Project are those of the social anthropologist. Granted this, the primary emphasis of the Project must, in my opinion, continue to focus on the viability of new lands settlements from the point of view of the settlers themselves. More specifically, the emphasis must be placed on their socioeconomic viability as communities and part-societies through time especially in terms of community satisfaction, and in terms of their capacity to recruit new members. Though the main risk-taker, the settler family has been ignored in the literature to a greater extent than the organization of settlement authorities and to a much greater extent than the agricultural and technical side of new lands settlements. While I must of course relate the settlers and settlement schemes to the incorporating agencies and authorities and to the technical package of agricultural inputs, the most important distinguishing feature of this project is its primary focus on the settler community. Granted their different perspectives, I would, of course, be very pleased if members of the RAC were interested in critiquing the initial drafts of my AID reports so that the scope and utility of the final drafts can be increased as much as possible.

Under their second reservation, the RAC believed that my focus should be more specifically on government-sponsored settlement schemes rather than on the rather arbitrary typology of four settlement approaches that figured prominently in our Project text. In other words, within the

context of government-sponsored resettlement schemes, I should focus more on the various options available to government authorities. Such a change in emphasis would mean that less attention would be placed on contemporary spontaneous as opposed to planned relocation and much less emphasis would be placed on a rather academic review of the history of new lands settlement since government-sponsored schemes are a relatively recent phenomenon. This change in emphasis is acceptable to me since one major (but seldom utilized) option open to government agencies is the incorporation of spontaneous migrants within settlement schemes as planned and implemented by government agencies. Since spontaneous migrants continue to make up the large majority of all new lands settlers (up to 75 percent according to the World Bank's 1976 review paper on The World Bank and the Settlement of Agricultural Lands: An Issues Paper), they must be incorporated within the Projects's Scope of Work, especially since I believe that one of the better strategies open to government agencies is to incorporate spontaneous migrants into government-sponsored schemes.

As for the study of government schemes as organizations, I plan to collaborate closely throughout the study with Colin MacAndrews, a political scientist with over five years of settlement experience in Malaysia and Indonesia. In this regard, anthropologists are well aware of the importance of studying both settlers and project authorities as part of a single system, an approach that I have myself taken in dealing with river basin development authorities and government ministries and departments while serving as a consultant to the United Nations Development Programme and FAO over the past ten years. Furthermore, there may well be a commonality of interest between Professor Ray A. Goldberg of Harvard's Graduate School of Business Administration and myself since I was told at the World Bank that he was about to begin a project dealing with successful development schemes which would include an intensive analysis of the Federal Land Development Authority of Malaysia (FELDA). From my preliminary reading on FELDA schemes, it is readily apparent that the organization of FELDA and the nature of its articulation to the Malaysian government structure is a major factor behind the relative success to date of FELDA schemes. Like the more successful river basin development authorities, FELDA is a well-financed autonomous authority with a strong institutional structure and with direct links to and support from the Prime Minister.

The third reservation of the RAC concerned the apparent neglect of the agricultural component throughout the project description. While I did not intend to consider the production system a constant, I agree that the agricultural component must be made more explicit. Before suggesting how this be done, it should be emphasized that most of my own anthropological research has revolved around food production systems, with special emphasis on crop agriculture. As a Harvard undergraduate, I took practically every course on botany that was given, and worked as a research

assistant for Dr. Paul Mangelsdorf before switching to ethnobotany and then to social anthropology. As a member of the World Bank team that produced the two-volume Experience with Agricultural Development in Tropical Africa, I worked very closely with André Guinard, the agronomist associated with the project. In subsequent years I have maintained close contact with colleagues in tropical agriculture and biology. In 1966, the Office of the Foreign Secretary of the National Academy of Sciences sent me as the Academy's delegate to the Panama Conference on Tropical Biology; in 1972 I participated in the Wenner-Gren Symposium on the Origin of African Plant Domestication, which produced a volume in 1976 by the same title; in 1975, as part of a three-person UNDP/UNESCO mission, I worked very closely with a range management expert and a forestry expert in drawing up a program to establish in Nigeria an Institute of Ecology, a primary function of which would be to study the ecological implications of existing agricultural systems; in 1977 I was largely responsible for designing a supplemental training program in the Southern Sudan for the Agricultural Training Institute at Yambio, which is now being implemented; in 1978 I worked for two months in the Sudan with W.J.A. Payne, one of the leading livestock experts in the tropics, in connection with the design of rural development programs for the Jonglei Commission; and earlier this month I spent a week as the only social scientist involved in the FAO Expert Consultation on Fishery Management of Large Rivers. As in this last instance, frequently I am the only social scientist working with natural scientists and engineers on various assignments. Because of my early training in biology and such continued interaction, I am able to understand and evaluate much of what they say and of what they write.

But obviously I am not a trained agriculturalist and should have added under basic issues a separate issue dealing with the agricultural basis of the settlement scheme, agriculture here defined in the broader sense of including perennial and annual crops, livestock, fisheries, and forestry. It would appear that settlement schemes based on tree crops have the highest success rate, although for many of them the critical stage of replanting aging stock has yet to be reached. Settlement schemes based on irrigation, though fraught with many long-term problems, would appear to be the second most successful; while those with a major livestock component or those based on the dryland cultivation of annual crops appear to be the most liable to failure. Though obviously very crude, this type of generalization points up the crucial importance of the whole range of agricultural inputs including extension services. And then of course, there are also questions associated with soil suitability, especially after land clearance has occurred. Returning to the Malaysian FELDA schemes, another reason for their apparent success surely would have to be the excellent work of the Rubber Research Institute and the existence of proven technical packages for a variety of tree crops.

To correct the agricultural deficiencies of the Project, I suggest the following:

1. Recruitment of a leading agronomist and a leading agricultural economist to advise me throughout the Project and to review the initial drafts of all Project reports. Here I have in mind as first choices André Guinard, formerly Director of Studies, Bureau pour le developpement de la production agricole (B.D.P.A.) in Paris and currently Director, Centre National D'etudes D'agronomie Tropicale, in Nogent-sur-Marne; and Randolph Barker, Professor of Agricultural Economics at Cornell University. I select them not only because both are first-rate, but also because both have Asian experience and because I know them, hence increasing the chance that they will accept.

2. Close collaboration at the country and project level with World Bank and FAO agriculturalists. At the Bank, Brian Grey, a Malaysian tree crop specialist, has already loaned me personal documents and has stated his willingness to advise me in regard to the agricultural component of Malaysian schemes. While in Rome last week, I also visited Bonte-Friedhef Deputy Director of FAO's Agricultural Operations Division. He was most interested in our New Lands Settlement Project and requested that we seek formal collaboration with FAO at the appropriate time. In particular he stated a willingness to assist us, if necessary, with country access, and, of special importance to the RAC reservations, to provide agricultural expertise in regard to the evaluation of new lands settlements. Accordingly I intend to formalize a working relationship with both the Bank and FAO especially in regard to agricultural inputs, as soon as possible.

3. Increase of Project consultancy funds to include both local social science and agricultural expertise in regard to field visits to specific schemes. Without doubt I would profit immensely if agricultural and social science counterparts would be available to join me during field visits. If suitable host country personnel are not available, then I would attempt to include a FAO agriculturalist through the good offices of the FAO country or regional representative, or through other multi-lateral or bilateral channels. I would prefer host country personnel, however, so that I could attempt to pass on to them the results to date of my research, and so that interaction between local agriculturalists and social scientists could be furthered. Since recruitment proceedings will be facilitated through my January-February participation at the Singapore conference on Planned Population Redistribution and through my contacts with the World Bank, FAO, AID missions, and scholars, it should be possible to line up personnel before my arrival in the field, especially since the field portion of the Project will not begin until the summer of 1979.

I sincerely hope that these solutions will prove satisfactory to the RAC. With best wishes,

Yours sincerely,

Thayer Scudder
Professor of Anthropology