

**AMERICAN PUBLIC HEALTH ASSOCIATION**  
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AN EVALUATION OF THE  
POPULATION AND DEVELOPMENT PROJECT  
OF BATTELLE MEMORIAL INSTITUTE

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During The Period:

MAY 26, 1981 - SEPTEMBER 2, 1981

Supported By The:

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT  
(ADSS) AID/DSPE-C-0053

AUTHORIZATION:

Ltr. AID/DS/POP: 2/3/82  
Assgn. No. 5102056

## PREFACE

Two projects were evaluated during the consultancy: the Population and Development (PDP II) project, for which Battelle Memorial Institute is the contractor, and Resources for Awareness of Population Impact on Development (RAPID), for which The Futures Group is the contractor. The assessment covered two of the three major efforts in policy development in the Office of Population, Agency for International Development (AID). Extensive travel overseas was required. The evaluation was organized to collect information on both projects simultaneously to reduce costs and to expedite the evaluation. A briefing was held in Washington from May 26, 1981, through May 29, 1981. Meetings were held at the AID, the Department of State, and at the offices of The Futures Group and Battelle Memorial Institute.

In June and July, the members of the evaluation team collected information on the two projects in six countries and in Washington. Drs. Piotrow and Presser visited Brazil, Honduras, and Peru; Drs. Baron and Kelley visited Egypt and Sudan. Dr. Baron also visited Tanzania. Mr. Baker spent a week in Washington, D.C. Upon completion of their travel, the evaluators wrote and exchanged reports on their trips. These reports contained data which were used to prepare the attached document. The team also relied on documentation on the countries which it did not visit that was provided by AID/W and the contractors. Most of this documentation covered the projects through late August, the end of the evaluation period.

Descriptions of the major components of the assessment were written and exchanged among the team members in August. From August 30 through September 2, the evaluators assembled in Washington to discuss the report and to debrief the AID and the contractors on their findings. Each member of the team had specific written assignments, and each trip report reflects the writer's position, although it was reviewed by the entire team. During the working session, the evaluators were able to consolidate their views into a single, final report on each project.

The RAPID and PDP II projects differ in scope, and each is at a different stage of completion. An approximately equal amount of time was spent on each project, but it was concentrated on different concerns. In fact, for the most part, the evaluators considered the projects separately. Because RAPID and PDP II are dissimilar, the team decided to write two reports rather than integrate all their findings into a single report on both projects.

The team would like to express its appreciation to the staff of the AID, Battelle, and The Futures Group for their full cooperation and assistance.

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## ABBREVIATIONS

|            |  |
|------------|--|
| ABEP       | Brazilian Association for Population Studies                             |
| ACO        | AID Contracting Officer  |
| AID/K      | Agency for International Development, Khartoum                           |
| AID/W      | Agency for International Development, Washington                         |
| AMIDEP     | Multidisciplinary Association for Research and Training<br>in Population |
| ANACH      | National Association of Campesinos of Honduras                           |
| ASEPADE    | Advisers in Development  |
| ASHONPLAFA | Family Planning Association of Honduras                                  |
| ASPEFAM    | Peruvian Association of Medical Schools                                  |
| BEMFAM     | Brazilian Society for Family Welfare                                     |
| BWO        | Battelle Washington Office   |
| CCRP       | Central Regional Center for Population                                   |
| CDSS       | Country Development Strategy Statement                                   |
| CEBRAP     | Brazilian Center for Analysis and Planning                               |
| CEDEPLAR   | Center for Regional Development and Planning                             |
| CEPD       | Center for Population and Development Studies                            |
| CHR        | Center for Human Resources   |
| CNP        | National Council of Pesfuita   |
| CONSUPLANE | National Planning Council, Government of Honduras                        |
| CPR        | Center for Population Research   |
| CPS        | Contraceptive Prevalence Survey  |
| CRT        | Computer Recording Terminal  |

|         |  |
|---------|--|
| CTO     | Cognizant Technical Officer  |
| DESPO   | Department of Population Studies, IBGE                             |
| ESRC    | Economic and Social Research Council                               |
| FGV     | Funcacao Getulio Vargas (Vargas Institute)                         |
| FIDEPE  | Foundation of Information for the Development of Pernambuco        |
| FINEP   | Financiadora de Estudos e Projetos                                 |
| FPA     | Family Planning Association  |
| GE      | General Electric   |
| GEADE   | Special Group for Demographic Analysis                             |
| GPEPD   | Parliamentarians Group for Population and Development Studies      |
| HARC    | Human Affairs Research Center                                      |
| IBGE    | Brazilian Institute of Geography and Statistics                    |
| IBRD    | International Bank for Reconstruction and Development (World Bank) |
| IDRC    | International Development Research Center                          |
| IDSC    | International Development Study Center                             |
| IEP     | Institute of Peruvian Studies                                      |
| INE     | National Institute of Statistics (Peru)                            |
| INANDEP | Andean Institute for Studies in Population and Development         |
| IPPF    | International Planned Parenthood Federation                        |
| LDC     | Less Developed Country   |
| LOP     | Life of Project  |
| LSE     | London School of Economics   |
| MIR     | Management Information Report                                      |

|         |  |
|---------|--|
| MIS     | Management Information System  |
| MOH     | Ministry of Health   |
| PDP     | Population and Development Policy  |
| PFS     | Peruvian Fertility Survey  |
| PI      | Principal Investigator   |
| PNFS    | Peruvian National Fertility Survey                                       |
| PRODEUR | Program for Studies and Projects, Ministry of Planning                   |
| RAPID   | Resources for Awareness of Population Impact on<br>Development           |
| RFP     | Request for Proposals  |
| RTI     | Research Triangle Institute  |
| SEADE   | Foundation for the Analysis of Data in the State of<br>São Paulo         |
| SERES   | System for the Study of Social Relations, Economics,<br>and Demographics |
| SFPA    | Sudan Family Planning Association  |
| TDY     | Temporary Duty   |
| UNDP    | United Nations Development Program                                       |
| UNFPA   | United Nations Fund for Population Activities                            |
| USAID   | United States Agency for International Development                       |
| USG     | United States Government   |
| VISTIM  | Vital Statistics Improvement   |
| WFS     | World Fertility Survey   |

Part One

AN EVALUATION OF PDP II

## **I. EXECUTIVE SUMMARY**

## I. EXECUTIVE SUMMARY

### Background

The Population and Development Policy (PDP) Project has passed through two phases, each of which is different in approach. PDP I, which was completed recently, was directed toward research activities subcontracted to local institutions in specified countries. The intent was to produce new research on population issues that would be useful to development planners and policymakers alike. Population seminars and conferences, for which support was provided, were held to disseminate findings.

PDP II has the same objective as PDP I: to facilitate policymaking. The research strategy, however, differs from that of PDP I. The core projects for each country are reviews of existing policy-relevant research on population. The conference is the setting for the review and debate of the issues by government policymakers and the dissemination of findings. Both PDP I and PDP II share a general goal: to help the less developed countries (LDCs) to understand how population dynamics influence their own development and to help implement or improve population policies which will enable the LDCs to achieve their development goals.

### Timing and Leadership

The official starting date for the project, which carried authorization to commit resources, was June, but the contract was signed on July 23, 1980. William McGreevy was appointed principal investigator (PI). McGreevy left Battelle shortly after his appointment to the project, and an undated, abridged version of the original proposal was submitted subsequently, this time with Leonard Robinson as principal investigator.

The abridged proposal contains brief descriptions of several activities that Battelle will perform during the thirty-two-month project.

- There will be 15 subcontracts with LDC institutions in 10 countries, each of which will be the site for core projects.\*

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\* The abridged proposal contains references to 9 core projects, but the AID project monitor has indicated that this figure is in error. The correct number should be 10.

- In each country where there is a core project, researchers and policymakers will be brought together to exchange information on population policy. Three kinds of activities are envisioned: research reviews, symposia, and dissemination.
- The six other subcontracts will be for special or comparative studies on topics that have cross-national or cross-cultural significance for population policy and development.
- In addition to the 15 subcontracts, a variety of activities designed to have more general, regional impacts will be developed. There will be workshops in the countries and regional seminars. Cooperative visits will be made, and support will be provided to LDC scholars who are studying population and development issues at institutions in the United States.

The contract and the revised proposal call for the following written reports:

- Six briefing books. These will contain the background that will be used to prepare country strategy papers.
- Drafts of country strategy papers. These reports will be due 30 days after initial contact with "new" countries (not in PDP I) and 60 days after the date of selection for "old" countries.
- Policy briefs. These will be prepared when the core projects have been completed.
- Final country reports.

Leonard Robinson was the acting director of PDP II from September 1980 to April 1, 1981; thereafter, Michael Micklin assumed the position. The sudden departure of McGreevy and the subsequent changes of director delayed project development. These delays were beyond Battelle's control. The selection of countries also was held up, and there were unavoidable delays in obtaining concurrence on travel. Consequently, there were fewer outputs than expected.

The PDP evaluation began approximately 11 months into the contract (which was for 32 months) and covered the first 15 months (until the end of August). It was expected that the following outputs would be available for review:

- 10 country strategy papers which had been reviewed by the missions and by the cognizant technical officer (CTO) in the Washington office of the Agency for International Development (AID/W);
- 10 core projects and related subcontracts; and
- 6 briefing books.

It had been stated that it would take approximately 18 months to complete the core projects and disseminate results. Also, planned schedules had been included in the abridged proposal; thus, it was thought that the outputs would be produced on time. Nevertheless, not all the outputs were available.

The evaluators relied on the original contract and the abridged proposal for PDP II to assess output. Both documents were distributed to the team when the evaluation began. The AID has been revising the Battelle contract since Micklin became director. The revised contract is at this time in the Program and Contracts offices at the AID. According to staff in the Office of Population, AID, the revised contract was, inadvertently, not circulated to the team. (The major change that has been proposed is to incorporate into the contract the concept of core projects, which is described in the abridged proposal. It also has been proposed that the number of days permitted to elapse before submission of trip reports and strategy papers be increased.)

It should be emphasized that the evaluation depended primarily on team visits to four countries where Battelle had scheduled projects: Sudan, Peru, Brazil, and Honduras (the latter is a PDP I, but not a PDP II, country). It is difficult to make generalizations about Battelle's activities in these countries, because in none are the available demographic resources the same and in none has population policy been developed to the same degree (see Part Two). It is even more difficult to generalize about the countries which were not visited. The team's conclusions, which are based on visits to specific countries and a review of documents on other countries, should be interpreted with these limitations in mind.

### Conclusions

The evaluation team strongly supports the concept and the design of the Population and Policy Development Project. The effort to link research to policy and the concept of core activities that encourage dialogue within countries are extremely promising. The team was pleased to find that some of the recommendations from the PDP I evaluation were adopted in the PDP II project (e.g., strategy papers are required and the number of permanent staff was increased). Also, relations between the AID and Battelle seem to have improved considerably.

There is some concern that Battelle management does not have a sufficient sense of urgency about the need to advance PDP II. Performance has lagged for reasons both within and beyond Battelle's control. The evaluation team is not certain that all the proposed products can be completed--and be of acceptable quality--and delivered in the 18 months remaining to the contract. It therefore recommends that the AID and Battelle evaluate the deliverables and, if necessary, redefine the goals and adjust the budget and staffing so that activities that are started now can be completed in the time remaining to the contract.

### Evaluation of Specific Activities

#### A. Country Strategy Papers

Country strategy papers are critical and they should be developed early in the project, when core activities are being planned. These kinds of reports contain the background that is needed to make important decisions about institutions and issues, and they provide the rationale for future programming, funding, and evaluation. They should be used by Battelle for both internal discussion and planning, and by AID/W and the missions to review and update progress as the projects develop.

The strategy paper for only one country, Sudan, can be considered to be complete. Excluding the papers for Senegal and Togo, which were added only recently to the project, the early drafts of all other reports have been between 7½ months and 10 months late. The team considers this delay to be excessive, especially for PDP I countries where Battelle has been working for some time. The strategy papers for these countries have been delayed between 9 months and 12 months.

For a few countries, selected elements of a strategy can be found in trip reports, but in no way are the trip reports proper substitutes for fully articulated country strategy papers. Strategies have been discussed informally in briefings with AID officials, and institutional subcontracts based on implicit strategies have been negotiated for Turkey, Jordan, and Haiti. The lack of country strategy papers for most countries is, the team feels, a serious omission, the consequence of which may be an ad hoc approach to program development.

#### B. Core Projects

Ten country-specific core projects are required of Battelle. The objective of the projects is to assemble researchers, policymakers, and key government officials to discuss the implications of research in population and development. It had been anticipated that most of the agreements for the core projects and many of the subcontracts that outline specific activities in these projects would have been signed by the

time of the evaluation. As of July 1981, only one core-project agreement with Jordan (consisting of several subcontracts) and one of a number of subcontracts with Peru had been signed. By mid-September 1981, seven other subcontracts had been approved by the Seattle office and mailed to subcontractors in Nepal, Peru, and Turkey. The timing of core-project activities is slipping. Processing must be expedited.

With the possible exception of Brazil, in the countries the team visited where contracts are being finalized or negotiations are under way, the subcontracting institutions seem to be appropriate. The topics that have been selected for papers are relevant, but more attention should be given to the operational implications of research findings. Also, because dissemination activities are crucial to the success of a project, they require more attention and creative thinking. To date, host-government officials have not been deeply involved in Battelle's activities, although the AID missions and AID/W have been consulted by PDP II staff.

#### C. Other Contract Deliverables

The other contract deliverables that are required at this time--the six briefing books--have been completed. The final topics for the regional and comparative studies have not been selected, although the AID and Battelle have begun discussions on the subject. The team feels that appropriate attention is being given to in-country activities at this time.

#### D. Impact

It is expected that through the project the issues of population growth, fertility, and family planning will be placed on the national agenda and become the subject of discussions among decisionmakers. The project is expected to make population a more significant aspect of social science research and to help develop the capability to conceptualize and communicate policy options to key decisionmakers. On the whole, the subcontractors seem to be appropriate choices. Their potential effectiveness is expected to differ in each country. Some key decisionmakers have already been reached.

#### E. Staffing

Significant improvements in staffing have been made since the 1979 evaluation. Three senior population specialists have been designated to be advisers to the project. The assignment of staff to specific country

activities seems to be reasonable. No specific modifications are recommended. Nor are additional appointments to the staff recommended at this time.

The addition of staff capacities in specific substantive areas is less important than the development of coherent and effective strategies for each country. The development of the strategies would progress more if the staff who are now on assignment spent a longer time in the countries than if a larger number of individuals was involved. When in Washington, PDP II staff need to spend more time maintaining contact with the host countries so that the momentum of the project is not lost.

#### F. Management

The Washington office of Battelle (BWO) is a branch organization. It is professionally oriented in its administrative techniques, and it has an effective procedure to track project costs. A variety of other procedures has been developed to monitor the technical components of projects. Efforts need to be made to accelerate the subcontracting process, particularly on-site negotiation, contracting, and the preparation of contracts that show a consideration for the needs and sensitivities of the subcontractors. The production and use of key components, in particular, country strategy papers (which now average between 7 months and 10 months late) and trip reports (which now average 39 days late), must be accelerated.

## II. SUMMARY OF RECOMMENDATIONS

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The team recommends that the AID and Battelle Memorial Institute review all the contractual requirements and try to identify those which can be reasonably fulfilled and delivered as products of acceptable quality in the next 18 months. The capabilities of Battelle and country-specific conditions will influence this determination. Some adjustments in budgets and staffing may be necessary. Other, specific recommendations follow.

### Country Strategy Papers

1. Where core projects are in the preliminary stage (e.g., in Brazil, Togo, Senegal, and Nigeria), the team recommends that adequate country strategy papers be prepared immediately and that no subcontracts be negotiated until fully articulated strategy papers have been reviewed.
2. Where core projects are in an advanced stage, strategy papers with sufficient detail should be completed as soon as possible to facilitate future planning and evaluation.

### Core Projects

3. The team strongly supports the concept of core activities. It recommends that such activities continue to receive priority.
4. Battelle staff should spend more time on TDYs and make an effort to anticipate and avoid delays in the implementation of projects.
5. The selection of agencies for core projects and the conclusion of subagreements must be expedited to fulfill contractual requirements.
6. It is necessary to monitor closely research reviews and workshops to focus attention on the operational implications of policy research. In this activity, it is possible to single out the kind of government programs, including family planning projects, that are needed to help resolve the problems identified through research.

### Other Contract Deliverables

7. The topics for the four comparative studies should be finalized soon, if time remains to complete this part of the project. The selection of the topics should be supported by a rationale based on project activities. The team would encourage the selection of the topic "Women, Population, and Development." This is an important topic for which thoughtful policy is needed.

### Dissemination and Policy

8. As dissemination plans are developed, the project could benefit particularly from the inputs and judgments in-country of senior project staff.
9. The AID and Battelle should review all the contract deliverables, including those specified in the subcontracts for core projects. They also should ascertain which requirements can reasonably be fulfilled and delivered as products of acceptable quality in the next 18 months, given Battelle's current capabilities and skill and expertise in the countries, and adjust accordingly the budget and staff.

### Staffing

10. No changes in the assignment of specific staff to specific countries are recommended.
11. No additional staff appointments are warranted at this time.
12. The senior staff should become more involved in the development of country strategies and core projects, and spend more time in-country.

### Management

13. Battelle should consider the merits of using a standard format for subcontracts that is acceptable to its own legal office and to the Contracts Office at AID/Washington. It should consider employing a program specialist to develop the technical work plan and deliverables and a business representative from the Washington office to finalize at the overseas sites the subcontracts and supporting documentation. It also should consider delegating to the director of the Washington office the authority to sign subcontracts.

14. Subcontracts for research should contain a clause that would give host-country nationals the right to distribute and disseminate all research findings. If the copyright or ownership must by law be vested in the U.S. Government, the team recommends that the U.S. Government provide automatic authorization for the appropriate dissemination of all research findings.
15. The contract should be amended to require the submission of trip reports not more than 30 calendar days after the staff have returned to the Washington office.

### **III. COMPONENTS OF THE EVALUATION**

### III. COMPONENTS OF THE EVALUATION

#### Background

The Population and Development Policy Project, which is administered by Battelle Memorial Institute, has passed through two phases, each of which differs in approach. PDP I, which was completed recently, was directed toward research activities subcontracted to local institutions in specified countries. The intent was to produce new research on population issues that would be useful to development planners and policymakers alike. Population seminars and conferences, for which support was provided, were held to disseminate findings. (For a discussion of PDP I projects in Honduras and Peru, see Part Two.) PDP II has the same objective as PDP I: to facilitate policymaking. The research strategy differs, however, from that of PDP I. A limited number of countries has been identified for intensive activity in a core project that unites researchers with policymakers. The core projects for each country are reviews of policy-relevant research in population. Issues are debated and findings exchanged and disseminated at conferences.

A contract for PDP II was awarded following a response to a request for proposals (RFP) issued in March 1980. The award was preceded by a mid-course evaluation of PDP I. Many of the evaluators' recommendations to improve the first project were accepted and implemented. The team that evaluated PDP I suggested that the number of countries be reduced, that detailed strategy papers be prepared for each country to facilitate the development of policy, that the staff spend more time in each country, and that more full-time professionals be appointed. It should be noted that the new concept of a core strategy, which the team endorses, was not introduced in the recommendations to improve the approach in PDP I. This innovation was proposed by Battelle and refined during discussions with the AID.

Many of the recommendations from the PDP I evaluation were incorporated into the contract for PDP II. Notably, the number of primary target countries was reduced and country strategy reports were specified. More full-time professional staff have been appointed since the mid-course evaluation.

The contract for PDP II is similar to the contract for PDP I. Both projects have a common goal: "to assist less developed countries (LDCs) to consider the impact of population dynamics on their own development and assist in the installation or improvement of population policies which

will contribute toward achieving their development goals." This goal is consistent with the AID's broad interpretation of population-policy development, which involves the consideration of the social and economic factors that may affect population change, but which emphasizes the provision of information on family planning and service delivery.

Work under the contract began in June 1980. The contract itself was signed on July 23, 1980. William McGreevy was to have been the principal investigator, but he left Battelle shortly after his appointment, and Leonard Robinson was appointed to replace him. An undated, abridged version of the document for the PDP II project was submitted subsequently that listed Robinson as the principal investigator. The abridged document specifies that Battelle will perform the following activities:

- There will be 15 subcontracts with LDC institutions in 10 countries, 10 of which will be core projects.
- In each country where there is a core project, researchers and policymakers will be brought together to exchange information on population policy. Three kinds of activities are envisioned to achieve this objective: research reviews, symposia, and dissemination.\*
- Six other subcontracts will be for special or comparative studies on topics that have cross-national or cross-cultural significance for population policy and development.
- In addition to the 15 subcontracts, a variety of activities designed to have more general, regional impacts will be developed. There will be workshops in the countries and regional seminars. Cooperative visits will be made, and support will be provided for LDC scholars who are studying population and development issues at institutions in the United States.

The contract and the revised project document call for the following written reports:

- Six briefing books. These will contain the background needed to prepare strategies for the countries.

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\* The idea of a core project appears in the abridged project document, but not the original contract. A revised contract that specifies the concept is being reviewed by the Program and Contracts offices at the AID.

- Drafts of country strategies. These will be due 30 days after initial contact with "new" countries (not in PDP I) and 60 days after the date of the contract for "old" countries.\*
- Policy briefs. These will be prepared after the core projects have been completed.
- Final reports on each country.

These are the basic tasks that must be completed during PDP II. They are the subject of the evaluation that follows.

### Findings and Recommendations

#### A. Country Strategy Papers

##### 1. Commentary

The contract for PDP II specifies that strategy papers will be prepared for all the countries included in the project. Before a draft can be prepared, staff must visit a country and seek consultation. As specified in the contract, the draft should identify:

. . . relevant host-country institutions; . . . activities of other donors (Ford Foundation, Population Council, etc.), the specific activities and resources to be contributed by [the] contractor . . . including tentative identification of sub-projects and subcontractors and technical assistance and personnel plans.

It is expected that the draft will be updated and revised continuously. The final version will become part of the final report on each country.

The evaluation team feels that the strategy papers are of critical importance and should be drafted early, when core activities are being planned in the countries. The papers contain information that is needed to make important decisions about institutions and issues, and they

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\* In the revised scope of work, 90-120 days are proposed for "new" countries, and 60-90 days are proposed for "old" countries.

provide the rationale for internal discussion and planning by Battelle and for review by AID/W and the missions as the project develops.

Only one thoroughly articulated strategy paper had been prepared as of the end of August 1981. The team found this report on Sudan to be valuable to the mission and useful in planning the Battelle project. (USAID/Khartoum praised the report on Sudanese population problems and perspectives that was compiled by Battelle staff.) The lack of detailed strategy papers for other countries is, the team feels, a serious omission, the consequence of which might be an ad hoc approach to program development in some countries. Indeed, there is evidence that just such an approach is being taken in Brazil. It was difficult to assess Battelle's choice of institutions and its core projects without the detailed draft strategies.

At the briefings in late May, 1981, and again in early September, 1981, the team was given two documents which, apparently, were designed especially for the evaluation. The first consisted of a number of folders, one on each country, that contained all the trip reports and a "country strategy." The following is a list of the countries for which strategies have been written. The length of the reports also is cited. No strategy papers have been prepared for Senegal and Togo.

| <u>Country</u> | <u>Pages</u> |
|----------------|--------------|
| Sudan          | 11           |
| Jordan         | 1            |
| Peru           | 3½           |
| Senegal        | 0            |
| Nigeria        | 5            |
| Togo           | 0            |
| Brazil         | 1            |
| Turkey         | 2½           |
| Nepal          | 6½           |

No other strategy papers were distributed to the team.\* Some trip reports are quite detailed, but they are not strategy papers.

The team was briefed by Battelle and given a copy of a memorandum written by the project director for PDP II, dated August 18, 1981. "Revised editions" of country strategies in a common format are proposed. The team hopes that this will provide a forward-looking analysis to facilitate planning.

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\* In late September, 1981, the Office of Population, AID, indicated that drafts of strategies for Peru, Haiti, and Nepal have been submitted. (They are more brief than the strategy paper for Sudan.)

The strategy paper for Sudan was well done. The shorter strategy papers for Peru and Nepal have been reviewed by the AID missions. According to the Office of Population, AID, the missions, the AID monitor, and the appropriate regional bureaus approved the subcontracts for Turkey, Jordan, and Haiti and thus approved implicitly the strategies for these countries. The team feels that review by the missions is critical to the development of the country strategy papers, which should be explicit.

## 2. Scope of Work\*

*Given the time for travel, has the process of developing the country strategies been efficient?*

The evaluators of PDP I urged that strategies for each country be prepared before the projects are allowed to proceed. This major recommendation has not been implemented fully. The requirement may be impeding project development. Even though all the initial trips had been made as of late August 1981, Battelle has not met its contractual obligation to provide adequately detailed draft strategies for each country. (The criteria for an adequate draft strategy are stated in the contract and further articulated in the memorandum on project directions, dated August 18, 1981.) Only the strategy for Sudan has been articulated thoroughly.

## 3. Recommendations

(1) The team recommends that, where core projects are in a preliminary stage (e.g., in Brazil, Togo, Senegal, and Nigeria), adequate country strategy papers be prepared immediately. No subcontracts should be negotiated until fully articulated strategy papers have been reviewed.

(2) Where core projects are in an advanced stage, strategy papers with sufficient detail should be completed as soon as possible to facilitate future planning and evaluation.

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\* In this evaluation, the team attempted to respond to a series of questions about the scope of work of PDP II. The questions appear in italics in the text and are followed by the evaluators' observations.

## B. Core Projects

### 1. Commentary

Ten country-specific core projects are required of Battelle. The objective of the projects is to assemble researchers, policymakers, and key government officials to discuss the implications of research in population and development. The components of a model core project are (1) five research-review papers that contain analyses of national and international literature on population and development (ordinarily, this is not original research) and comments from appropriate government agencies; (2) a two-day symposium for approximately 25 government officials and researchers, plus Battelle staff; and (3) the dissemination, through quarterly newsletters prepared by the principal investigator, of the findings on and the impact of the core project. As of September 1, 1981, only two agreements for core projects in Jordan and Peru had been signed.

The core project has several attractive features that make it more of an innovation than earlier efforts. Notably, activity is concentrated in one key, non-governmental organization; several other institutions in the host country participate in the project; and a researcher is paired with a policymaker, and they together develop and review the subprojects.

### 2. Scope of Work

*How have the subcontracting institutions in the host countries been selected?*

With guidance from the AID, Battelle staff select the subcontractors when they visit the host countries. In the Middle East, reasonable choices were made. The Queen Alia Foundation in Jordan was a good choice, even though it is not a research institute, because the director has prestige and influence. The choice in Sudan also was appropriate. There, the Economic and Social Research Council (ESRC), a semi-autonomous government body with a respectable reputation for national and international research, was chosen.

In Latin America, where circumstances are different, considerable judgment is needed to select an appropriate institution. In Peru, the Andean Institute for Studies in Population and Development (INANDEP) was selected, primarily on the advice of the AID mission. The INANDEP is a small (12 members), new research organization. The team that visited the INANDEP was impressed with the head of the organization. It is clear that all the parties support the development of a relationship. However, the choice of this particular institution was neither documented nor explained

in the brief strategy paper for Peru. Micklin does discuss the different Peruvian institutions and their interest in Battelle's activities in his trip report (January 1981).

In Brazil, agreement on the core project had not been reached at the time of the team's visit. With the guidance of the social development attaché at the mission, Battelle is moving to provide support for a new organization, the Brazilian Association for Scientific Studies on Population and Development. Brazilian parliamentarians and medical doctors, as well as social scientists, are expected to be members of the Association. There is no evidence that the new organization will have the resources or the administrative base to conduct a core project effectively. Therefore, a core project with this group would be innovative but risky. The Association might not be able to produce competent research-review papers, and it might not become a scientifically credible organization. Alternatively, it might have a direct impact on the policy process, even in the absence of research reviews. Through the same organization, Battelle is planning to provide support to a regional conference of Latin American parliamentarians which has been scheduled for 1982.

A possible recipient of Battelle support for a core project (or other funding) is the Vargas Foundation, a highly regarded university social science research institution in the country. This was the first agency in Brazil that Battelle considered. It is not clear how interested the Vargas Institute may be. The mission was unable to arrange for the evaluation team to speak with the Foundation's representatives (or with staff of any of the other numerous institutions that are doing social science research) about PDP II.

These examples point up the need for detailed strategy papers that document the rationale for selecting an appropriate institution for core projects. The strategy for Sudan is clear, that for Peru can be inferred; there is no explicit strategy for Brazil.

*Are the topics of the research papers relevant to the situations in the countries?*

The topics are of great interest to social science researchers in the countries. In Jordan, the education and training of women, demographic trends, urbanization and social services, the effects of rapid population growth on development, and poverty have been selected as topics. In Peru, the topics are recent demographic trends and their impact on the labor force, housing, education, health, and nutrition. In Brazil, education, sanitation, mortality, and the distribution of income have been suggested as topics, but the core project has not begun. In Sudan, integrated health care, labor-force participation, social services, and the role of women are emphasized. All these are important topics, but in the

absence of detailed draft strategies for Peru and Brazil, it is not clear why the selected topics are the most relevant.

*Was there sufficient official involvement by the host countries at all stages of the core projects?*

Official involvement (by the host governments) has been minimal, but one would expect this, given the status of project development. According to the staff in the Office of Population, AID, government officials have helped to plan the dissemination activities for Turkey, Peru, Brazil, Jordan, and Sudan. Interested persons and institutions, including government officials in a personal capacity, have been identified and consulted in both Peru and Sudan. It is too early to know how official involvement may evolve. In the Sudan, at the urging of Battelle staff, there has been talk of reactivating the National Committee on Population. This would be an imaginative and practical way to increase the government's involvement. In Brazil, Battelle has worked closely with Senator Eunice Micheles to lay the groundwork for a conference on population for Latin American parliamentarians.

*Was there adequate communication with the USAID missions and with AID/W about the content of the core projects?*

In policy development, communication and agreement are crucial. Here, communication falls under the control of the contractor. Officials in the missions in the three countries which the team visited said that they are satisfied with the extent of the consultation on Battelle's core projects. For example, the population officer at the AID mission in Lima informed the team that PDP II activities are highly appropriate and are reaching institutions and persons communicating key policy information. Agreement, unlike communication, is outside the contractor's influence. Some persons in the AID are skeptical of the value of social science research in promoting service delivery programs. Questions about the need for social science research were raised in the first PDP evaluation. At that time, it was endorsed.

*Are the planned dissemination activities appropriate? Can they be improved?*

It is not possible to evaluate specific dissemination activities at this time because none of the core project papers has been

prepared. Seminars, conferences, and summary papers are planned. The team recommends that other innovative dissemination activities be considered. The team endorses three notable suggestions that are under consideration at this time. In Peru, it has been recommended that the highly praised AMIDEP newsletter be used to present the results of research. In the Sudan, a public meeting to inaugurate the National Committee on Population has been suggested. And, in Brazil, it has been proposed that links be established with the Parliamentarians' Conference which is scheduled to meet in Brasilia in August 1982.

*Do PDP II staff spend a sufficient amount of time on TDYs?*

Staff for the PDP II project spend approximately 14 percent of their time overseas. This is approximately one-half of the time (20-30 percent) recommended in the AID's guidelines for regional bureaus. PDP II staff should devote more time to core projects and spend more time with other researchers. They also should have greater input into project development.

In Sudan, where two members of Battelle's staff spent two weeks arranging the core project, the TDY was sufficient, but follow-up from Washington was delayed because of other demands on time. In Latin America, the staff spent 41 person-days on four trips to Peru (between September 1980 and June 1981), 26 person-days in Brazil (February and May 1981), and 35 person-days in Haiti (November 1980 to July 1981).<sup>\*</sup> PDP I activities were covered during the time in Haiti. The team believes that if more time were spent in the countries, the projects would be improved.

In addition to working overseas, staff need to spend time in Washington to follow-up promptly the projects. Delays in submitting trip reports and in implementing contracts, as in Sudan, suggest that other demands on staff time are being made. Also, few staff work full-time on the PDP project. The lack of full-time staff who can give all their attention to PDP II may be affecting the performance of the project.

### 3. Recommendations

(3) The team supports the concept of core activities and recommends that such activities continue to receive priority.

(4) Battelle staff should spend more time on TDYs and try to anticipate and avoid delays in implementing projects.

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<sup>\*</sup> These figures include time for travel.

(5) The selection of agencies for the core projects and the conclusion of sub-agreements must be expedited to fulfill the requirements of the contract.

(6) It will be necessary to monitor closely research reviews and workshops so that attention can be focused on the kinds of government programs, including family planning projects, that are needed to alleviate the problems identified by researchers.

### C. Other Contract Deliverables

#### 1. Commentary

In addition to strategy reports and core projects, the contract calls for briefing books on each country, policy briefs, regional and comparative studies, and regional workshops. These activities derive from, but also support, the core project activities.

The contract stipulates that briefing books will be prepared for six countries: Ghana, Nigeria, Rwanda, Turkey, Jordan, and Morocco. All the reports have been completed. All include documents on population and development in each country.

The policy briefs, which are supposed to be written after the projects have been completed, are to be short summaries (500-2,000 words) of the findings in each research report. A brief is required for each country. To date, none has been prepared.

The regional and comparative studies are to be conducted by at least three host-country institutions and discussed at an international workshop for policymakers. Four sets of comparative studies are to be produced. Comparisons are to be made of one or more issues in population and development in selected pairs of countries. Each pair is to include at least one core project activity.

The abridged project document contains a list of suggested titles for cross-country and cross-regional studies; for example:

- The Process of Making Population and Development Policy;
- Implications of World Fertility Survey Data on Population Policy;
- The Impact of Women in Development Projects on Fertility Practices;

- Extending Health and Family Planning Services to the Poorest of the Poor; and
- Trends in Migration and Their Policy Implications.

No rationale is given for the topics, although it would be easy to justify the study of any one of the subjects. No substantive work on the comparative studies has been done, although the activity has been discussed with AID staff.

Regional workshops are planned to coincide with the completion of the core projects. The objectives of the workshops are to disseminate widely the results of the core projects and to develop more fully issues of interest in the regions. The workshops will provide an opportunity to share and exchange policies on population and development.

Three conferences are planned: one for the Latin American region, one for the Near East/Africa region, and one worldwide. The revised project document contains a list of possible topics, such as scarcity of water, migration, and public administration and service delivery. These kinds of topics are relevant, but there is no rationale for selecting one topic over another. Various topics have been discussed with the cognizant technical officer at the AID.

Battelle has a Fellows Program which provides financial assistance for research to students from LDCs who are residing in the U.S. The program was a component of PDP I. Although it was given low priority by the evaluators of the first project, it was continued. Seminars are scheduled each year to bring the students together to discuss their findings and to consult with Battelle staff. (The seminars were held twice each year during PDP I.)

The team did not specifically evaluate the Fellows Program.

## 2. Scope of Work

*How are topics selected? What has been the input of AID/W and the USAID missions? Are the topics relevant? What progress has been made?*

A final selection of topics for the comparative and regional studies and regional workshops has not been made. No rationale has been given to support the selection of the topics that have been proposed. The little attention that has been given to these activities seems to be appropriate. An evaluation of this part of the scope of work is,

therefore, unnecessary. The reader should be aware, however, that the comparative studies are to be conducted throughout the 32 months of the program, even though they are to be concentrated in the last months, when the findings on program activities become available. The team supports the principle of early consideration of research topics. It is pleased that discussions between Battelle and the AID are under way.

### 3. Recommendations

(7) The topics for the four comparative studies should be finalized soon, if time remains to complete this part of the project. The selection of the topics should be supported by a rationale based on project activities. The team would encourage the selection of the topic "Women, Population, and Development." This is an important topic for which thoughtful policy needs to be developed.

#### D. Dissemination and Policy: Impact

##### 1. Commentary

The goal of PDP II is "to assist less developed countries (LDCs) to consider the impact of population dynamics on their development and assist in the installation or improvement of population policies which will contribute toward achieving their development goals." This broad goal allows for a wide range of activities tailored to particular situations in each country. The elements of the project are country-specific, policy-supportive activities.

##### 2. Scope of Work

*Do the subcontracting organizations in the host countries have sufficient prestige that their policy studies will be credible among government officials?*

A wide variety of organizations has been selected for the core projects. This is to be expected. The organizations selected for the core projects in Jordan and the Sudan appear to be appropriate and of sufficient prestige and credibility. It is difficult to evaluate the selection of subcontractors for core projects in Latin America, where, usually, one of several different institutions may be selected. The basic role and rationale of the core projects for each country have not been defined adequately because no detailed strategies have been prepared.

*Do the subcontracting organizations in the host countries have an established record for influencing government policy?*

If one considers all the subcontracting agencies, not merely those responsible for the core projects, one would have to respond positively to this question. In Jordan and Sudan, the institutions are influential, although there is no evidence that they have had an impact on population problems. In Latin America, most of the many institutions with which Battelle deals are trying to influence policy. In Peru, two grantees that are receiving funds are influential government agencies. One, the National Council on Population, is slated to receive funding for library services. The other, the National Institute of Statistics (INE), may receive funding for a seminar and a summary in Spanish of the findings of the World Fertility Survey (WFS). A third private Peruvian agency, the Multidisciplinary Association for Research and Training in Population (AMIDEP), has leading government officials as its members. With funding from Battelle, AMIDEP prepares a well-regarded newsletter, runs seminars, and has published a book. Battelle is considering funding a new organization in Brazil which would specifically include as members parliamentarians and medical doctors, as well as social scientists.

*Has PDP II reached key government decision-makers? Are there sufficiently formal plans to accomplish this objective?*

Contact has been made with some key government decision-makers in every country the team visited. Contact has been made in different ways, at different levels. It is likely that the results of such contact will differ. In Sudan and Peru, for example, Battelle's projects most closely resemble the model core project: Social science or government agencies have been selected to analyze population issues and discuss them with high government officials who personally are aware of and interested in the results. In the Sudan, official involvement of government officials has been delayed because of problems in subcontracting the core project. In Jordan, PDP II staff are dealing with an influential person who has access to the royal family. In Brazil, the Battelle project appears to be developing along different lines. There, staff are involved with a group of interested legislators, medical doctors, and social scientists. Their approach is unique, direct, political--and risky. It has the support of the social development attaché at the mission.

The more PDP II reaches and works with key government decisionmakers, the more important it is for PDP II staff to develop political acumen and to acquire personal stature and seniority, as well as technical skills. To gain access to high-level officials and to have an influence in planning papers and meetings, both credentials and political skills are

needed--and they are needed by both Battelle staff and their colleagues in the host countries. An error in dealing with a social science researcher probably will not do irreparable damage, but a similar error in dealing with a minister or the director of a program could do serious harm. The potential risks, as well as the potential benefits, of the PDP II project are all the greater because key decisionmakers are involved. Thus, as dissemination plans are developed, senior staff should provide more input in-country.

*Will the PDP II project increase contact among the host-country groups who determine or influence population policy?*

To this question, one would respond, yes, in most cases. In some countries, such as Sudan and Jordan, the key figures maintain close personal communication, and because of the PDP II project, the subject of population may enter into their discussions. The team thinks that, in Sudan, the PDP II project has set the stage for the revitalization of the National Population Committee. In Peru, Battelle's earlier work seems to have contributed significantly to the development of family planning efforts. The problem in both Peru and Brazil is how to develop data and material to carry on a dialogue with the social scientists and religious leaders who argue against family planning programs.

The Battelle project does not directly address the issue of meeting religious opposition, which in Peru and Brazil appears to be the most significant constraint to establishing government family planning programs. It might be possible to address this problem through dissemination, as was done with PDP I in Peru. In Brazil, the opposition of some social scientists to family planning programs is linked to antigovernment sentiment and support for the redistribution of income and socioeconomic reform. Battelle cannot alter this situation, but it can give more attention to efforts to facilitate a dialogue among the parties concerned. Because of the size and importance of Brazil, a variety of projects might be considered.

*What plans does Battelle have to include family planning professionals in the PDP II project?*

The role of family planning professionals in PDP II is unclear. In the Sudan and Peru, but not in Jordan, papers on family planning are included in the core projects. The evaluation team urges Battelle staff to consider seriously the operational implications of such issues as family planning, the status of women, and health services. To ensure this, it may be necessary to employ operationally-oriented professionals in each area as commentators or participants in the final seminars and workshops. Close and sensitive monitoring by Battelle staff will be required.

*What reasonable, measurable achievements can be expected at the end of PDP II?*

The most easily measured achievement would be fulfillment of the contractual requirements for country strategies, core project review papers, country workshops, regional seminars, policy briefs, and the other deliverables and outputs that are specified in both the AID contract and the subcontracts with Battelle. To complete by December 1982 the work on the ten core projects and six other projects, Battelle will have to make a major, accelerated effort. The evaluation team is skeptical that the contractor can fulfill all the specific requirements of the contract, and produce products of acceptable quality, before the end of the project.

Furthermore, even if the necessary papers and documents are produced, the team doubts that Battelle can make adequate arrangements for effective presentation, wide discussion, public dissemination, and serious consideration in the policy-making process. The team thinks that Battelle would be wiser to implement a smaller number of projects well than to try to do too many projects in the remaining, limited time and perform poorly or make a bad impression on influential nationals.

The evaluation team recommends that the AID and the contractor make a country-by-country review to ascertain what requirements can reasonably be fulfilled in the time remaining to the contract.

### 3. Recommendations

(8) As dissemination plans are developed, the project could benefit particularly from the inputs and judgments in-country of senior project staff.

(9) The AID and Battelle should review all the contract deliverables, including those specified in the subcontracts for core projects; ascertain which requirements can reasonably be fulfilled to produce outputs of acceptable quality in the next 18 months, given the capabilities in the countries and of Battelle; and adjust the budget and staffing pattern accordingly.

## E. Staffing

### 1. Commentary

In 1979, a mid-term evaluation was made of the PDP project. At that time the evaluators recommended that a full-time, Washington-based deputy director be appointed and that a business representative be employed in the Washington office to handle fiscal and contractual matters. The evaluators also suggested that it would be more cost-effective to employ a smaller number of professional staff who are based full-time in Washington than to follow the existing staffing pattern. They felt that the negotiation of subcontracts and monitoring would improve also. The recommendations were implemented, but it is not possible at this time to evaluate fully how well PDP II staff have performed because several of the key appointments were made recently and project activities are still in the early stages of development.

The project director left Battelle soon after the contract for PDP II was signed. With the elevation of the designated deputy, there was only an acting director, and no deputy, for much of the period under evaluation.

### 2. Scope of Work

*Are the number and qualifications of PDP II staff sufficient to ensure quality and the in-depth technical monitoring of activities?*

As of August 1, 1981, there were ten research scientists and three research specialists on the staff, as is shown in Exhibit A. All but two of the staff are based full-time in Washington.

The current staffing pattern is a significant improvement over that which prevailed at the time of the 1979 evaluation. Then, the PDP project relied on inputs from 36 persons, only 7 of whom were regular Battelle staff based in Washington; 14 were temporary staff (part-time and targeted for specific subprojects) based at other institutions and 15 were either regular or temporary staff based in Seattle.\*

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\* For details about staffing, see pages 20-24 in the report on the evaluation.

Exhibit A

RESEARCH SCIENTISTS AND RESEARCH SPECIALISTS, PDP II

| <u>Title</u>        | <u>Name</u>              | <u>Location</u> | <u>Proportion<br/>of Bud-<br/>geted Time<br/>Spent on<br/>PDP II</u> | <u>Degree</u>                |
|---------------------|--------------------------|-----------------|--|------------------------------|
| Research Scientist  | R. Ahmad                 | Washington      | 57%  | Ph.D., Political Science     |
| Research Scientist  | C. Carrino               | Washington      | 68%  | M.A., Economic Development   |
| Research Scientist  | J. Cheema                | Washington      | 32%  | Ph.D., Population Planning   |
| Research Scientist  | C. Cluett                | Seattle         | 40%  | Ph.D., Sociology/Demography  |
| Research Scientist  | H. Cross                 | Washington      | 92%  | Ph.D., Economic History      |
| Research Scientist  | M. Ebot                  | Lome, Togo      | 78%  | Ph.D., Demography/Geography  |
| Research Scientist  | C. Gilley                | Washington      | 46%  | M.A., Latin American Studies |
| Research Scientist  | J. Kocher <sup>1</sup>   | Washington      | 0  | Ph.D., Economics/Demography  |
| Research Scientist  | M. Micklin <sup>2</sup>  | Washington      | 29%  | Ph.D., Sociology/Demography  |
| Research Scientist  | S. Stout                 | Washington      | 85%  | Dr.P.H., Public Health       |
| Research Specialist | A. Kubisch               | Washington      | 73%  | B.A., English                |
| Research Specialist | L. Robinson <sup>3</sup> | Washington      | 78%  | B.A., Anthropology           |
| Research Specialist | M. Zimmerman             | Washington      | 6%   | B.A., Political Science      |

<sup>1</sup> As of August 1, 1981; also deputy director, PDP II.

<sup>2</sup> Also director, PDP II.

<sup>3</sup> Formerly, deputy director, PDP II, and acting director; currently, director, International Development Study Center.

On April 1 of this year, a new, full-time project director was appointed. A full-time deputy director was hired on August 1. (This action was recommended by the evaluators of PDP I.) Both are qualified and experienced scientists who specialize in population. Both have published extensively. The deputy director has several years of field experience in Tanzania and India.

All but two of the research scientists hold doctoral degrees and have had some formal training in demography. The two research scientists with masters degrees have relevant field experience and language capabilities, but neither has had formal training in demography.

To supplement and support the technical qualifications of the regular staff, three senior population scientists were designated recently as part-time advisers to the project. For a combined total of as many as 90 days per year, these persons will review proposed core projects and specific research-review papers. They also may be asked to provide other technical assistance to support the PDP II project. The effective use of these senior advisers will require close planning and supervision by the senior staff.

In Exhibit A, the column showing time devoted to PDP II was calculated by comparing the maximum number of hours that would be spent by a person devoting 100 percent of his or her working hours to the project (140 per month for the eleven-month reporting period) and the number of hours actually reported by each person for the period. (See Appendix D.) Battelle considers "full-time" to be the equivalent of 80 percent of a person's maximum possible work hours. The balance consists of time for meetings, program development, and other managerial responsibilities. Two of the research scientists devoted more than "full-time" to PDP II during the period for which data are available; one other research scientist and two research specialists devoted approximately "full-time" to the effort.

Comparing the number of staff work hours budgeted in the PDP II contract and the number of working hours subsequently reported, the evaluation team found that the research scientists and specialists actually spent slightly more time than was budgeted on the project in the first 11 months; management devoted only two-thirds of the time originally anticipated. (See Table 1.)

The evaluation team is aware that the original project director resigned two months after PDP II began, that the acting director necessarily had to spend much of his time on the recruitment of a replacement (he himself was promoted subsequently to a new position at Battelle), and that the current director and deputy director did not begin work until April 1, 1981, and August 1, 1981, respectively. Given this unfortunate set of circumstances, one can understand why some goals have not been met on time. However, the team is also aware of several specific instances

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Table 1  
COMPARISON OF BUDGETED AND REPORTED STAFF HOURS

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| <u>Staff<br/>Category</u> | <u>Budgeted<br/>Hours of<br/>Work<br/>(32 Months)</u> | <u>Pro-Rated<br/>Equivalent<br/>(11 Months)</u> | <u>Actual<br/>Hours<br/>Reported<br/>(11 Months)</u> | <u>Percent<br/>of Time<br/>Budgeted<br/>(11 Months)</u> |
|---------------------------|---|---|--|---|
| Management                | 8,498   | 2,921.2   | 1,899.5  | 65.0%   |
| Research Scientist        | 19,529  | 6,713.1   | 6,879.0  | 102.5%  |
| Research Specialist       | 8,479   | 2,914.7   | 2,972.5  | 102.0%  |

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when competing demands for the time of PDP II staff adversely affected project performance, causing delays in, for example, the preparation of trip reports and country strategy papers and the negotiation of subcontracts with institutions in the LDCs.

The team would emphasize that the current staffing pattern is a significant improvement over that which prevailed two years ago. The members of the team were favorably impressed by the intelligence, enthusiasm, and commitment of the staff they met. USAID staff in the countries the team visited generally gave high marks to PDP II staff. Lacking research-review papers and other PDP II outputs, the evaluation team could not assess adequately the substantive performance of the staff.

PDP II is intended to influence the formulation and implementation of population (and development) policies in developing countries, processes that necessarily involve senior policymakers, researchers, and program managers. The team is concerned that PDP II staff are young and, with few exceptions, not well known. (Visits to specific countries were too brief to make more definitive judgments of the performance of staff in-country.)

The team believes that the technical capacity of PDP II staff, their professional status, and their informed sensitivity to local political and institutional environments will be critical factors in Battelle's performance in this project.

*Is the procedure for allocating specific activities to individuals on the staff optimal? Can it be improved?*

The allocation of staff to specific country activities is shown in Exhibit B. In most cases, assignment is based on earlier experience in the country and language capability. An effort is made to ensure continuity of communication through a principal staff contact, with backup as needed. Battelle's method of assigning staff to specific countries is reasonable. No modifications are suggested at this time.

*What, if any, expertise should be added to the PDP II staff?*

The evaluation team does not recommend the appointment of additional PDP II staff at this time. Several senior staff are new appointments and need to become deeply involved in project activities. The three senior project advisers have not had much interaction with PDP II staff. Activities in the countries are still in the early stages of

Exhibit B

DISTRIBUTION OF STAFF AMONG PROJECTS

| <u>Country</u> | <u>Principal Staff</u>              | <u>Backup</u>                  |
|----------------|-------------------------------------|--------------------------------|
| Brazil         | Cynthia Gilley                      | Michael Micklin                |
| Haiti          | Anne Kubisch                        | Leonard Robinson               |
| Peru           | Harry Cross                         | Michael Micklin                |
| Honduras       | Harry Cross                         | Michael Micklin                |
| Cameroon       | Moses Ebot                          | Anne Kubisch                   |
| Nigeria        | Moses Ebot                          | J. Kocher<br>Leonard Robinson  |
| Sudan          | Susan Stout                         | Anne Kubisch                   |
| Jordan         | Connie Carrino                      | Leonard Robinson               |
| Turkey         | Harry Cross                         | Michael Micklin                |
| India          | Leonard Robinson<br>Jatinder Cheema | James Kocher                   |
| Nepal          | Chris Cluett                        | Jatinder Cheema                |
| Pakistan       | Rashid Ahmad<br>Leonard Robinson    | Jatinder Cheema                |
| Togo           | Moses Ebot                          | Anne Kubisch                   |
| Senegal        | To Be Named                         | Moses Ebot                     |
| Tanzania       | James Kocher                        | Leonard Robinson<br>Moses Ebot |

development. At this time it is less important to add staff capacities in specific substantive areas than to develop coherent and effective country strategies. To write such strategies, informed judgments must be made about local population issues and priorities, institutional and policy contexts, and available professional resources. The team feels that if Battelle staff spent more time in the countries, more effective country strategies could be developed. Additional visits or the involvement of a larger number of persons would not, the team thinks, contribute to the development of strategies for each country.

### 3. Recommendations

(10) No changes in the assignment of specific staff to specific countries are recommended.

(11) No additional staff appointments are warranted at this time.

(12) The senior staff should become more involved in the development of country strategies and core projects, and spend more time in-country.

## F. Management

### 1. Commentary

Battelle Memorial Institute is a non-profit, public-purpose, multinational organization. The Institute's principal Human Affairs Research Center (HARC) is in Seattle; a subordinate HARC is in Washington, D.C. Within the center is a substructure which includes the International Development Study Center (IDSC). The IDSC, which is directed by L. H. Robinson, Jr., is responsible for executing the PDP II, AID/DSPE-C-0076. (See Appendix B for an organizational chart of the IDSC.)

Battelle's Washington-office staff are knowledgeable about the AID's requirements for the administration of the contract. A description of the managerial and financial aspects of the project is given below.

#### a. Personnel

Battelle included in its proposal (revised April 23, 1981) projections of staff time. A total of 59,840 person-hours was projected. In addition, Battelle calculated that consultants' time would be

482 days (3,856 hours). These estimates are given in Table 2. A comparison of projected and actual time is given in Table 3.

As of May 29, 1981, 18 staff members "charged-off" time to PDP II. (See Appendix C.) The following persons are physically located in Seattle: C. Cluett, a full-time research scientist; B. Metch, a part-time research assistant; the secretarial staff; and word-processing and editing staff. (See Appendix D for the distribution of time between the Seattle office and the Washington office.) M. Micklin was in Seattle until April 1, 1981; he is now in Washington, D.C., and serves as project director. On August 1, 1981, J. E. Kocher joined PDP II as deputy director.

Since the contract began, 34 percent of the time has elapsed. Battelle has applied a proportionate amount of time, 30 percent, to respond to its responsibilities. Battelle has made adequate provision for support staff--a subject of criticism in the earlier mid-term evaluation.

#### b. Financial Status

A budget of \$3,956,491, to be expended over 32 months, was approved. Expenditures as of May 29, 1981, are given in Table 4. Of the \$22,800 in subcontracts that have been expended and encumbered, \$16,800 are unpaid on Subcontract No. H706-04, with the AMIDEP in Peru. (See Appendices E and F.) As of May 1981, with 34.8 percent of the time for the contract having elapsed, Battelle had expended 17.9 percent of the total budget.

"Staff time overhead" for the BWO is based on the off-site rate of 25 percent of salaries and fringe benefits. The on-site (Seattle) rate is 36 percent. "Indirect" costs as a factor of the size of the staff cover payroll, personnel, the receptionist, and space and utilities. "General and Administrative" costs include all flow-down costs to cover upper management, corporate general and administrative costs, business taxes, professional liability insurance, etc. Costs not chargeable to the contract are listed in the column called "Fee."

## 2. Scope of Work

*How can the internal review of subcontracts in both Seattle and Washington, D.C., be made more efficient?*

There are seven steps in the Battelle approach to developing a subcontract. These steps are:

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Table 2  
PROJECTED STAFF TIME

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|                      | <u>Projected Staff Requirements</u> |                     |
|----------------------|-------------------------------------|---------------------|
|                      | <u>Person-Days</u>                  | <u>Person-Hours</u> |
| Management           | 935                                 | 7,480               |
| Research Scientists  | 2,569                               | 20,552              |
| Research Specialists | 1,060                               | 8,480               |
| Support              | <u>2,916</u>                        | <u>23,328</u>       |
| TOTAL                | <u>7,480</u>                        | <u>59,840</u>       |

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Table 3  
COMPARISON OF PROJECTED AND REPORTED STAFF TIME

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| <u>Category of Personnel</u> | <u>Projected Hours</u> | <u>Percent</u> | <u>Actual Hours</u> | <u>Percent</u> |
|------------------------------|------------------------|----------------|---------------------|----------------|
| Management                   | 8,498                  | 14.2           | 1,899.5             | 10.8           |
| Technical Staff              | 28,008                 | 46.8           | 10,225.5            | 57.9           |
| Support Staff                | <u>23,334</u>          | <u>39.0</u>    | <u>5,539.4</u>      | <u>31.3</u>    |
| TOTAL                        | <u>59,840</u>          | <u>100.0%</u>  | <u>17,664.4</u>     | <u>100.0%</u>  |

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Table 4  
FINANCIAL STATUS, PDP II, AS OF MAY 29, 1981

|                    | Approved<br>Budget,<br>6/23/80 -<br>2/23/83<br><u>(32 Months)</u> | Expended and<br>Encumbered,<br>6/23/80 -<br>5/29/81<br><u>(11 Months)</u> | Balance<br>Available,<br>5/30/81 -<br>2/23/83<br><u>(21 Months)</u> | Percent<br>Expended and<br>Encumbered<br>During<br><u>11 Months</u> |
|--------------------|---|---|---|---|
| Program Operations | 1,899,432   | 411,744   | 1,487,688   | 21.7  |
| Subcontracts       | 750,000   | 22,800  | 727,200   | 3.0   |
| O/H, G/A, and Fees | <u>1,307,059</u>  | <u>272,808</u>  | <u>1,034,251</u>  | <u>20.9</u>   |
| TOTAL              | <u><u>3,956,491</u></u>   | <u><u>707,352</u></u>   | <u><u>3,249,139</u></u>   | <u><u>17.9</u></u>  |

- Develop a proposal.
- Review the proposal.
- Coordinate with AID/W.
- Develop a subcontract.
- Review the subcontract.
- If required, secure AID/W's approval.
- Sign the subcontract.

This is a simplified description of the process, because revisions, whether programmatic or financial, may be required at any one step. (For a detailed description of the BWO's procedures, see Appendix G.)

The first step is often a time-consuming process of exploration and assessment of mutual concerns. In the interest of more specific analysis, the following comments will begin with the second step, the availability of a proposal. For two completed PDP II subcontracts, the interval of time for development was as follows:

| <u>Date Proposal Received</u> | <u>Date Subcontract Signed</u> | <u>Approximate Months</u> |
|-------------------------------|--------------------------------|---------------------------|
| September 27, 1980            | February 13, 1981              | 4.5                       |
| February 11, 1981             | July 12, 1981                  | 5.0                       |

The average interval of time between steps was as follows:

| <u>Step</u>  | <u>Average Interval In Days<br/>(based only on two contracts)</u> |
|--|---|
| From Receipt of Proposal to<br>Submission of Proposal to AID/W | 101   |
| For AID/W Approval   | 10  |
| Delivery to Seattle after AID/W<br>Approval                    | 17  |
| Delivery to AID/W for Approval of<br>Subcontract (if required) | 16  |
| After AID/W Approval, Time for<br>Full Execution               | <u>20</u>   |
| Total Average  | 164   |
| Calendar Months (30 Days)                                      | 5.47  |
| Working Months (21 Days)                                       | 7.81  |

These averages could, perhaps, be reduced by implementing two procedures. One, after the proposal has been approved by AID/W, send a two-person team to finalize the contract in-country. One representative would be the principal investigator, and the other would be a contract administrator. These two persons would have the expertise required to resolve all issues on-site and to ensure that both parties to the contract fully understand their responsibilities and rights. It would be necessary that the contract administrator be authorized to represent Battelle and be fully knowledgeable about the special concerns of the Contracts Office at AID/W. Two, delegate authority to sign the contract to the director of the IDSC at the BWO. Delegation to a signatory at this level would be appropriate because a contract administrator from the Washington office would be on-site.

*What procedures does Battelle follow to technically monitor subcontracts? Do these methods ensure timeliness and quality?*

The phrase "monitoring of subcontracts" implies the consideration of both technical and administrative matters. Administrative monitoring is less complex than technical monitoring. At Battelle, administrative monitoring is done through a periodic Management Information

Report (MIR). The MIR is an improvement over its predecessor, the Management Information System (MIS). It includes "proposal review and subcontract processing" and a "subcontract reporting and payment schedule." The MIR, scheduled each month, covers the preceding 30 days. Issues of the report from March through August, 1981, are available. Copies are sent to the CTO. If continued and regularly scheduled, this report will provide information essential for timely action by management.

Technical monitoring of subcontracts is handled by the principal investigator and a back-up. These persons may use as monitoring aids the following items:

- Trip reports;
- Contractually-established dates for "deliverables";
- Scheduled payment dates; and
- The option of "no pay," "partial pay," and "full pay."

The principal investigator prepares a memorandum for payment (authorization) which is signed by the director. This step is essential for quality control. The critical judgment of the principal investigator is particularly important, because this person has the authority to decline any payment for substandard products and to approve partial payment, with complete payment contingent upon the resubmission of a fully acceptable product.

*Are the managerial responsibilities for PDP II efficiently shared by the D.C. and Seattle offices? Does Seattle offer adequate managerial support? Are any of Seattle's functions redundant?*

The BWO has authority to select countries (this is discussed with AID/W), set priorities for work, control staff time, revise budgets, procure expendables, employ temporary clerical help, and make cash advances for travel.

The Seattle office reserves the authority to review and sign subcontracts, employ permanent staff, approve consultants, and purchase non-expendable equipment. Seattle also provides administrative services; it maintains general and subsidiary ledgers, issues official accounting reports, prepares paychecks, maintains central personnel records, provides legal advice, and handles such administrative matters as fringe benefits,

insurance, and leasing arrangements. Communication between the two offices is facilitated by telecopy and scheduled express mail.

Battelle has taken steps to station a HARC business representative and a business clerk in the BWO; this has increased the staff's administrative and fiscal capabilities. The business representative appeared to be overloaded much of the time. Another person was added to the staff on August 1, 1981, to assist with the work.

The team thinks that development of the subcontracts has been delayed because Seattle retains authority to sign the subcontracts. Approximately 30 additional days are required to ensure that this step is taken. Delay could be avoided if a contract administrator were employed in-country and authority to sign the subcontract were delegated to someone in the BWO.

*In what other ways can the effectiveness of the subcontracting process be improved?*

The evaluation team knows of one instance when the subcontract was delayed, and, perhaps, jeopardized, because of some general provisions in the contract. An example is the section called "Rights in Data." (See Appendix G.) It may be possible for Battelle to develop, with the help of AID/W, an alternative approach to Paragraphs c and d in the General Provisions. One alternative would be to vest property rights to research papers in the host country. To accommodate the U.S. Government, and to acknowledge the receipt of financial assistance, the host country could authorize Battelle and the U.S. Government to share the papers with other interested persons and agencies throughout the world.

*Have PDP II staff been prompt in submitting to AID/W their trip requests, trip reports, and in-country strategies?*

### Trip Requests

The review covered 18 requests submitted between September 1980 and February 1981. The minimum lead time accorded to AID/W was 6 days; the maximum was 106 days. The average was 30.6 days. The average is consistent with the AID's usual practice. For one-third of the requests, 15 or fewer days of advance notice were given. This is insufficient time for the mission to concur.

### Trip Reports

The contract stipulates that seven copies of each trip report will be submitted to the CTO no later than 15 days after travel has been completed. The team reviewed 20 trip reports submitted between November 1980 and May 1981. Of the 20 reports, 3 were submitted on time. Depending on the assumptions that were made, the delays in submitting the other 17 reports ranged from 21.60 days to 39.20 days. For example:

| <u>Assumption</u>  | <u>Approximate Days Late</u> |
|--|------------------------------|
| Trip completed one day after end of trip period.                               | 39.20                        |
| Final travel day is last day before return to office.                          | 33.65                        |
| Number of days for preparation based on "working" rather than "calendar" days. | 21.60                        |

One report (Trip #210), prepared by Moses Ebot, was delayed 135 days. The document was lost in the mail.

In December 1981, the BWO provided information on six additional trip reports that were submitted between June and August 1981. One report was on time. The other five were late. The delay averaged 13.2 calendar days, or 5.8 working days. Improvement has been made since June 1981, and the team commends it. The evaluators recommend, nonetheless, that language in the contract be amended to require the submission of reports not more than 30 calendar days after the completion of travel.\*

### In-Country Strategies

It is stated in the contract that the due date for drafts of four (PDP I) country strategy reports will be September 23, 1980. The due date for strategies for other ("new") countries will be within 30 days of initial contact. In reviewing the country strategy reports, the team excluded Senegal and Togo, countries which were added late in the contract period. For the remaining eight countries, the final drafts of country

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\* An extension to 30 days was made in the revised contract for Battelle, which is being reviewed at this time.

strategy reports were between seven months and ten months late. The team considers this to be excessive delay, especially for PDP I countries where Battelle has worked for some time. Strategy reports for these countries were between nine months and twelve months late. The range in the number of months of delay is the result of an apparent internal inconsistency in the data made available to the evaluation team.

Battelle indicated in its official management report that final country strategy reports have been completed for six countries. All the reports are dated May 31, 1981. In contrast, a memorandum from the director of PDP II, dated August 18, 1981, indicated that the six reports were still in preparation and were to come due on October 1, 1981.

*Does Battelle have effective procedures to track project costs?*

At Battelle, PDP II is identified as Project No. P-14465. Standard methodologies are used to capture direct costs, including staff time, consultants, travel, toll calls, postage, xeroxing, etc. Costs that cannot be charged directly to PDP II (e.g., space, common supplies, leased equipment) are charged initially to "holding" accounts and subsequently direct-charged in proportion to staff time.

At the start of PDP II, Battelle/D.C. recognized the need to collect costs by country. The computerized financial program and the equipment in the Seattle office were not suitable for this purpose. For an alternative, the BWO devised a local form (see Appendix K) on which to record staff time by task and by country.

The BWO does track the costs of PDP II. It can track major costs (e.g., staff time, consultants, travel, costs of subcontracts) by country. However, if there are two or more contracts with different organizations in one country, Battelle can track the costs of the subcontract, but not the total in-country costs for each separate contract. Such details are rarely needed; total in-country costs should be, and usually are, sufficient for AID/W's purposes.

### 3. Recommendations

(13) Battelle should consider the merits of using the standard format for subcontracts that is acceptable to Battelle's legal office and to the Contracts Office at AID/W; employing a program specialist to develop the technical work plan and deliverables and a business representative to finalize the subcontract and supporting documentation at the overseas site; and delegating to the director of the BWO the authority to sign subcontracts.

(14) Subcontracts for research should stipulate that the host countries have the right to distribute and disseminate all research findings. If copyright or ownership must by law be vested in the U.S. Government, the U.S. Government should provide for automatic authorization for the appropriate dissemination of all research findings.

(15) The contract should be amended to require the submission of trip reports not more than 30 calendar days after the staff have returned to the Washington office.

## G. Future Directions

### 1. Commentary

The team strongly endorses the concept and design of the PDP II core project. Specifically, it supports the efforts to understand the policy implications of research in population and to bring researchers and policymakers together in conferences and workshops to discuss their work. There is a sufficient body of research on population issues, and a good mix of respected social scientists and policymakers is available and willing to attend a conference. Thus, a project such as PDP II can be effective in developing an awareness of population and development issues and lead to the application of research findings. The dissemination activities envisioned in PDP II are important and should be tried.

One cannot predict how successful this kind of approach may be. The transition from research to policy is highly complex and requires considerable skill and sensitivity. To date, experience with core activities has been minimal; thus, outcomes cannot be evaluated. Without such information, it is difficult to build upon the project and recommend activities for the future.

### 2. Scope of Work

The team feels that it is too early to address the following questions (numbers 6.1, 6.2, and 6.3) about the scope of work:

- When the core projects end, what can be done to expedite the policy findings that are being fed back into population programs?
- Is there a need for sub-national work in policy development?
- What are the demographic and socioeconomic characteristics of countries that are most appropriate for future core-project-type activities?

3. Recommendations

The answers to the first two questions will undoubtedly vary by country. No judgments can be made at this time. To answer the last question, much more information than is available at this time is needed.

Part Two

TRIP REPORTS

## **I. THE BATTELLE PROJECT IN BRAZIL**

## II. SUMMARY OF RECOMMENDATIONS

## I. THE BATTELLE PROJECT IN BRAZIL

Harriet B. Presser  
July 1981

### Introduction and Background

The PDP II project in Brazil is in the early planning stage. Battelle staff have made two preliminary visits to the country to meet with people who may be interested in submitting proposals for the core project and other population activities. Brazilians have visited Battelle's office in Washington, D.C., to explore possibilities for funding. Specific proposals, however, have not been written. For this reason, it is especially difficult (and perhaps premature) to evaluate the project at this time. Nonetheless, the occasion does provide the opportunity to observe and assess how Battelle approaches a country where it has had little previous experience.

Under the PDP I contract, Battelle's activity in Brazil was limited to partial support for a national meeting of the Brazilian Association of Population Studies (ABEP), which was held in São Paulo on October 13-17, 1980. The ABEP is an interdisciplinary organization. Formed in 1977, it has approximately 250 members from Brazil and other nations. (There are between 80 and 100 demographers in Brazil.) Persons from all the major governmental and research institutions in Brazil, including the Brazilian Center for Analysis and Planning (CEBRAP), the Foundation for the Analysis of Data in the State of São Paulo (SEADE); and the Center for Regional Development and Planning (CEDEPLAR), were represented at the conference in October. Also attending were representatives of the universities of Brasilia and Rio de Janeiro. Under PDP I, Battelle contributed \$12,080 to fund the conference. The allocation covered support for a round table on population policy and selected participants in two methodological sessions. In addition, the project picked up some of the costs for the final publication of the document on the conference that was distributed to 1,000 researchers and policymakers.

The ABEP does not receive support from PDP II. The Association's request for funds from Battelle for a conference in August 1981 on family types and fertility in LDCs was not approved, primarily because a preponderance of North Americans and Europeans was proposed as participants. Sam Taylor, the social development attaché in the USAID's mission in Brazil, has made it known that he is highly dissatisfied with the organization because, it is reported, some of the members are opposed to family planning. A staff member of the externally-funded Brazilian Society for Family Welfare (BEMFAM),\* the family planning association of Brazil,

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\* Funding comes from the International Planned Parenthood Federation (IPPF).

believes that some of the leaders of the ABEP do not support family planning. (This person belongs to the ABEP.) Elza Berquo, executive secretary of the ABEP and the principal investigator for the PDP I contract, feels that this view of the ABEP is unfounded. According to Dr. Berquo, there is open discussion of all views at ABEP conferences, but the membership is generally supportive of--and does research on--family planning. Some members, however, are critical of birth control programs that are not intended to be integrated either with other health programs or with social programs to improve people's economic status. These persons place BEMFAM in this category.

There appears to be considerable friction between family planning activists and the social science research community in Brazil. Because of this disagreement, the PDP II program in Brazil may emerge as more of an advocacy than a research effort.

The AID's social development attaché is strongly committed to BEMFAM. The person who monitors Battelle's project in Brazil was once employed by the association. Although she is highly committed to her work in population and spent 13 months in Brazil when she worked for BEMFAM, she has had no technical training in demography and has little research experience. Her potential to generate new contacts in the research field and to monitor technical projects is, accordingly, limited.

Battelle gave to the team a list of people to contact in Brazil. Few on the list are social scientists. In addition to BEMFAM staff and a physician who is a consultant to the Ministry of Social Welfare (and also a member of the Board of BEMFAM), there are only two social scientists: an economist, who is a dean at the prestigious Vargas Institute (Funcacao Getulio Vargas; FGV), and a demographer, who works at the Brazilian Institute of Geography and Statistics (IBGE), the country's census bureau. The two social scientists were unavailable for interviews in Rio. (The former was out of the country, but subsequently was interviewed in Washington. The latter was judging a beauty contest, and AID/Brazil could not arrange a confirmed appointment during the team's anticipated three-day visit.) The attaché's view was that other social scientists could not be substituted for these two persons. This and the fact that Battelle's list was short suggest that the Institute's and the AID mission's contacts with social scientists are limited. The ABEP's contacts were not initially on the list provided by Battelle, but they were added at the request of a member of the evaluation team.

### The PDP II Core Project

Battelle does not typically begin with an explicit written strategy for each country that describes in detail the institutional infrastructure, the political climate, the status of current research in population, and relevant population policy issues. All this information would be useful

in developing a rationale for the core project.\* (It has been included only in the strategy for Sudan.) It seems that the approach is to rely on informal networks--contacts made earlier, and contacts with AID intermediaries who are working in the country and can provide assistance (staff from the RAPID project and from Research Triangle Institute (RTI)). From this pool, a likely candidate emerges who can develop, with Battelle, the core project. This is how the process appears to be proceeding in Brazil. Battelle staff have met several times with Manuel Costa, the director of the Special Projects Division at the IBGE, to discuss the development of a core project. Costa, a demographer, was trained at the London School of Economics (LSE) and is a founding member of the ABEP. He maintains good relations with BEMFAM and is an adviser to the Parliamentarians Group for Population and Development Studies (GPEPD), which was formed in May 1981. In their trip report, dated May 11-18, 1981, Gilley and Micklin describe the Parliamentarians Group:

The group is composed of federal and state congressmen and municipal councilmen representing various political parties who have signed a resolution to disseminate scientific studies on population and development, to participate in seminars and meetings to discuss population and development issues, and to promote the development of family planning programs through lobbying efforts and legislative projects . . . . BEMFAM, an IPPF affiliate, has been designated as technical adviser for family planning issues. The proposed work plan expects membership to include 100 federal congressmen and 15 senators, and 80 state congressmen representing 10 states, by the end of 1981, when the first national meeting will be held (p. 2).

Costa would like to form a new association that would concentrate on population and policy development. As Costa envisions it, the organization would provide support for research on policy-relevant topics of concern to the parliamentarians. Costa does not regard this group as competition for the ABEP, because it would be more broadly based than the ABEP (the membership would include politicians, family planners, and researchers) and would be primarily concerned with population policy. The new association would hold seminars and issue publications, including a journal for a general audience. It would be the institutional base for Battelle's core project. (Initially, the proposed core project was to be based at the Funcacao Getulio Vargas, where Costa is a professor (and an employee of the IBGE). Costa now feels that operating as a part of Vargas would be too limiting, that the new association would always need the

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\* Since this evaluation began, Micklin has asked the staff to develop country strategies. (This was one of the recommendations in the report on the PDP I evaluation and was incorporated into the PDP II contract.)

Institute's approval and that it could not employ researchers from the outside on the project.)

The core project, as it is envisioned by Costa, would consist of studies on trends in education and population, sanitation and population, population development and mortality, and population and income distribution. (Staff at BEMFAM feel that this last issue is too sensitive to discuss in such a forum, but Costa feels that it is too important to exclude.) It has not been determined who would do the research. Costa has proposed that the new association publish a demographic atlas that is based on new census data. The atlas would contain more graphs than tables, and it would be written simply. The prospective audience would be policymakers.

Lacking an explicit strategy, the team found it difficult to evaluate the core project. Because a review of research on Brazil's population was not available and because there was no discussion of policy concerns, the team could not determine whether the proposed research topics were the most relevant. Also, an assessment could not be made because the researchers who would be involved have not been identified. It is impossible to anticipate what the quality of the work will be. The team could not conclude that Costa is the best person to coordinate the core project because it was able to interview few people and was unable to investigate thoroughly the possibilities of using other institutions. The team was unable to get an appointment with Mario Henrique Simonsen, the director of the Graduate School of Economics at the FGV and a highly distinguished economist. Thus, this institutional possibility also could not be assessed. Earlier, Battelle had talked with Simonsen, who was to have contacted some of his students about participating in a core-project activity. Appointments to meet these persons were not arranged. This suggests that Battelle and AID have few contacts in Brazil's research community.

The principal centers of population research in Brazil (and their many projects) were listed in a recent issue of the ABEP Bulletin (April and June 1981). They are:

- Brazilian Center for Analysis and Planning (CEBRAP);
- Center for Regional Development and Planning (CEDEPLAR);
- Center for Human Resources, Federal University of Bahia (CHR);
- Department of Population Studies (DESPO), IBGE;
- Foundation of Information for the Development of Pernambuco (FIDEPE);

- Special Group for Demographic Analysis (GEADE); and
- Program for Studies in Demography and Urbanization (PRODEUR).

Battelle staff are positive about Costa and the social development attaché. Harriet Presser interviewed Costa in Washington. Apparently, Costa himself is vague about the core project but enthusiastic about the new organization that he would like to form. Costa was asked whether the anticipated benefit of flexibility of a new organization would be offset by a loss of credibility, and indeed of respectability, which would attach to a core project based at an established institution such as Vargas. Costa replied that he does not anticipate such problems.

Costa was available at Battelle for only a few hours; he was on his way back to Rio after a visit to New York. It is questionable that staff can have much input when visits to Washington are so brief and more time is not spent in the country. The entire project is to be completed early in 1983. Given the situation at this time, this would appear to be an unrealistic target.

#### Other Opportunities

The team asked others who were interviewed what they would suggest as activities that Battelle could undertake in the future. Staff at BEMFAM would like to secure Battelle's support for seminars and workshops (co-sponsored with local institutions) at which the results of the Contraceptive Prevalence Survey (CPS) could be presented and the implications for BEMFAM activities could be discussed. These kinds of seminars, they feel, would give them the scientific status they lack. BEMFAM does not do social science research, and it does not feel that it would be appropriate to focus on population and development issues. An occasional workshop on these issues would, however, be possible.

There is a newly formed group of parliamentarians in Brazil. Battelle has been in contact with some of the leaders of this group and has talked with Senator Eunice Micheles about Battelle's core project. As stated in the trip report, the Senator agreed to act as a political commentator for a proposed symposium on the core project.\* Sam Taylor, the social development attaché, envisions a major role for Battelle: assisting BEMFAM with research and providing written support for the Parliamentarians Group. The evaluators disagreed that provision of the proposed

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\* Cynthia Gilley was a translator and guide for Senator Micheles when the Senator visited Washington.

assistance to BEMFAM would constitute proper application of Battelle's mandate to make social science research policy-relevant. They also did not agree that the USAID should be promoting advocacy rather than working with the social science institutions.

Roberto Alcantaro, a physician on the Board of BEMFAM and adviser to the Secretariat of Social Assistance, Ministry of Social Welfare, is involved with programs and does not do research. He feels, however, that research aids his work. He would like to see more research on abandoned children in Brazil. It is estimated that there are two million such children in the country.

Elza Berquo, a demographer at the Brazilian Center for Analysis and Planning and an officer of the ABEP, indicated that the ABEP could use Battelle's funds to conduct seminars and workshops on population and to publish and disseminate the papers presented at those conferences. She thinks that criticism of the ABEP's seminars is just. They are, she indicated, too academic and should be more open to planners. The ABEP plans to include more planners as participants. Funds from Battelle for research are not needed, Dr. Berquo said, because the ABEP receives money from the Ford Foundation, the Rockefeller Foundation, and a variety of Brazilian institutions (e.g., the Financiadora de Estudos e Projetos (FINEP), the Ministry of Planning, and the National Council of Pesfuita (CNP), which is the most important research council in Brazil). Dr. Berquo is concerned about the AID's restrictions on the kind of population research that can be funded. It is because of these restrictions that the ABEP will not request research funds from Battelle.

## Conclusions

It appears that many researchers and several institutions are involved in population activities throughout Brazil, but none of the institutes is being seriously considered for the core project. It seems that the direction of the PDP II project is being influenced by family planning people at BEMFAM with whom earlier contacts were established and by the social development attaché who is opposed to supporting organizations that employ social scientists who are critical of BEMFAM's activities. (The attaché's approval is required to implement the project.) Organizations other than BEMFAM (which does not do social science research) do not appear to be acceptable. To find an institutional base for the core project, Battelle may have to turn to a new organization. This may or may not be a solution, because the quality of the research of an unknown organization would be questionable. This raises a major issue which, the team feels, needs to be addressed: Should Battelle give its funds to family planning activists to strengthen their advocacy positions or to other more established--and less activist--institutions that do social science research? Whichever way Battelle chooses to go (and the team

differs in its opinions about this subject), a clear rationale needs to be developed and fully described. A strategy paper is needed that identifies the institutional alternatives and describes the complex politics of Brazil. (The country has no official population policy.) The Battelle project is progressing slowly in Brazil, perhaps because there is no clear strategy. It is doubtful that the project will be completed by early 1983.

## II. THE BATTELLE PROJECT IN HONDURAS

## II. THE BATTELLE PROJECT IN HONDURAS

Harriet B. Presser  
July 1981

### Background: The PDP I Project

The PDP I project in Honduras is nearing completion after considerable delay. No PDP II project is planned for the country. The evaluation team was asked to assess the PDP I project and to consider it in relation to the RAPID project which contracted to The Future's Group.

Under the PDP I project, the Central Regional Center for Population (CCRP), in Bogotá, Colombia, provides technical assistance to the National Planning Council (CONSUPLANE) of the Government of Honduras to develop and implement a national planning model called SERES.\* This model factors population dynamics into development plans. Developed in Colombia, it is being applied to Honduran data. Its use is an example of technical cooperation among developing countries.

The PDP I project began in 1978 in the Statistics Department of CONSUPLANE; apparently, it was completed at the end of 1979. It was limited to the health and educational sectors. Changes in leadership at the CCRP and changes in staff at CONSUPLANE caused delays. Supplemental proposals to continue the development and application of the model were submitted to both the CCRP and CONSUPLANE in 1979 and 1980. Other activities were described, including presentations and a national seminar. A deadline of July 31, 1981 (after which PDP I funds would no longer be available) was specified. Approval of the contract with CONSUPLANE was long delayed, primarily because of problems within Battelle and at AID/W, specifically, in the Latin America Bureau. Pressure has increased to complete the work on time because the deadline could not be extended.

### Current and Proposed Activity

Under the current contract, the SERES model is to be used to assess the impact of public expenditure programs on the economic and social development of Honduras and the impact of demographic growth on the demand for social services. (See Exhibit C.)

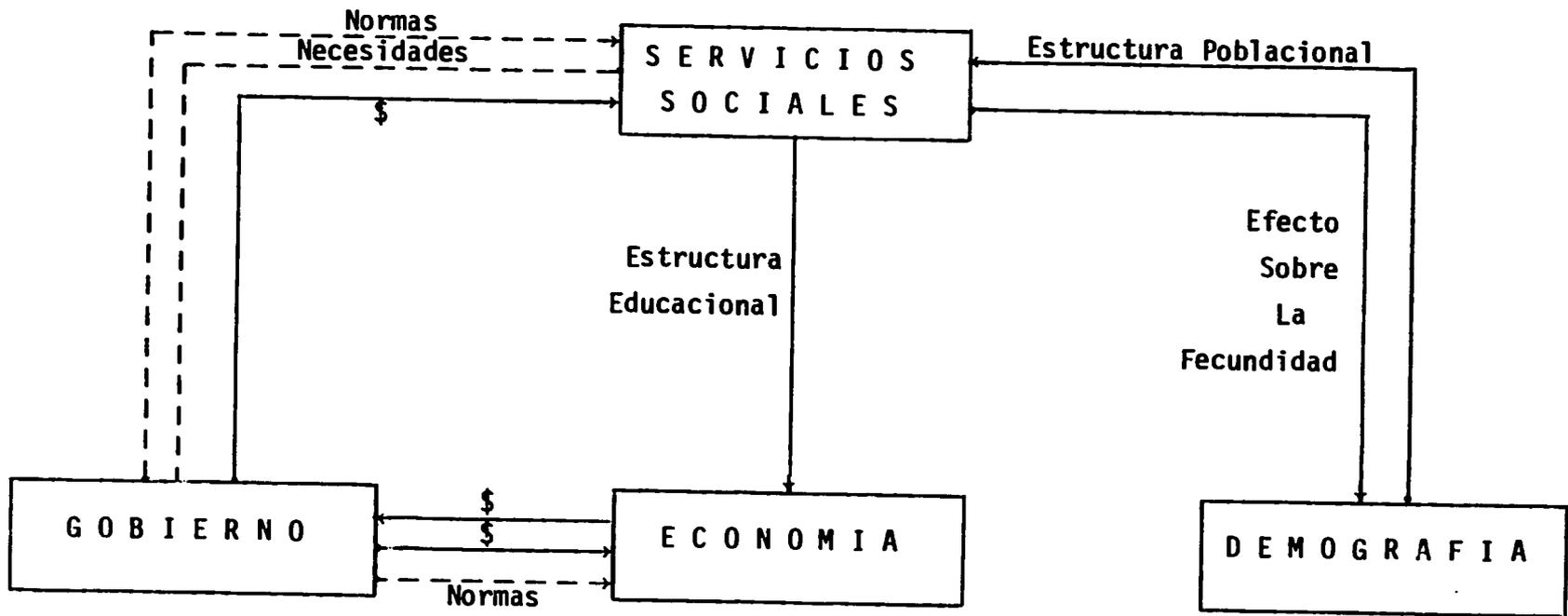
Those with a knowledge of the sources of demographic data in Honduras agree that the data are poor. The UNFPA's expert adviser on population,

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\* System for the Study of Social Relations, Economics, and Demographics.

Exhibit C

INTERRELACIONES BASICAS DEL MODELO DEMO-ECONOMICO Y SOCIAL DE HONDURAS



who created the Population Unit in the Statistical Department at CONSUPLANE, played an early role in determining the population parameters for the model. She acknowledges that after 1974 (the year of the last census), one simply has to guess about the data. Luz Estela Sarmiento, director of the Statistics Department and the person to whom the project was contracted, also pointed out this problem. The technical complexity of the model, the lack of descriptive materials, or output, and the absence of the staff who are working on the project (they were in Bogotá working with the CCRP) made it difficult for the team to review the technical aspects of the model. The evaluators had to rely on a translator because they could not speak Spanish. The language barrier also prevented them from learning more about the program.

Since the departure of Ramon Daubon, the first person to monitor the Battelle project, Battelle has done no technical monitoring. This is done solely by the CCRP. Non-technical project monitoring has been done by Battelle, although little time has been spent in Honduras.

There is little demographic expertise in Honduras. The population Unit, which employs several demographers who were trained by the UNFPA's expert adviser, is physically isolated from the Statistical Unit to which it belongs, and it has not been working on the SERES model (although, initially, there was some input from the expert adviser). Both Mrs. Sarmiento and the personnel at the mission with whom the team spoke were very positive about the CCRP as a source of technical assistance.

To date, there have been few opportunities to demonstrate the usefulness of the model in policymaking or budgeting. The National Development Plans for 1979-1983 were written in 1978; the model did not become operational until 1979. The location of the model in the Statistics Department of CONSUPLANE would, one would think, ensure that it is used to the fullest in development planning. However, the Statistics Department is primarily a resource for other departments that aid specific sectors (e.g., health and education), and it does not make a direct input into planning. Moreover, although CONSUPLANE was intended to be a super-ministry and could be powerful, it is weak. (The Finance Ministry, in fact, has the greatest power.)

CONSUPLANE has had little influence since the military government was installed, and activities were at a standstill in the transitional period that preceded the November 1981 election. The role of CONSUPLANE depends on the person who heads the Ministry of Planning. It is the opinion of some staff in the mission in Tegucigalpa that the interim period was an ideal time to work on alternative development strategies to prepare for the new government. But nothing was done. One person at the AID feels that it was unrealistic to believe that data would be used for national planning after the election. In this person's view, Congress would be politically responsible to a pluralistic government and the Planning Council would be weakened further.

The Statistics Department plans to make several informed presentations of the CONSUPLANE model in the short time remaining to the project (it ends in July 1981). These presentations are called for in the agreement. Priority will be given to the national seminar that has been planned for July. Central government planners are expected to attend this conference.

In addition to demonstrating the model, the Statistics Department has an advisory role. Mrs. Sarmiento explained that the model is designed so that the ministries can do the simulations themselves. The technical staff at CONSUPLANE are to advise the technical people in the other ministries. Additional resources will be required to ensure that this is done.

There is some uncertainty about the use of the model for development planning following elections, but personnel at both AID/Tegucigalpa and CONSUPLANE agree that the model can be of great use because its foci are the Honduran national budget and the costs to deliver social services to a rapidly growing population. John Kelley, chief of the Urban Development Division and assistant director of the Office of Human Resources, AID/Tegucigalpa, feels that the model would be more useful if it were interactive. He thinks that there is in Honduras the program capability for this. The presentations, he feels, would be more effective if they were done on computer recording terminals (CRTs). He does not favor explaining the model and then showing the tabulations from the computer center. He also thinks that the SERES model has more credibility than the RAPID model for planners. How effective it is depends on how well CONSUPLANE uses it and presents it to other ministries. There have been no formal presentations of the model; thus, its impact cannot be determined.

### Promotion of RAPID and SERES

Should the two models be promoted in Honduras? Although both RAPID and SERES are expected to increase awareness of population issues, they are not competitive. The SERES model does more than build awareness; it is more analytic than RAPID, and thus more useful for detailed planning. RAPID, in contrast, presents gross relationships based on simple assumptions to demonstrate that rapid population growth may be detrimental to economic development. Although the audiences for both models may overlap, planners would not, it would seem, be interested in using RAPID to project, for example, budget expenditures for different government sectors. Interestingly, the RAPID model, which is based in a private family planning association (which receives all of its money from sources outside Honduras), does not use family planning data in the presentation. The SERES model, housed in a statistical agency of the government, does have a family planning subroutine.

Should Battelle continue to support the SERES model? The SERES model was supported by PDP I. Battelle is not at this time contributing technical assistance to develop the model, and there may be little need for such assistance in the future (especially because Honduras is not likely to become a core country under this project). Thus, the need for an intermediary such as Battelle rather than direct bilateral assistance for SERES is not evident. There is great need in Honduras for trained demographers, and the country needs also to develop a population curriculum at the university, but these activities fall outside Battelle's current program strategy. The lack of demographers, the poor quality of demographic data, and the limited amount of research on population issues make a PDP II-type project inappropriate.

### III. THE BATTELLE PROJECT IN PERU

### III. THE BATTELLE PROJECT IN PERU

Harriet B. Presser  
July 1981

#### Introduction

Several institutions in Peru received support from Battelle under the PDP I program, and some are being considered for support under the current PDP II program. At this time, only one institution is being supported by PDP II funds. This assessment of PDP II projects in Peru is, therefore, an evaluation of anticipated, and not actual, performance. To complete the assignment, the team examined the changing political context for population programs in Peru, the institutions that are seeking funds from Battelle, and the role of Battelle as an intermediary for the AID. The evaluation is based on three days of interviews in Lima (June 22-24, 1981) with members of the various institutions (sometimes a translator was needed), staff of the AID mission in Lima, and others (see Appendix A). For those organizations that received PDP I funds, the team also considered past performance.

#### The Political Context

There is a consensus among those with whom the team spoke that with the change in 1980, from military rule to democratic government, attitudes toward population control also changed. The tendency now is toward increased acceptance of population programs, including family planning. This new position is evident in a proposal from the Peruvian government to the AID for a national primary health program, valued at more than \$10 million, that would include the delivery of family planning services. In proposing this program, the government has, it seems, reversed the pronatalist policy of its predecessor.

The creation, in November 1980, of the National Council of Population, which will include representatives of all the ministries, as well as the private sector and the universities, also is representative of changed policies. The Council has not yet met, because all the members have not been appointed. Nor have all the staff for the Council been hired. It is not clear what the delay means. It may be that the government does not see the urgency in establishing a functioning council. One person at the mission in Lima remarked that the problem is not a lack of population policy in Peru (the government approved a policy in 1976), but a lack of effort to implement policy.

Persons who were interviewed feel that despite the optimism about population programs, the Catholic Church and extreme rightists remain strongly opposed to family planning. There is some opposition from leftists, particularly in the universities, but this is not considered to be a significant political deterrent.

With the transition from a military to a democratic government, the positions of the various ministries changed and the National Institute of Statistics was shifted from the Ministry of Planning to a separate autonomous organization that deals directly with the Ministry of Economics and Finance. The result of this change has been increased power for the INE, which conducts many population activities and has received funding from Battelle. (The INE was in the Ministry of Planning, which lost power after the election. The Ministry of Economics and Finance is said to have gained power since the new administration was installed.) The Ministry of Health is reported to have become more positive about population issues.

### Institutions Seeking Battelle's Support

The PDP I project played an important role in facilitating the development of an institutional infrastructure for the study of population issues in the private sector and in the universities. This infrastructure was being developed in the mid-1970s, before Battelle became involved. The number of trained demographers in the universities and in government had been increasing (approximately 12). In 1976, the government approved a document on population policy, Lineamientos de Política de Población en el Peru, which called for the integration of population concerns into development planning and recognized the need to include family planning in maternal and child health programs. One of the persons who worked with the Peruvian commission that coordinated the drafting and approval of population policy was Ramon Daubon. An economist, who, at the time, was working for GE-TEMPO and was a member of the Catholic University of Lima, Daubon was closely associated with a group of Peruvian university professors who founded the population organization, AMIDEP. AMIDEP initially was supported by GE-TEMPO; later, it received funds from the Ford Foundation and Battelle, which became its primary source of support. Battelle's support of AMIDEP and other institutions was tied to Daubon's position on its staff. In fact, its involvement with Peruvian institutions was primarily a consequence of earlier contacts--a recruitment strategy that has had significant payoff. Subcontracts for original research and seminars were negotiated with both private and public institutions under PDP I.

Under PDP II, the focus has been shifted from funding of original research to support for the review and integration of research on population and development, with the emphasis on the policy-relevance of the

findings. Findings are disseminated through seminars and conferences. Many of the institutions which Battelle supported under PDP I are being considered for funding under PDP II. Ramon Daubon is no longer at Battelle. Melody Trott, then, later, Harry Cross, assumed the position of project monitor.

A. Multidisciplinary Association for Research and Training  
in Population (AMIDEP)

AMIDEP is a private, nonprofit organization. It was founded in 1977 by nine university professors in Lima and from the regions. Its objective is to promote research and training in population in Peru and throughout the Andes. An interdisciplinary group, it numbers among its members both physicians and social scientists. Since 1977, the membership has increased to approximately 30. Most of the members are academics drawn from Lima and the provincial universities.

During PDP I, AMIDEP received funds to publish a bimonthly newsletter on population issues, Boletin AMIDEP; to conduct seminars and conferences on population; and to be a "broker" for research projects in population. Under PDP II, it receives support to:

- Publish six issues in the 1981 series of Boletin AMIDEP, a widely distributed newsletter on national and international population issues;
- Conduct a regional conference on population problems in northern Peru;
- Conduct periodic conferences and forums on population issues of national interest; and
- Review critically the Peruvian research on the biomedical aspects of population. (This work complements the earlier review of social and demographic research in the country.)\*

Only one product has been produced under PDP II: the newsletter. The issues for February and April 1981 have been published, and are of high quality. The April issue contains a list of graduate theses in population that have been completed (approximately 10 percent of all graduate theses in the social sciences address population). At a later date, biomedical research in population will be reviewed and undoubtedly

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\* Extracted from a summary of the proposed project.

will be disseminated through the newsletter, which reaches approximately 2,000 people (both politicians and researchers). AID/Lima speaks highly of the newsletter and says that it plays an important role in keeping population issues at the forefront.

Members of AMIDEP are in key positions in the new government. Dr. Carlos Munoz, who heads the National Council of Population, is a member of the Association. (He also teaches at the university and has a private practice.) The president of AMIDEP, Dr. Roger Guerra, represents the universities on the Council. He has taken leave of the university to head the Council on Science and Technology. Guerra noted that at the National Conference on Population, which AMIDEP sponsored in June 1970, leftist papers on population were presented and the published proceedings were heralded by a leading leftist newspaper as one of the best publications of the year. It appears that AMIDEP's focus on population and development issues has been sufficiently broad and sensitive to social problems to gain the support of both the intellectuals and planners.

Guerra is highly optimistic about AMIDEP's future. Two weeks ago, the Association signed its first contract with the Ministry of Health to do research on lactation in Lima and Puno. (There appears to be considerable interest in a preliminary finding that the majority of Peruvian women who lactate menstruate within two months of delivery.) The research will be conducted by Peruvian researchers in the two cities. AMIDEP's role is that of broker. Guerra considers this contract to be significant, because it is the first that AMIDEP has had with the Ministry of Health (it is not supported by Battelle).

No conferences or seminars under PDP II have been conducted, but a five-day seminar in Cuzco on population problems is planned for July 1981. It is expected that approximately 40 professors from different departments at Cuzco's local university will attend. The presenters will be three Lima professors and seven professors from Cuzco. On August 12, 1981, a full day of lectures on child health and mortality will be sponsored by AMIDEP. Two professors from Cornell University will speak. Regional meetings are also planned to discuss population problems in northern Peru, a highly populated area. Guerra discussed with the team the regional meetings that are planned to follow the termination of the PDP II contract and a repeat of the 1979 national population conference that will be held in 1983. He is optimistic about getting increased funding from Battelle over the next several years. The team thinks that there may be a misunderstanding about the source of funds. The mission plans to phase out Battelle's support and give the Association \$100,000 in bilateral funds which would constitute direct support from the AID.

B. Andean Institute for Studies in Population and Development  
(INANDEP)

The Andean Institute for Studies in Population and Development (INANDEP) is a private, nonprofit organization. Founded in 1980, it is an outgrowth of AMIDEP. It gives more attention than AMIDEP to research on population and development and less to public relations. Moreover, it requires that all its members be actively engaged in a relevant research project. The total membership is 12; persons from the universities and government staff belong to the organization. Research projects are channeled through the INANDEP and cover part of the researcher's salary; no member is employed full-time. The director of research is Carlos Aramburu, an economic demographer, a member of the Board of AMIDEP, a member of the Peruvian Association for the Development of the Social Sciences, and a faculty member at Catholic University in Lima. The team was impressed by Aramburu's enthusiasm and intellect. He was trained at LSE and seems to be highly committed to demography.

INANDEP has been supported by the Ford Foundation for two years (the grant will terminate in October 1982). The organization also has received funds from the UNFPA and the AID, and it is developing research proposals which it intends to submit to the International Development Research Center (IDRC), the PISPAL, the FOMCIENCIAS, and AMIDEP. Most of the Institute's research has been on migration (generally, most population research in Peru is on this topic), but an increase in fertility studies is anticipated because of the new data from the Peruvian Fertility Survey (PFS; part of the World Fertility Survey), the Contraceptive Prevalence Survey, and the 1981 Census. (It is interesting that the INANDEP has had difficulty gaining access to the results of the Peruvian National Fertility Survey (PNFS). It must channel its requests through the WFS in London because it cannot get the data directly from the INE, which did the survey.)

The INANDEP submitted a proposal to Battelle to do the core PDP II project in Peru. The team was given a copy of the proposal. One overview and four specific research-review papers are proposed (see Exhibit D). The topics are broad, and, given the outlines, the team believes that the papers will be comprehensive. It is difficult to determine how competent the writers are from their resumes. The team met only with Aramburu. Two of the proposed authors are sociologists, one is an economist, and one is a physician. Not all the commentators have been identified, and the team had no basis to judge persons who are listed. The diversity of the affiliations of the authors and commentators is commendable, and it is hoped that an active dialogue will take place when the papers are presented at a symposium.

The symposium will be attended by people from the different ministries and local planning offices. It is planned to publish the papers and the

Exhibit D

PDP CORE PROJECT: RESEARCH REVIEW PAPERS

| <u>Title</u>  | <u>Author</u>  | <u>Commentator</u>  |
|---|--|---|
| Recent Demographic Trends in Peru: Economic and Social Consequences | Lic. Carlos E. Aramburu, Demographer; Research Director, INANDEP                               | M.A. Belicia Ferrando, Demographer, National Statistical Institute                    |
| Migration, Urbanization, and Housing Problems in Peru               | M.A. Carlos Wendorff, Sociologist; Lecturer, Catholic University                               | Planning Office, Ministry of Housing  |
| Evolution of the Labor Force. Employment, and Labor Markets in Peru | Lic. Jose Gonzalez Vigil, Economist; Research Specialist, National Planning Institute          | Ph.D. Adolfo Figueroa, Economist; Director, Economics Department, Catholic University |
| Education and Population in Peru                                    | Lic. Bermán Fernandez, Sociologist, National Institute of Research and Educational Development | Statistical Office, Ministry of Health  |
| Health, Nutrition, and Population in Peru                           | Dr. Pedro Britto (Medicine), Lecturer, Cayetano Heredia University                             | General Directorate of Child-Maternal Health and Population, Ministry of Health       |

debate in a book. Also, five short (five to six pages) policy briefs on each theme will be written that are easy to read and attractively presented. Wide distribution extending to the provinces is planned. No follow-up, other than the dissemination of the findings, will be done, although Aramburu said he thought a variety of seminars might be possible.

Apparently, Battelle has contributed little to the preparation of the proposal. Aramburu reported that the Battelle project officer spent "a few afternoons" with him, reading, commenting, and suggesting revisions. Aramburu indicated that this was sufficient, but if the project is funded, he said more time from Battelle would be desirable ("at least one visit every three months"), mainly to share the experiences of other PDP countries. Aramburu does not feel that other technical input from Battelle will be needed. This would suggest that Aramburu is a competent demographer and that there is a critical mass of trained demographers in Peru.

Aramburu's views about the new PDP II approach of synthesizing research and stressing policy implications are positive. Aramburu indicated that there is much institutional isolation, as well as competition, especially between the government and university researchers, and that many government data are underutilized. Asked whether Battelle's new focus on research reviews would affect policy, Aramburu candidly replied that the government still does not have the political will to resolve Peru's population problems.

### C. Institute of Peruvian Studies (IEP)

The Institute of Peruvian Studies (IEP) is a private organization, well-established, and highly regarded as a major research center in Peru. It is headed by Jose Matos Mar, a distinguished anthropologist, who received funds under PDP I to study the effects of the structural socioeconomic changes associated with Peru's agrarian reforms on family structure and fertility. The team who did the mid-course evaluation of PDP I two years ago felt that if this project were funded, population as a research topic in Peru would be legitimized because of the investigator and institution involved.

There were serious, unanticipated political problems in conducting the field work (see Battelle's trip reports), and the resulting study was limited to one region. Few demographic data seem to have been collected. The data are being analyzed at this time by Alicia Unger, a demographer, who is working part-time on the project (and also part-time for the AID). Ms. Unger is writing the section on demography that will be in the final report. The team did not see any of the final report (some chapters were reported to have been completed and are being typed), and thus could not evaluate the product. According to Matos Mar, the major finding from the study is that there is much more communication between the city and the

rural area than was thought, which has increased the Andean presence in the daily life of the city and helped to urbanize (culturally) the rural area. Matos Mar is completing an article, entitled "The New Face of Peru," for the supplement of the Sunday paper. Although his article is based on the study, the study itself is not mentioned. Matos Mar's interest is in migration rather than fertility, and the team was unable to learn much about the findings on fertility. Matos Mar would like to do four or five more case studies in other very different regions in Peru. These studies, he feels, would be helpful in developing a migration policy. Apparently, Matos Mar plans to request funds from Battelle to do the studies. (Provision of this kind of support would not be in line with Battelle's new approach to fund research reviews.)

Matos Mar is requesting money from PDP II for a seminar to present and discuss the results of his first case study. (The team did not receive a copy of his proposal.) The seminar would include persons who worked on the project, other social scientists and demographers, and government officials. Given Matos Mar's presentation of the study to the team, such a seminar might be highly stimulating for social scientists and particularly for anthropologists; however, the demographic aspects of the study would not be the principal focus. This limitation might be offset by the anticipated benefit of supporting the dissemination of population-relevant research on the cultural aspects of migration that has been conducted by a distinguished social scientist in a prestigious institution. It would be necessary to see the final report to make this determination.

#### D. National Institute of Statistics (INE)

The INE is a separate government agency, equivalent in rank to a ministry, that has a potentially important role in formulating government policy on population. The highly competent and politically astute Dra. Graciela de Valdez, who also is a member of the National Council on Population, directs the INE. The Institute conducts censuses and special surveys (including the Peruvian Fertility Survey) and is responsible for the Vital Statistics Improvement (VISTIM) project.

Under PDP I, the INE received funds to conduct a series of intensive, month-long seminars on population and development planning for mid-level government officials in various provincial cities. Dra. Valdez indicated that, as a consequence of these seminars, the Institute has been asked to do another seminar on population in the north. Private agencies and decentralized government institutions have indicated a desire to participate, as have central government agencies. Specific requests have been made to discuss the population and economic issues of the regions, including the Gross National Product (GNP).

There is interest in expanding the Westinghouse contraceptive prevalence survey (CPS) to the regional level. (This is being done for Lima and specific regions.) Dra. Valdez indicated that regional departments are extremely interested in the population issue, even though they avoid discussions about family planning, which is a sensitive issue. (Dra. Valdez feels that the general population is more responsive now to family planning than it was several years ago. The poor, she noted, are getting poorer, and "hunger has changed their minds.")

The INF is requesting funds from PDP II for the two conferences: "Multisectorial Coordination Seminar for Improvement of Economic, Social and Demographic Statistics at the Regional and National Level" and "Elaboration of the Peruvian National Fertility Survey for 1977-78." Dr. Eduardo Mastajo, who would direct these Battelle projects, was working on the census elsewhere and could not be interviewed, so the team turned to Dra. Valdez to obtain information on these projects. Dra. Valdez is not thoroughly familiar with the projects, and this, in addition to the language barrier (an interpreter had to be used), made discussion difficult. It was not clear whether the proposed multisectorial seminar is the same seminar that Dra. Valdez had described earlier. The seminar which is described in the proposal summary would last six days and would "introduce population and development concepts to newly appointed officials and . . . assist in standardizing the national collection of economic, social, and demographic statistics employed in development planning and policy." Dra. Valdez noted that this seminar would differ from past seminars in that it would attempt to do more than generate awareness and stimulate the development of policies. RAPID would be used and available regional and national data would be included.

The proposal for the Peruvian National Fertility Survey calls for a Spanish version of the summary of the findings (only an English summary is available at this time). The summary is intended for government managers and university staff. It will contain a section on policy implications and abstracts of several policy briefs. (Because access to the PFS data tape is a problem for university faculty, use of the data is minimized.)

In speaking of the need for support from Battelle, Dra. Valdez said that she would like to obtain funds for a seminar on population and nutrition and to process a 25 percent sample of the 1981 census for early results. She has requested approximately \$500,000 directly from the AID. (Dra. Valdez has been told that this is far more than Battelle has budgeted for Peru.)

#### E. Other Proposed Projects

Battelle's folder on Peru contains documents on two other projects contemplated for PDP II. One is from the National Council on

Population, which would like funds to study patterns in migration and fertility in 1971 and 1979 (the proposed work is subject to the approval of the Council). The team spoke only with Carlos Munoz, who said that he knows little about the project. An official at the mission in Lima said that she would not approve the study because there are more than enough migration studies being done in Peru. Munoz indicated that he intends to ask Battelle to continue the library project being conducted by the Center for Population and Development Studies (CEPD). The project was funded under PDP I but was not listed as a PDP II project proposal. Munoz, who founded the library in 1964, feels that this is the best library on population in Peru. Kaufman from the mission disagrees (she prefers the reference center at the Institute of Marcelona); nonetheless, she feels that it is important to keep Munoz happy, and so would support funding.

Another "proposal-contemplated" project is that of the Peruvian Association of Medical Schools (ASPEFAM). ASPEFAM is seeking funds to analyze the sterilization data from the PFS. The research would be directed by Rondonfo Gonzalez Enders. The team did not have an opportunity to speak with Mr. Enders.

#### Battelle's Role as Intermediary for AID

During PDP I, relations between AID/Lima and Battelle were not good.\* Ramon Daubon, who monitors Battelle's project in Peru, had established a network of contacts when he lived in the country, but he did not work closely with either the staff at the mission or USAID personnel in Washington when he dealt with these contacts. The health and population officer in Lima (Kaufman) did not approve of Daubon's indirect approach to the development of population policy, preferring instead a more direct approach to family planning. When another person assumed the position of monitor, working relations between Battelle and the mission improved, and the mission now has more of an input into the development of Battelle's projects. Those at the mission who were interviewed are satisfied with the amount of time that Battelle spends in the country. (Since September 1980, this has been 41 person-days, including 10 days for travel.) The evaluators of PDP I recommended that much more time be spent in Peru (a minimum of 20 percent to 30 percent of a staff member's time), but their recommendation was not adopted.

The mission recognizes that although it was difficult to work with Daubon, who was considered to be too autonomous (he worked more for Peruvian institutions than for the AID), it was because of his contacts that Battelle has been able to operate its current projects in Peru. Harry Cross is now the project monitor, but he has made no new contacts.

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\* See the report on the mid-course evaluation by Presser, Merrick, and Baker.

Kaufman thinks that the PDP II program is much better than PDP I. It is, she said, "now in the middle of things." She believes that the right institutions (which include those under PDP I) have been selected and that the INE has a critical role in effecting policy. No family planning institutions are involved in the project. This is considered appropriate because the local family planning association (an affiliate of the IPPF) is weak. Kaufman would like to see Battelle do something to liberalize the laws on sterilization, which at this time is permitted only for therapeutic reasons.

Ballantyne, a senior official at the mission, approves of Battelle's new approach, but feels that the organization's role as an intermediary in Peru should be phased out. The AID is in fact planning to do this within the next two years, after which it will work directly and bilaterally with the institutions. Several years ago, the lack of infrastructure was a problem, but Battelle has helped to build the institutions and many difficulties have been resolved. It has been suggested that Battelle could be used in the future to promote demographic training and selected seminars.

The Ambassador noted that a high cost attaches to intermediaries, but intermediaries, he also pointed out, are seen as playing a strategic role when there is opposition to certain kinds of activities. In these circumstances, blame can be directed to the intermediary rather than to the AID.

### Conclusions: The Potential Impact of the Project

The objective of the PDP II project is to generate an awareness of population-relevant research among planners and policymakers throughout Peru. Funding from the AID may, it is thought, contribute to the formulation and implementation of population policy in specific countries, but according to the terms of the contract, Battelle's aim should not be to affect policy directly. In attempting to determine what effect Battelle's activities may have, evaluators should focus on the expected quality and diffusion of policy-relevant research, and not on expected changes in population policy.

If one defines impact in this context, the team feels that the PDP II project may be effective. It is difficult to anticipate the quality of the core project and other activities, given the brevity of the proposals and the team's limited exposure to the institutions and individuals involved. Nevertheless, when one considers the appropriateness and prestige of the organizations that have been selected, the project is promising. The changing political context in Peru is also promising, and it should help to facilitate the diffusion process. The INE has the potential to influence government policy (and budgets). People from the universities

who are involved in AMIDEP also sit on the National Council for Population, which is supposed to be a policy-making organization for the government. It is difficult to say who the key government decisionmakers are (many political changes have occurred and only limited information is available), but the core project, seminars, and the AMIDEP newsletter all promise to increase the dialogue between government planners and researchers about population issues. (The Family Planning Association (FPA) is not involved, and, as the team indicated, it is weak institutionally.)

PDP II has been building on the work of PDP I rather than generating new contacts. The amount of time that Battelle staff have spent in Peru, both under PDP I and PDP II, has been minimal. The team that evaluated PDP I recommended that Battelle staff spend more time in-country, but this has not happened. On the one hand, PDP II staff work better with the staff of the AID, in both Lima and Washington, than did PDP I staff, but they cannot rely on the close ties that were established earlier with researchers and planners to compensate for the little time they do spend in the country. On the other hand, the relevant institutions are already involved, and the need for Battelle has lessened. The AID is planning to phase out Battelle (it will shift to direct bilateral support). This seems to be an appropriate step at this time.

#### IV. THE BATTELLE PROJECT IN SUDAN

#### IV. THE BATTELLE PROJECT IN SUDAN

Allen Kelly  
July 1981

##### History and Focus

PDP II is in the early stages in Sudan. The subcontract for the core project has not been finalized. In examining the project, the evaluators looked primarily at inputs rather than outputs. Given the information available, they could make only a guarded assessment of the quality and impact of the project and the likelihood that it will be completed.

Considering the context of the evaluation, the team raised an important question about PDP II: What are, and what should be, the outputs of the project? A general objective is to organize and sponsor "research activities" that create an environment, and, it is hoped, specific actions, for informed population policy and programming. But it is difficult to identify the specific activities that would ensure that this goal is reached. On the one hand, the most measurable outputs are the research papers from the core project and the various outputs from dissemination activities (newsletters, symposia, seminars, etc.). On the other hand, the least measurable, but by no means unimportant, outputs have to do with the many activities and institutional arrangements to implement the core project. For example, the country might be assisted to formulate a coordinated population policy (via research in this case) and to bring together and legitimize groups of persons who are interested in population so that they enjoy greater political support and influence. Efforts to achieve both of these aims are and should be part of the Battelle project. To evaluate the PDP II project in Sudan, the team had to do more than examine easily measured contract deliverables. The evaluation presented an opportunity to undertake a useful case study, not only of the specific outputs of the project, but also of some unspecified outcomes that may lead to a change in population policy.

Several specific activities have been completed. Three trips have been made to Sudan to gather information to formulate a country strategy paper; to identify a sponsoring organization for the core project; to identify specific topics, papers, authors, and commentators; and to structure a format for various dissemination activities. A strategy paper has been written and approved by AID/W. A subcontract has been negotiated and approved by the sponsoring organization, the Economic and Social Research Council, Battelle, the Population Policy Division at AID/W, and AID/Khartoum (AID/K). The contract is projected to begin in August or September, 1981, pending successful processing and approval from the Contracts Office, AID/W.

Several activities are examined below. The author discusses how these activities have or have not contributed to the accomplishment of the project's goals. He also speculates on the likelihood that the core project will be completed on time, attempts to assess the quality of the project, and suggests how this and other PDP II activities might have a lasting effect on Sudan's population policy.

### Country Strategy Paper

The strategy paper for Sudan is unusually complete, and the writers are especially perceptive in evaluating the country's demographic problems, both those perceived by the Sudanese and those recognized by AID/K. The key demographic problems of infant and child mortality and internal and international migration are highlighted. The growing role for family planning and the increasing interest in the role of women are identified as secondary but important themes. The need for a data base to analyze all these areas for planning is documented appropriately.

The strategy is not to push directly and aggressively for fertility control, but to work indirectly by coordinating family planning through programs that improve the quality of life. This strategy seems to be appropriate, given the political and economic environments in Sudan today. Labor shortages are a major concern of the government; the agricultural sector particularly needs more laborers. Mortality is high and the productivity of the population is low. An alternative population strategy which strongly emphasizes the reduction of fertility would not only receive an unsympathetic response from the government, but it also might damage efforts to formulate a coordinated population policy which includes family planning. An integrated, gradual approach to the development of a population policy for Sudan appears to be the best choice for the country at this time.

### The Core Project

All the research studies in the core project relate well to the themes articulated in the country strategy paper.

The team interviewed several persons who have been identified as possible writers for research studies. These people appear to be well qualified to write on the assigned topics. In the team's judgment, they are likely to deliver papers of acceptable quality and on time.

Some of the authors have begun and others have completed portions of their research. One person is condensing (and perhaps extending) earlier work (a Ph.D. thesis); in another study, the writer intends to

document recent experience with an integrated primary health care and family planning program. In several instances, the products will constitute not so much new and original work as the collection of papers with a common theme: an integrated population policy for Sudan. One purpose of the papers is to increase the visibility of individual research which otherwise would reach only small and specialized audiences.

Those who have been selected to comment on the papers will work well with the writers. There have been instances in the past when collaboration (informal and formal) occurred. Thus, although no new collaboration will occur during PDP II, the work will be focused on a new theme: population.

The collection of core research papers is not likely to result in a notable contribution to the body of knowledge. Moreover, some of the research would have been done (some already has been done) under other auspices. Nevertheless, the core project will sponsor several new studies, bring together work that has already been done, and package research with a visible population theme. It is for these reasons that PDP II is a useful effort.

### Sponsoring Organization

The Economic and Social Research Council was selected to be the sponsoring organization; it appears to be well suited to the task. It has a respectable record of carrying out and completing research, and it is plugged into various private and public agencies that are associated with Sudanese and international research activities.

The director of the ESRC spent several days with Battelle's representative to work out the details of the core project. He is thoroughly familiar and is identified with the project. He has already contacted informally several of the authors and commentators.

Earlier population research by the ESRC was focused primarily on migration. By sponsoring PDP II, the ESRC will be broadening its portfolio of research in the field. This will be a useful outcome, because the project not only will associate a respectable research organization with a broadened agenda of population studies, but it also will establish a set of additional contacts and build on interests in population research which should have some lasting effect.

The starting date for the core project, July 1, has been delayed. The ESRC learned of this delay only in late June. The organization was not only surprised, but also angered and embarrassed. "Informal" commitments had already been made; some of the research had begun; momentum was building. Much momentum was lost when Battelle informed the ESRC of the

delay. In the words of a key official, "Unless this contract is signed soon, the reputation of ESRC will be tarnished and the momentum of this project will be significantly set back."

(Since returning from Khartoum, the team has identified the causes for the delay in implementing the contract. The primary difficulty is that a large number of major competing projects has been assigned to the person at Battelle who is in charge of PDP II. She had been managing or has been actively involved in three or four competing efforts at the same time. Each project has required extensive travel and urgent attention. Time constraints, despite extremely long working hours, have made it impossible to complete all the projects on time. PDP II programming slipped several weeks during the period.)

### Dissemination Activities

It is difficult to appraise the effectiveness of the dissemination activities because, at this time, there are no specific outcomes. In reviewing the plan of work, however, the team found reason to doubt that the projected activities are appropriate and will be concluded successfully.

### National Population Committee

A National Population Committee has been formed but has not yet convened. This committee, if it becomes effective and lasts, could help to sponsor population activities in Sudan. Its mandate explicitly downplays the "quantity" of population as an issue; instead, those aspects of demographic change which relate to a population's "quality" are emphasized. This emphasis reflects the sensitivity of Sudanese to population control and recognition that numbers are not the primary problem in population. Migration and low-labor productivity in relation to high mortality are major concerns. It is likely that the issue of population size will emerge during discussions and programming. But reorientation must evolve to be consistent with the acquisition of more knowledge about population problems. (Both Battelle and The Futures Group could be instrumental in reorienting thinking.) The Committee is composed of a broad group of Sudanese leaders concerned with population. It could be instrumental in effecting changes in population policy in the future.

The leadership of the Committee is closely allied to the participants in the Battelle project, as well as those at the ESRC. Consequently, it is even more important strategically as a sponsoring organization. Indeed, it is not unlikely that Battelle research papers will be presented at an early meeting of the group. It is also possible that at a later time the Committee might host a RAPID presentation, although timing this would be problematical.

This background puts in context a potentially important "output" of the Battelle project, one which is not easily measured and one which is associated with the inputs to develop the core research project. It was pointed out to the team that the stimulus for activating the Committee on Population was influenced by visitors, including, to paraphrase one observer, "those women [Battelle representatives] going all over town asking, 'What is your population policy?' and, when finding that there was none, asking, 'When will a National Population Committee be formulated?'" Given the limited evidence available, the team would not want to overemphasize the importance of this statement. If it is true, however, then the project has already made a significant--and perhaps one of its greatest--long-term contributions.

Even if the episode is exaggerated, it exemplifies well Battelle's role in coordinating and focusing the interests and efforts of busy people and organizations around the theme of population. By diverting the attention of these persons and organizations from competing activities to population, by bringing people together in support groups (e.g., the National Population Committee), and by strengthening programs (e.g., the ESRC), Battelle is building an important structure within which population "activists" (primarily, family planners and clinicians) can exert their influence.

#### Logistics and Administration

The Battelle group has worked well with the mission. Battelle has coordinated well, has been sensitive to the demands on the time of the mission, has helped the mission in a variety of ways to conduct its activities, and has established a viable, long-term working relationship.

Staff from Battelle have visited Sudan for sufficiently lengthy periods to ensure that programming is productive. The success of the project to date has been influenced heavily by the results from the initial fact-finding mission during which two representatives from Battelle spent two weeks in Sudan. This "team" approach is highly productive. The two weeks spent in Sudan constituted minimum time required for such a trip. If trips are brief and made only for highly specific reasons, staff do not have opportunities to become informed about local conditions and options. Nor can they build viable relationships with staff at missions and local institutions. Short trips can even be detrimental. These judgments are based on information from the contractor, the mission, individuals who were interviewed, and on the evaluators' own experiences in Khartoum, where they spent almost one week.

Battelle's representatives could have been more successful in developing a more focused and lasting "image" of the PDP II project. They did not leave behind written materials or brochures on the project or their

trip; they sent no follow-up letters after interviews. More than once the team had to explain the project to persons who earlier had been contacted by Battelle. Many of the persons with whom the team talked are extremely busy and are inundated with visitors. Battelle's representatives should recognize that if specific action is not taken to maintain visibility, Battelle is apt to have little effect in Sudan. To successfully build a project such as PDP II, extensive communication and salesmanship are required. Specific administrative and promotional procedures can easily be developed to ensure that a positive image is created.

The representatives from Battelle could have been more sensitive to the extremely complex relationships among the various organizations and individuals. Bosses should be informed of planned discussions with and outcomes of conversations with subordinates. Written follow-up letters may be a solution. Follow-up letters about the interviews also might be useful products that fulfill the "formal" requirements which some perceive are important to the development of PDP II. It takes skill and talent to identify the potential problems in interpersonal relationships and inter-organizational structures and to deal appropriately with those problems. Battelle's representatives, although they have done a superb job of representing themselves personally, must be careful to adopt procedures that facilitate organization-building in the host country. The staff could write some guidelines on how best to anticipate interorganizational and interpersonal problems. Such guidelines would be useful because PDP II depends heavily on building infrastructures and coordinating groups and individuals.

### Conclusions

The contractor appears to be meeting well the objectives of PDP II in Sudan. There seem to be more administrative than substantive problems, and these can be corrected easily and avoided in the future by thinking ahead and appropriately planning projects. For the money invested, the benefits of the project--influencing population policy and programming in Sudan--are likely to outweigh costs.

**Appendix A**

**CONTACTS AND INTERVIEWS  
(Brazil, Honduras, and Sudan)**

## APPENDICES

## Appendix A

### CONTACTS AND INTERVIEWS (Brazil, Honduras, and Sudan)

#### 1. Brazil

##### Interviews in U.S.

Elza Berquo, Demographer, Brazilian Center for Analysis and Planning  
(CEBRAP), São Paulo, Brazil

Manuel Costa, Director, Special Projects Division, Brazilian  
Institute of Geography and Statistics (IBGE), Rio de Janeiro,  
Brazil

Thomas Merrick, Director, Center for Population Research (CPR),  
Georgetown University, Washington, D.C.

Sam Taylor, Social Development Attaché, USAID Mission, Brasilia,  
Brazil

##### Interviews in Brazil

Roberto Alcantara, Adviser, Secretariat of Social Assistance,  
Ministry of Social Welfare, Rio de Janeiro, Brazil

Jose M. Arruda, Assistant to the Director, Brazilian Society for  
Family Welfare (BEMFAM), Rio de Janeiro, Brazil

2. Honduras

Family Planning Association of Honduras (ASHONPLAFA)

Rigoberto Alvarado, Member, Board of Directors, and RAPID Presenter  
(formerly Vice Minister of Health)

Alejandro Flores, Executive Director

National Planning Council, Government of Honduras (CONSUPLANE)

Rodolfa Aplicano, Coordinator, Population Unit, Department of  
Statistics, and RAPID Presenter

Luz Estela Sarmiento, Director, Department of Statistics

Margarita Suazo, Demographer, Population Unit, Department of  
Statistics, and RAPID Presenter

Advisers in Development (ASEPADE)

Nora de Martinez, Executive Director

National Council of Campesinos of Honduras (ANACH)

Antonio Julion Mendez, President, and Pinu Party Representative  
in Assembly

United Nations Development Program and United Nations Fund for Population  
Activities (UNDP/UNFPA)

Maria Angelica Marin-Lira, Expert UNFPA Adviser to Population Unit,  
CONSUPLANE

Jacob Simonson, Project Officer, United Nations Development Program

2. Honduras

Family Planning Association of Honduras (ASHONPLAFA)

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(formerly Vice Minister of Health)

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National Planning Council, Government of Honduras (CONSUPLANE)

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in Assembly

United Nations Development Program and United Nations Fund for Population  
Activities (UNDP/UNFPA)

Maria Angelica Marin-Lira, Expert UNFPA Adviser to Population Unit,  
CONSUPLANE

Jacob Simonson, Project Officer, United Nations Development Program

USAID/Honduras

Jan Gibbney, Official Translator, AID

John Kelley, Chief, Urban Development Division, and Assistant  
Director, Human Resources Office

John Massey, Chief, Health and Nutrition Division, Human Resources  
Office

Kathy Nimmo, Family Planning Contractor, Project Office, Integrated  
Rural Health, and Translator

Leo Ruelas, Acting Mission Director

John Stone, Assistant Director, Human Resources Office

U.S. Embassy

Ambassador Binns, Ambassador to Honduras

3. Sudan

Ministry of Health (MOH)

Dr. Ali Biely, Deputy Director-General, Rural Health Services

Mr. Hillard Davis, Consultant, Department of Statistics

Ministry of National Planning

Mr. Ali Kuku, Director, Manpower and Population Section

Dr. Abdel Waheb Medawi, Director, Office of the Census

Dr. El Shinnawi, UNDP-IBRD Adviser, Education and Manpower

Dr. Omar El Taj, Director, Department of Statistics

Dr. El Sayed Zaki, Undersecretary for Sectorial Planning

Sudan Family Planning Association (SFPA)

Dr. Abdel Rahman Attabani, President

Dr. Saleh Khogali Ismail, Executive Director

Sudan Fertility Control Association

Dr. Hadi El Zein Nahas

Economic and Social Research Council (ESRC)

Dr. Ibrahim Hassan Abdel Galil, Chairman

Dr. Mohamed Mirghani Abdel Salam, Director

University of Khartoum

Dr. Hamid Rushwan, Faculty of Medicine (Ob/Gyn)

Dr. Abdel Rahman El Tom, Faculty of Medicine (Community Medicine)

U.S. Embassy

Mr. Jack Martin, General Administrative Officer

Dr. Ralph Winstanley, Economics Officer

AID/Khartoum (AID/K)

Dr. Don Dembowski, Economics Officer

Mr. Jim Graham, Capital Projects Officer

Mr. James Holloway, Acting Head

Mr. Gary Leinen, Health IDI

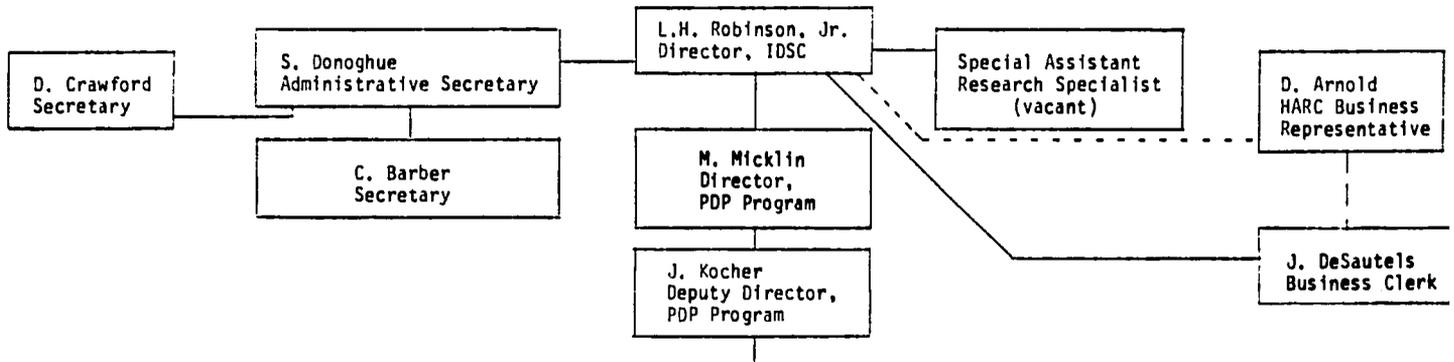
Dr. Mary Ann Micka, Health Officer

**Appendix B**

**ORGANIZATION OF THE HARC AND IDSC**

## Appendix B

### ORGANIZATION OF THE HARC AND IDSC



| Research Staff for Latin America   | Research Staff for Africa          | Research Staff for Middle East   | Research Staff for Asia             |
|------------------------------------|------------------------------------|----------------------------------|-------------------------------------|
| H. Cross<br>Research Scientist     | R. Ahmad<br>Research Scientist     | R. Ahmad<br>Research Scientist   | R. Ahmad<br>Research Scientist      |
| M. Ebot<br>Research Scientist      | M. Ebot<br>Research Scientist      | C. Carrino<br>Research Scientist | J. Cheema<br>Research Scientist     |
| C. Gilley<br>Research Scientist    | C. Gilley<br>Research Scientist    | H. Cross<br>Research Scientist   | C. Cluett<br>Research Scientist     |
| M. Micklin<br>Research Scientist   | J. Kocher<br>Research Scientist    |                                  | J. Kocher<br>Research Scientist     |
| A. Kubisch<br>Research Specialist  | S. Stout<br>Research Scientist     |                                  | S. Stout<br>Research Scientist      |
| L. Robinson<br>Research Specialist | A. Kubisch<br>Research Specialist  |                                  | L. Robinson<br>Research Specialist  |
|                                    | L. Robinson<br>Research Specialist |                                  | M. Zimmerman<br>Research Specialist |

#### Secretarial Support Staff

D. Achterhof C. Barber M. Braun A. Dinger D. Padgug I. Peralta

#### IDSC Research Programs

Population and Development Policy, PDP I and PDP II  
Africa Population Assistance Research  
The Relevance of Social Science Research for  
Population Policy: Seminar Series

#### Visiting Scientists and Center Advisers (Proposed)

Dr. Moya Freyemann, University of North Carolina  
Dr. Gayl Ness, University of Michigan  
Dr. Warren Robinson, Penn State University

Appendix C

STAFFING FOR PDP II (P-14465),  
June 23, 1980 - May 29, 1981

## Appendix C

### STAFFING FOR PDP II (P-14465), June 23, 1980 - May 29, 1981\*

| <u>Name</u>    | <u>Title</u>                  | <u>Proposed<br/>Budget<br/>(Hours)</u> | <u>Actual Hours<br/>Through<br/>5-29-81</u> | <u>Percent<br/>Budget<br/>Spent</u> |
|----------------|-------------------------------|--|---|-------------------------------------|
| W.P. McGreevey | Project Director <sup>1</sup> | 267                                    | 267.0                                       | 100                                 |
| L.H. Robinson  | Deputy Director <sup>2</sup>  | 2,829                                  | 1,193.5                                     | 42                                  |
| M. Micklin     | Project Director <sup>3</sup> | 3,199                                  | 439.0                                       | 14                                  |
| J.E. Kocher    | Deputy Director <sup>4</sup>  | <u>2,203</u>                           | <u>--</u>                                   | <u>0</u>                            |
|                | TOTAL, MANAGEMENT             | <u>8,498</u>                           | <u>1,899.5</u>                              | <u>22</u>                           |
| H.E. Cross     | Research Scientist            | 2,956                                  | 1,410.5                                     | 48                                  |
| J. Cheema      | Research Scientist            | 2,126                                  | 499.5                                       | 23                                  |
| C. Cluett      | Research Scientist            | 1,155                                  | 613.0                                       | 53                                  |
| R.S. Ahmad     | Research Scientist            | 3,028                                  | 878.0                                       | 29                                  |
| S.A. Stout     | Research Scientist            | 3,353                                  | 1,307.0                                     | 39                                  |
| M.T. Ebot      | Research Scientist            | 3,433                                  | 1,200.0                                     | 35                                  |
| M.A. Trott     | Research Scientist            | 899                                    | 899.0                                       | 100                                 |
| S.M. Nerlove   | Research Scientist            | --                                     | 72.0  | --                                  |
| Unassigned     |                               | <u>2,579</u>                           | <u>--</u>                                   | <u>0</u>                            |
|                | TOTAL, RESEARCH SCIENTIST     | <u>19,529</u>                          | <u>6,879.0</u>                              | <u>35</u>                           |
| C.A. Carrino   | Research Specialist           | 3,785                                  | 1,052.5                                     | 28                                  |
| A.C. Kubisch   | Research Specialist           | 3,684                                  | 1,120.5                                     | 30                                  |
| M.L. Zimmerman | Research Specialist           | 1,010                                  | 94.0  | 9                                   |
| C. Gilley      | Research Specialist           | <u>--</u>                              | <u>705.5</u>                                | <u>--</u>                           |
|                | TOTAL, RESEARCH SPECIALIST    | <u>8,479</u>                           | <u>2,972.5</u>                              | <u>35</u>                           |
| M. Frederick   | Research Assistant            | --                                     | 360.0                                       | --                                  |
| B. Metch       | Research Assistant            | --                                     | 14.0  | --                                  |
|                | TOTAL, RESEARCH ASSISTANT     | <u>--</u>                              | <u>374.0</u>                                | <u>--</u>                           |
| Staff          | Secretaries                   | 16,944                                 | 4,820.7                                     | 28                                  |
| J.P. DeSautels | Business Clerk                | 3,870                                  | 201.3                                       | 5                                   |
| D.L. Arnold    | Business Representative       | 2,520                                  | 500.0                                       | 20                                  |
| Staff          | Editing/Word Processing       | <u>--</u>                              | <u>17.4</u>                                 | <u>--</u>                           |
|                | TOTAL, SUPPORT SERVICES       | <u>23,334</u>                          | <u>5,539.4</u>                              | <u>24</u>                           |
|                | TOTAL, PDP II STAFFING        | <u>59,840</u>                          | <u>17,664.4</u>                             | <u>30</u>                           |

\* Percent of time expended: 34 Percent.

<sup>1</sup> Project Director, June 23, 1980 - September 1, 1980.

<sup>2</sup> Deputy Director, June 23, 1980 - August 1, 1981; Acting Director, September 1, 1980 - March 1, 1981.

<sup>3</sup> Research Scientist, June 23, 1980 - March 1, 1981; Project Director, March 1, 1981 - LOP.

<sup>4</sup> Deputy Director, effective August 1, 1981.

**Appendix D**

**BATTELLE EVALUATION:  
COMPARISON OF APPLIED STAFF HOURS,  
WASHINGTON, D.C., VERSUS SEATTLE**

Appendix D

BATTELLE EVALUATION:  
COMPARISON OF APPLIED STAFF HOURS,  
WASHINGTON, D.C., VERSUS SEATTLE

Period: June 23, 1980 - May 29, 1981  
(11 Months)

|                      | <u>Washington, D.C.</u> | <u>Seattle</u> | <u>Total</u>    |
|----------------------|-------------------------|----------------|-----------------|
| Management           | 1,899.5                 | 0              | 1,899.5         |
| Research Scientists  | 6,266.0                 | 613.0          | 6,879.0         |
| Research Specialists | 2,972.5                 | 0              | 2,972.5         |
| Research Assistants  | 360.0                   | 14.0           | 374.0           |
| Support Services     | <u>5,442.5</u>          | <u>96.9</u>    | <u>5,539.4</u>  |
| TOTAL                | <u>16,940.5</u>         | <u>723.9</u>   | <u>17,664.4</u> |

July 25, 1981

**Appendix E**

**DETAILS OF BUDGET, BATTELLE EVALUATION**

## Appendix E

### DETAILS OF BUDGET, BATTELLE EVALUATION

| <u>Category</u>            | <u>AID-Approved<br/>Budget<br/>6/23/80-6/23/83<br/>(32 Months)</u> | <u>Expended and<br/>Encumbered<br/>6/23/80-5/29/81<br/>(11 Months)</u> | <u>Percent of<br/>Budget Spent<br/>(11 Months)</u> | <u>Balance Available<br/>5/30/81-2/23/83<br/>(21 Months)</u> |
|----------------------------|--|--|--|--|
| Salaries                   | 1,026,269  | 263,157  | 25.6   | 763,112  |
| Overhead                   | 241,759  | 64,659   | 26.7   | 177,100  |
| Travel and Transportation  | 421,429  | 46,488   | 11.0   | 374,941  |
| Materials and Supplies     | 11,253   | 0*   | 0  | 11,253   |
| Subcontracts               | 750,000  | 22,800**   | 3.0  | 727,200  |
| Consultants                | 24,100   | 544  | 2.3  | 23,556   |
| Field Office Costs         | 341,740  | 67,141   | 19.6   | 274,599  |
| Seattle Office Costs       | 0  | 1,135  | 0  | (1,135)  |
| Other Direct Costs         | 74,641   | 33,279   | 44.6   | 41,362   |
| General and Administrative | <u>789,266</u>   | <u>159,971</u>   | <u>20.3</u>  | <u>629,295</u>   |
| Subtotal                   | 3,680,457  | 659,174  | 17.9   | 3,021,283  |
| Fixed Fee                  | <u>276,034</u>   | <u>48,178</u>  | <u>17.5</u>  | <u>227,856</u>   |
| GRAND TOTAL                | <u>3,956,491</u>   | <u>707,352</u>   | <u>17.9</u>  | <u>3,249,139</u>   |

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Reflected in costs in field and in Seattle office.

\*\* Includes encumbrance of \$16,800 unpaid on Subcontract No. H706-04 with AMIDEP in Peru.  
Elapsed Time = 34.8 Percent.

July 6, 1981

**Appendix F**  
**BUDGET FOR PDP II (P-14465)**

## Appendix F

### BUDGET FOR PDP II (P-14465)

|   | <u>Proposed Budget</u><br><u>6/23/80-2/23/83</u> | <u>Actual Booked</u><br><u>6/23/80-5/29/81</u> | <u>Percent</u><br><u>Budget</u><br><u>Spent</u> |
|---|--|--|---|
| <u>DIRECT STAFF LABOR</u>               | \$1,026,269                                      | \$263,157                                      | 25.6  |
| <u>TRAVEL AND TRANSPORTATION</u>        | 421,429  | 46,488   | 11.0  |
| <u>SUBCONTRACTS</u>                     | 750,000  | 6,000  | Neg.  |
| <u>CONSULTANTS</u>                      | 24,100   | 544  | Neg.  |
| <u>SEATTLE OFFICE</u>                   |  |  |   |
| Telephone                               | 5,723  | 723  |   |
| Duplicating                             | 4,919  | 106  |   |
| Word Processing                         | --   | 213  |   |
| Materials and Supplies, Miscellaneous   | <u>611</u>                                       | <u>93</u>                                      |   |
|   | <u>11,253</u>                                    | <u>1,135</u>                                   | 10.0  |
| <u>WASHINGTON, D.C., OFFICE</u>         |  |  |   |
| Office Space and Equipment              | 207,058  | 50,538   |   |
| Word Processing                         | 7,953  | 2,272  |   |
| Duplicating and Printing                | 44,281   | 3,118  |   |
| Telephone                               | 43,947   | 6,542  |   |
| Telegram and Telex                      | 7,561  | 723  |   |
| Postage                                 | 10,291   | 698  |   |
| Delivery Services                       | 1,750  | 432  |   |
| Publications and Subscriptions          | 3,676  | 491  |   |
| Temporaries                             | --   | 748  |   |
| Materials and Supplies                  | 14,058   | 773  |   |
| Miscellaneous                           | <u>1,165</u>                                     | <u>806</u>                                     |   |
|   | <u>341,740</u>                                   | <u>67,141</u>                                  | 19.6  |
| <u>OTHER DIRECT COSTS</u>               |  |  |   |
| Moving and Relocation                   | 10,000   | 13,186   |   |
| PDP Fellows Program                     | 44,547   | 6,006  |   |
| DBA Insurance                           | 14,309   | 4,762  |   |
| PDP Brochure                            | --   | 4,822  |   |
| Meal Conferences                        | 1,320  | 828  |   |
| Publications and Subscriptions          | 1,102  | 232  |   |
| Equipment                               | 2,488  | 1,479  |   |
| Miscellaneous                           | <u>875</u>                                       | <u>1,964</u>                                   |   |
|   | <u>74,641</u>                                    | <u>33,279</u>                                  | 44.6  |
| Subtotal                                | <u>\$2,649,432</u>                               | <u>\$417,744</u>                               |   |
| <u>STAFF TIME OVERHEAD</u>              | 241,759  | 64,659   | 26.7  |
| <u>GENERAL AND ADMINISTRATIVE COSTS</u> | <u>789,266</u>                                   | <u>159,971</u>                                 | 20.3  |
| TOTAL COSTS                             | <u>\$3,680,457</u>                               | <u>\$642,374</u>                               |   |
| <u>FEE</u>                              | 276,034  | 48,178   | 17.5  |
| TOTAL COSTS PLUS FEE                    | <u>\$3,956,491</u>                               | <u>\$690,552</u>                               | 17.5  |

#### PDP II UNOBLIGATED BALANCE ON 5/29/81

|  |                    |
|--|--------------------|
| Total Contract Amount                            | \$3,956,491        |
| Less Total Expenditures through May 29, 1981     | (690,552)          |
| Less Total Unpaid Obligations As of May 29, 1981 | <u>(16,800)**</u>  |
| UNOBLIGATED BALANCE, MAY 29, 1981                | <u>\$3,249,139</u> |

\* Percent of Time Spent Through May 29, 1981 = 34.8 Percent.

\*\* Unpaid obligations of \$16,800 are for Subcontract No. H706-G4 with AMIDEP in Peru.

**Appendix G**

**PROPOSED PROCESSING SYSTEM  
FOR BATTELLE PDP SUBCONTRACTS**

## Appendix G

### PROPOSED PROCESSING SYSTEM FOR BATTELLE PDP SUBCONTRACTS

#### Project Development

A proposal usually is received after Battelle PDP professionals have made their initial contacts in the field. On a project development trip, Battelle's principal investigator (PI) carries (1) a copy of the proposal guidelines (outlining the information needed in the formal proposal), (2) a draft subcontract to leave with the requester for review, and (3) a transmittal information sheet (see Attachment A). This information sheet, which is prepared by the PI for the subcontract file, indicates the name and address of the subcontracting institution; key personnel; the subcontractor's preferred form of payment; banking information; USAID contacts; and notations about the most expeditious forms of transmittal to use in the country. By using the information sheet, delays in transmitting information and documents are minimized. Discussions are held with the requester about technical recommendations, and the proposal guidelines and the draft subcontract are reviewed. Potential problems with the formal language of the subcontract may be alleviated during these early discussions.

Before leaving the country, the Battelle PDP professional schedules a meeting with USAID to discuss the tentative proposal. He or she leaves a short paragraph that summarizes the discussions with the proposed subcontractor. Other discussions may need to take place--via phone, mail, or in person--before a formal firm proposal is submitted by the subcontractor. USAID and the AID/POP cognizant technical officer (CTO) are kept informed of all developments.

#### File Preparation

If a proposal has been hand-carried by the PI to the Battelle PDP office, his or her secretary prepares four (4) copies and distributes them to the PDP director, deputy director, PI, and backup PI.\* If the proposal is received by mail, the secretary assigned to open the mail follows the same procedure. In either case, the original is given to the business clerk within two (2) working days of receipt.

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\* Throughout this entire process, it is understood that, if the PI is traveling, or otherwise unavailable, the backup PI will take the necessary actions.

After assigning a proposal number, the business clerk prepares a subcontract file and a letter of acknowledgment for the PDP director's signature. The letter of acknowledgment is sent within four (4) working days of receipt of the proposal.

The business clerk also prepares for the subcontract file a Proposal Review Process Sheet (see Attachment B) onto which significant dates in the proposal process and brief notes from conversations are logged. This sheet provides easy access to current information about the status of the proposal. These same dates are incorporated into the monthly Management Information Report.

### Technical Review

The top section of the Proposal Summary form is then completed by the business clerk, and the form is forwarded to the PI for completion. The PI prepares the Proposal Summary within five (5) working days of receipt of the proposal and includes a brief synopsis of the work statement, as proposed, an evaluation of the relevance of the work to the Battelle PDP program objectives and strategy papers for that country, a budget analysis, and recommendations for funding. Copies of the Proposal Summary are given to the PI, PDP director, and deputy director. The PI's secretary schedules a meeting with these individuals to review the proposal. A decision to approve or reject the proposal is made at this meeting.

If the final decision is to reject the proposal, the PI writes a letter to the requester explaining the reasons for rejection and the file is closed.

If the decision is to request proposal revisions from the requester, a letter is sent to the requester detailing the suggested changes. A trip may be scheduled to provide technical assistance to revise the proposal. After the revised proposal is received, a review by the PI is again initiated. This process can be repeated if necessary; however, experience dictates that the recommended changes are incorporated and the proposal is acceptable after the first revision.

Once a proposal has been accepted and the decision is made to request AID/POP approval for funding, a justification letter is written by the PI to the CTO for the PDP director's signature. This letter includes the relevance of the proposed work to Battelle PDP objectives and to the predetermined strategies for that particular country or region, the vital statistics from the proposal (time frame, dollar amount, key personnel), and a brief description of the proposed technical assistance and monitoring of the project. A line is typed at the bottom of this letter for the CTO's approval and the date of the approval. Copies of the letter are sent to: USAID, the HARC Contracts Office, and Battelle PDP's central file. A copy of the proposal accompanies the letter. Upon receipt, the

CTO reviews the proposal and obtains concurrence from the USAID mission, as well as the Office of Population's Policy Division. USAID cables approval to the CTO and, upon receipt, the CTO signs the justification letter and sends a copy of the letter and the cable to Battelle PDP for filing. AID/POP approval or USAID approval may contain qualifications. The recommendations must be incorporated before final processing.

### Subcontract Preparation

While the proposal is in the AID approval phase, the preparation of the subcontract is initiated by the PI, who prepares a work statement and a list of expected deliverables and due dates. The information is forwarded to the business representative, who prepares a subcontract. Once the subcontract is prepared in final draft by the business representative, it is routed to the PI and PDP director for approval before being forwarded by the business representative to the Seattle Contracts Office for finalization. A copy of AID/POP written approval accompanies the subcontract to Seattle.

### Types of Agreements

A basic ordering agreement is used if Battelle PDP expects that it will support more than one project at the subcontracting institution. The agreement includes all the basic clauses that must govern the subcontracts and the dates of the expected association between Battelle PDP and the subcontractor. Each individual task order under that agreement includes information specific to that particular task order.

If the association with the proposed subcontractor will be for one project only, the subcontract contains the clauses of the basic ordering agreement and the terms and conditions of the task order, which are incorporated into one document.

Unless specifically requested by the subcontractor, all subcontracts and task orders under basic ordering agreements are fixed-price.

### Contracts Review

The agreement is reviewed by the HARC Contracts Office; the business representative is contacted for any additional clarification. If the subcontract satisfies the requirements of both the requester and Battelle, it is discussed with Battelle's legal counsel and concurrence is obtained.

### Consummation of the Agreement

Upon receipt of all approvals, the subcontract is signed on Battelle's behalf by the contracting officer of the HARC and three (3) copies of the signed subcontract are sent, with a cover letter, to the subcontracting institution. A copy of the cover letter and the subcontract are sent to the Battelle PDP office for filing.

Upon receipt of the documents from Battelle, the proposed subcontracting institution signs two of the three copies and returns them to Battelle and HARC in Seattle. A copy of the fully executed document is sent to the CTO, AID's contracting officer (ACO), the PI, and the PDP director.

### Disbursements

Disbursements to the subcontracting institution are made upon receipt of either a report or an invoice, as specified in the subcontract. If required by the subcontracting institution in order to proceed with the proposed work, an advance disbursement may be processed upon receipt of the signed subcontract by Battelle/Seattle. The reports required as deliverables under the subcontract are submitted by the subcontracting institution to the PI for approval. After review and approval, the PI prepares a memo to the HARC Contracts Office, via the PDP director, indicating approval and requesting that the appropriate disbursement be sent to the subcontractor. Upon approval by the PDP director, the memo should be given to the business clerk, who will telecopy the memo to the HARC Contracts Office to expedite disbursement. The original memo will be sent by mail.

Disbursements are prepared in the HARC Accounting Office and sent to the subcontractor. Various methods of disbursement are used, depending upon the situation specific to each subcontractor.

Attachment A

PDP SUBCONTRACT TRANSMITTAL INFORMATION

Proposal No. \_\_\_\_\_ Country \_\_\_\_\_

Agreement No. \_\_\_\_\_ Date Received \_\_\_\_\_

Project Title: \_\_\_\_\_

Institution \_\_\_\_\_ Project Director(s): \_\_\_\_\_

Address \_\_\_\_\_

Telephone Numbers: \_\_\_\_\_

Institution: \_\_\_\_\_

Project Director: \_\_\_\_\_

USAID Mission Contact(s): \_\_\_\_\_ USAID Mission Address: \_\_\_\_\_

\_\_\_\_\_

Telex No. \_\_\_\_\_

Telephone No. \_\_\_\_\_

Subcontract Institution Bank Information:

Bank \_\_\_\_\_ Telex No. \_\_\_\_\_

Bank Address \_\_\_\_\_ Cable Address \_\_\_\_\_

Account No. \_\_\_\_\_

Additional Information (e.g., most expeditious means of sending documents and payments to subcontractor; means of transmittal to avoid; etc.):

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Attachment B

Proposal No. \_\_\_\_\_

Institution \_\_\_\_\_

Battelle PI \_\_\_\_\_

| <u>Proposal Action</u>          | <u>Comments</u> | <u>Date/<br/>Initials</u> |
|---------------------------------|-----------------|---------------------------|
| Received                        | _____           | _____                     |
| Acknowledged                    | _____           | _____                     |
| Proposal Summary                | _____           | _____                     |
| PI/PDP Director Review          | _____           | _____                     |
| Request for Revision            | _____           | S: _____                  |
|                                 | _____           | R: _____                  |
| Notice of Rejection             | _____           | _____                     |
| PDP Approval                    | _____           | _____                     |
| Justification Letter to AID/POP | _____           | _____                     |
| Information Copies to USAID     | _____           | _____                     |
| Information Copies to Richards  | _____           | _____                     |
| Approval from AID/POP           | _____           | _____                     |
| Draft Subcontract Approved      | PI: _____       | _____                     |
|                                 | PDP Dir: _____  | _____                     |
| Draft Subcontract to Richards   | _____           | _____                     |
| Signed Subcontract to SUB       | _____           | _____                     |

Attachment C

KEY INDIVIDUALS IN THE SUBCONTRACTING PROCESS

PDP Director

Michael Micklin

PDP Deputy Director

Leonard Robinson

Principal Investigators and Backups\*

Leonard Robinson  
Anne Kubisch  
Harry Cross  
Harry Cross

Cynthia Gilley  
Moses Ebot  
Michael Micklin  
Michael Micklin

Brazil  
Haiti  
Peru  
Honduras

Moses Ebot  
Moses Ebot  
Leonard Robinson  
Susan Stout  
Connie Carrino  
Harry Cross

Anne Kubisch  
Rashid Ahmad  
Cynthia Gilley  
Anne Kubisch  
Rashid Ahmad  
Connie Carrino

Cameroon  
Nigeria  
To Be Determined  
Sudan  
Jordan  
Turkey

Leonard Robinson and Jatinder Cheema  
Susan Stout  
Rashid Ahmad and Leonard Robinson

Susan Stout  
Chris Cluett  
Jatinder Cheema

India  
Nepal  
Pakistan

Secretarial Staff

Sheila Donoghue  
Claudia Barber  
Debbie Achterhof  
Donna Padgug  
Irene Peralta  
Danette Crawford

Business Clerk

James DeSautels

Business Representative

Dianne Arnold

Battelle Contracts Negotiator

James Richards

AID Cognizant Technical Officer

Sara Seims

AID Contracts Negotiator

James Cutrera

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\* Per 2/9/81 LHR memo to staff.

**Appendix H**

**SUMMARY OF REQUESTS FOR TRAVEL,  
BATTELLE EVALUATION**

Appendix H

SUMMARY OF REQUESTS FOR TRAVEL,  
BATTELLE EVALUATION

| <u>Country</u>     | <u>Request to<br/>AID</u> | <u>Scheduled<br/>Departure<br/>Date</u> | <u>Days of<br/>Lead Time<br/>for AID</u> |
|--------------------|---------------------------|---|--|
| Sudan              | 9-05-80                   | 9-27-80                                 | 22                                       |
| Peru               | 9-09-80                   | 9-24-80                                 | 15                                       |
| Nepal              | 8-26-80                   | 9-29-80                                 | 33                                       |
| Jordan             | 9-05-80                   | 10-10-80                                | 35                                       |
| Turkey             | 8-18-80                   | 11-04-80                                | 16                                       |
| Haiti              | 10-24-80                  | 11-10-80                                | 16                                       |
| Nigeria            | 8-18-80                   | 12-04-80                                | 106                                      |
| Nigeria            | 1-13-81                   | 1-19-81                                 | 6  |
| Jordan             | 1-15-81                   | 1-26-81                                 | 11                                       |
| Brazil             | 12-02-80                  | 2-09-81                                 | 67                                       |
| Peru               | 12-16-80                  | 1-11-81                                 | 25                                       |
| Sudan              | 1-12-81                   | 2-10-81                                 | 28                                       |
| Nepal              | 1-29-81                   | 2-27-81                                 | 28                                       |
| Haiti              | 2-19-81                   | 3-01-81                                 | 12                                       |
| Pakistan           | 1-16-81                   | 3-09-81                                 | 51                                       |
| Turkey             | 2-23-81                   | 3-01-81                                 | 6  |
| Dominican Republic | 2-26-81                   | 3-12-81                                 | 14                                       |
| Peru               | 2-18-81                   | 4-19-81                                 | 61                                       |

**Appendix I**

**SUMMARY OF SUBMISSIONS OF TRIP REPORTS,  
BATTELLE EVALUATION**

## Appendix I

### SUMMARY OF SUBMISSIONS OF TRIP REPORTS, BATTELLE EVALUATION

| <u>Number of<br/>Trip Report</u> | <u>Country</u>        | <u>Inclusive<br/>Travel<br/>Dates</u> | <u>Report<br/>Submitted<br/>to AID</u> | <u>Approximate<br/>Days Late</u> |
|----------------------------------|-----------------------|---------------------------------------|--|----------------------------------|
| 202                              | Sudan                 | 9-21/10-08                            | 11-25                                  | 32                               |
| 203                              | Peru                  | 9-23/10-04                            | 11-14                                  | 25                               |
| 204                              | Nepal                 | 9-25/10-21                            | 11-24                                  | 18                               |
| 205                              | Jordan                | 10-27/11-11                           | o/a 12-05                              | 10                               |
| 206                              | PDP I                 |                                       |  |                                  |
| 207                              | PDP I                 |                                       |  |                                  |
| 208                              | Turkey                | 11-04/11-14                           | 1-28                                   | 60                               |
| 209                              | Haiti                 | 11-10/11-21                           | 1-23                                   | 47                               |
| 210                              | Nigeria               | 12-06/12-21                           | 5-21                                   | 135                              |
| 211                              | Great Britain         |                                       |  |                                  |
| 212                              | Jordan                | 1-26/2-12                             | 3-13                                   | 14                               |
| 213                              | Brazil                | 2-09/2-20                             | 3-17                                   | 10                               |
| 214                              | Peru                  | 1-11/1-21                             | o/a 2-02                               | 0                                |
| 215                              | Sudan                 | 2-11/2-26                             | 6-02                                   | 79                               |
| 216                              | Nepal                 | 3-01/3-14                             | 5-22<br>and<br>6-01                    | 53                               |
| 217                              | Haiti                 | 3-11                                  | 6-11                                   | 75                               |
| 218                              | Pakistan              | 3-05                                  | 5-13                                   | 53                               |
| 219                              | Turkey                | 3-15/3-21                             | 5-18                                   | 42                               |
| 220                              | Dominican<br>Republic | 3-16/3-19                             | 4-27                                   | 23                               |
| 221                              | Nigeria               | 1-22/1-29                             | 5-21                                   | 88                               |
| 222                              | India                 | 3-16/3-22                             | 4-27                                   | 20                               |
| 223                              | Peru                  | 4-21/4-25                             | 5-07                                   | 0                                |
| 224                              | Brazil                | 5-11/5-18                             | 5-28                                   | 0                                |

**Appendix J**

**COUNTRY STRATEGIES, BATTELLE EVALUATION**

Appendix J

COUNTRY STRATEGIES, BATTELLE EVALUATION

| <u>Country</u> | <u>End of Initial Contact</u> | <u>Status of Documents</u> |                 |                       | <u>Approved</u>            |
|----------------|-------------------------------|----------------------------|-----------------|-----------------------|----------------------------|
|                |                               | <u>Under Preparation</u>   | <u>In Draft</u> | <u>In Final Draft</u> |                            |
| Brazil         | 2-20-81                       |                            | 5-31-81         |                       |                            |
| Haiti          | 11-21-80                      |                            |                 | 5-31-81               |                            |
| Peru           | 10-04-80                      |                            |                 | 5-31-81               |                            |
| Nigeria        | 12-21-80                      |                            | 5-31-81         |                       |                            |
| Sudan          | 10-08-80                      |                            | 3-31-81         | 5-31-81               | Draft Approved<br>by AID/K |
| Jordan         | 11-11-80                      |                            |                 | 5-31-81               |                            |
| Turkey         | 11-14-80                      |                            |                 | 5-31-81               |                            |
| Nepal          | 10-21-80                      |                            | 3-31-81         | 5-31-81               |                            |
| Senegal        | 5-11-81                       | 5-31-81                    |                 |                       |                            |
| Togo           | 5-14-81                       | 5-31-81                    |                 |                       |                            |

Appendix K  
TIME DISTRIBUTION RECORD, P-14465

