

15N 53066

This is the eight quarterly report for the International Research Awards Program on the Determinants of Fertility in Developing Countries.

The eighth quarter was devoted to three objectives: (1) continued proposal generation, receipt, review and subagreement preparation (including a Peer Review and a Program Committee meeting); pursuit of resolution of the CEBRAP/CEDEPLAR (81/0971) clearance denial; and concluding an amendment to extend the program.

Proposals

Preliminary Proposals

Between March 2, 1982 and July 1, 1982, 39 preliminary proposals were received. Attached is a list of proposals and reviewers (Nos. 82/035 to 82/072). At the August 5-6, 1982 Program Committee meeting, ten of these investigators were invited to submit full proposals. A summary table giving locations of institutions and populations to be studied for preliminary proposals received and invited during this period (panels A & B) and cumulatively for the program for proposals submitted through July 1, 1982 (panels C & D) is attached. A list of the invited proposals by region is also attached. (Note that invited proposals 82/050 and 82/057 were proposals that received technical assistance in the field by O. Frank and A. Mundigo respectively. See the trip reports attached to the sixth quarterly report for proposal 82/050 and the seventh quarterly report for proposals 82/057.)

Full Proposals

The Peer Review Committee met on July 15, 1982 to review the ten proposals received between 2 March and 24 June 1982. A list of the proposals and reviewers and a summary table of the location of the PI's institution and population to be studied is appended.

The Peer Review Committee recommended funding 2 proposals, deferring one, and rejecting the remaining seven. A list of the recommendations is attached. The Program Committee confirmed the Peer Reviewers' recommendations.

The minutes of the Program Committee meeting are appended.

Concurrence Issues

The attached minutes reflect the discussion on the issues of concurrence, especially regarding the CEBRAP/CEDEPLAR proposal (81/0971) and the Nancy Levine proposal (81/0651) in Nepal. Attached are copies of the memo to the Council President, G. Zeidenstein, from the Program Committee Chairman, A. Coale; G. Zeidenstein's letter to the U.S. Ambassador to Brazil, Langhorne A. Motley; the Ambassador's reply; and G. Zeidenstein's letter to J. Jarret Clinton of USAID. The proposers in both cases were informed that funding would not be forthcoming because of lack of

concurrence by USAID/Washington in the case of the CEBRAP/CEDEPLAR proposal and because lack of concurrence by the Government of Nepal in the case of the N. Levine proposal.

Extension of the Cooperative Agreement

Negotiations continued on extension of the Cooperative Agreement. It appears that an extension beyond five years will have to be separately considered, probably in the next government fiscal year.

Administrative Matters

A table indicating letters of inquiry handled in the quarter and since the initiation of the program is appended. The 86 mailed inquiries were in addition to contacts on proposals received, subagreement negotiations, etc.

A number of approved proposals, with clearances, are in a holding status until a decision on extension of the program is reached. Subagreements cannot be approved by USAID's contracts office if the ending date extends beyond the Cooperative Agreement termination of 29 September 1983.

C. Keely, the Program Manager, was on assignment for the Council from 13 June to 3 September 1982. M. Cain, who is part of the program staff was acting manager in his absence. The project manager (USAID) was informed of C. Keely's assignment, briefed on organizational arrangements and pending issues and the Council's proposal for M. Cain to act as manager. There was agreement that the arrangement was acceptable. C. Keely had the opportunity while resident in Jordan and on a trip to Egypt to discuss the program with a number of scholars. These were mainly information meetings. No potential proposers had projects in mind or asked for assistance in proposal generation.

Next Quarter

The next quarter's tasks include: proposal generation, receipt, review and subagreement preparation, especially clearing the backlog of subagreements awaiting a decision on extension; technical assistance and monitoring of proposals; implementing the decision on the extension request.

Attachments

List of 39 preliminary proposals received and reviewed
Table on preliminary proposals invited and received in the quarter and cumulatively
List of invited full proposals by region
List of full proposals received and reviewed
Summary table on location of PIs and population to be studied of full proposals received in quarter
List of Peer Review recommendations on full proposals reviewed
Minutes of Program Committee
Memos and correspondence re CEBRAP/CEDEPLAR proposal
Table regarding inquiries received in quarter and cumulatively

DETERMINANTS OF FERTILITY RESEARCH AWARDS PROGRAM

AUGUST 1982

Preliminary Proposals: Assignment for Review

PROGRAM COMMITTEE'S DECISION:
AUGUST 5-6, 1982

ASSIGNMENT

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Received	Program / Committee/ Staff
82/035 NO	Rhodelia L. Gabriel	Human Ecology Institute, University of the Philippines at Los Banos	Marriage Patterns in Three Selected Philippine Communities: A Micro-demographic Sociobiological Perspective	3/8/82	Bulatao/ Lieban Frank Seeley
82/036 NO	Francis C. Madigan	Mindanao Center for Pop. Studies, Research Institute for Mindanao Culture, Xavier Univ., Phil.	A Study for Policy Considerations of the Effects of Psycho-social Factors in Relation to Decisions Upon Fertility by Fertile Couples (Philippines)	4/13/82	Miro/ Bulatao Hollerbach
82/037 NO	Zeev Ben-Sira	The Israel Inst. of Applied Social Research, Jerusalem, Israel	The Process of Family Formation and Development: Determinants of Fertility and Baseline for Population Policy-- A Follow-up behavioral study (Israel)	4/14/82	Youssef/ Finkle Frank Seeley
82/038 NO	James Siagian	Tanjungpura University, Pontianak, Indonesia	The Fertility and Mortality of the Daya Punan Tribe (Indonesia)	4/26/82	Lapham/ Coale Jain
82/039 NO (But Encourage another prelim.)	Hildegard Ruzibiza	Population Centre for Research and Trn., Department of Demography, Min. of Interior, Bujumbura, Burundi	Determinants of Fertility in Burundi	5/25/82	Coale/ Freedman Frank Seeley
82/040 NO	E.B. Sundaram	Naujhil Integrated Rural Project for Health & Development (NIRPAD), India	Some Biosocial Correlates of Human Fertility	5/28/82	Bulatao/ Lieban Hollerbach
	J.S. Gill	↔ All India Inst. of Medical			
	K.R. Sundaram	↔ Sciences, Ansari Nagar, New Delhi, India			
82/041 INVITE	V.K. Ramabhadran	Family Planning Foundation, New Delhi, India	Diagnostic Study of Population Growth Rates and Family Planning in Six States in a Development-Oriented Perspective (India)	6/7/82	Freedman/ Finkle Jain
82/042 NO	D.S. Obikeze	University of Nigeria, Nsukka, Nigeria	Child Survival, Health Services and Fertility in Eastern Nigeria	6/11/82	Coale/ Youssef Frank Seeley
82/043 NO	N. Ndiaye A. Sadio A. Sy	Bureau National du Recensement, Ministere de L'Economie et des Finances, Dakar, Senegal	Etude des Facteurs Differentiels de la Fecondite (Senegal)	6/16/82	Lapham/ Demeny Frank Seeley

DETERMINANTS OF FERTILITY RESEARCH AWARDS PROGRAM

AUGUST 1982

Preliminary Proposals: Assignment for Review

ASSIGNMENT

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Received	Program / Committee/	Staff
82/044 NO	B.C. Mehta	University of Rajasthan, India	Study of Fertility Decisions in a small community in Rajasthan: A Cost-Benefit Analysis (India)	6/18/82	Bulatao/ Finkle	Nag
82/013 (prelim. revised) NO	Mario E. Fernandez Manuel Solis Nancy Cartin Otto Calvo	Instituto de Investigaciones Sociales, Universidad de Costa Rica	Desarrollo Economico, Formas Productivas Agrarias y Fecundidad en Costa Rica	6/21/82	Miro/ Youssef	Frank Seel
82/045 NO	P.K. Ariyasena	Bandung School of Social Welfare, Bandung, Indonesia	Determinants of Marriage Patterns in Indonesia	6/21/82	Lieban/ Lapham	Nag
82/046 NO	I.M. Shoaib	Tanta University, Egypt	Differential Role of Husbands and Wives in Fertility and Birth Control in Gharbia Governorate, Egypt	6/22/82	Youssef/ Bulatao	Hollerbach
82/047 NO	Nadir Abdulkadir	Lembaga Demografi, Fakultas Ekonomi, Universitas Syiahkuala, Indonesia	Fertility Behavior of Gayo Tribe (Indonesia)	6/24/82	Freedman/ Lieban	Cain
82/048 NO	Aleyamma George V.C. Mathew Roy	Centre for Mathematical Sciences, Vazhuthacaud, Trivandrum, Kerala State, India Medical College Hospital, Trivandrum, Kerala State, India	Study of Fertility Decline in South West India and the Factors Responsible for it	6/24/82	Freedman/ Lapham	Jain
82/049 INVITE	Monica Das Gupta	National Council of Applied Economic Research, New Delhi, India	Environmental Risks, Fallback Mechanisms, and Fertility Behaviour in Rural India: Four Community-Level Case Studies	6/24/82	Coale/ Miro	Nag

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DETERMINANTS OF FERTILITY RESEARCH AWARDS PROGRAM

Preliminary Proposals: Assignment for Review

AUGUST 1982

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Received	ASSIGNMENT	
					Program / Committee/	Staff
82/057 INVITE	Carlos Aramburu Marta Tienda Alberto Palloni	← Pontificia Universidad Catolica, Lima, Peru ← Univ. of Wisconsin, Madison " " "	Institutional Determinants of Family Formation in Peru: National and Local Perspectives	6/29	Miro/ Demeny	Hollerbach
82/058 NO (But encour. another prelim.)	John W. Townsend Aaron Lechtig Robert E. Klein Juna Jose Arroyo	← Instituto de Nutricion de Centro America y Panama (INCAP), Guatemala/Ministry of Public Health & Social Welfare of Guatemala	The Evaluation of Family Planning Services in the Context of a Integrated System of Nutrition and Primary Health Care (Guatemala)	6/29	Miro/ Freedman	Hollerbach
82/059 NO	S.D. Pandey	Indian Federation of United Nations Associations, New Delhi, India	Determinants of Fertility in Developing Countries with special reference to slums and rural areas of North Delhi: detailed study in small communities of the economic costs and benefits of children	6/29	Finkle/ Lapham	Cain
82/060 NO	Ghyasuddin Ahmed Md. Shahidullah	National Institute of Preventive and Social Medicine, Dacca, Bangladesh	Determinants of Marriage Patterns in Bangladesh	6/30	Bulatao/ Youssef	Cain
82/061 NO	Oebed Soekirmanto Soemiat-Rijanto Abdul Halim	Jember University, East Java, Indonesia	Determinants of Fertility in Indonesia	6/30	Freedman/ Coale	Cain
82/062 NO	Susan H. Mott Lawrence A. Brown	Ohio State University, Worthington, Ohio	Contextual and Individual Effects on Fertility in Third World Settings (Costa Rica, Ecuador, Venezuela)	6/30	Lapham/ Miro	Hollerbach
82/063 INVITE	Robert A. Hackenberg Beverly H. Hackenberg Henry F. Magalit	← Univ. of Colorado, Boulder/ Davao Research & Pln. Foundation, Philippines ← Univ. of the Philippines, Los Baños	Diffuse Urbanization, Mobility and Fertility in Mindanao (The Philippines)	6/30	Lieban/ Demeny	Jain

Preliminary Proposals: Assignment for Review

ASSIGNMENT

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Received	Program / Committee/	Staff
82/064 NO (But encourage another prelim.)	Peter Kunstadter	East-West Center, Hawaii	Culture and Fertility in Northern Thailand	7/1	Youssef/ Bulatao	Nag
82/065 NO	M. Sivamurthy H.M. Marulasid- daiah	Karnatak Univ., Dharwad, India Bangalore Univ., Bangalore, India	Fertility Performance and Perspectives of Primary School Teachers in Rural Karnataka (India)	7/1	Youssef/ Finkle	Nag
82/066 INVITE	Che-Fu Lee Ruhul Amin M.R. Khan	← The Catholic Univ. of America ← Morgan State Univ., Baltimore ← Bangladesh Inst. of Dev. Studies	Determinants of Couple's Ages at Marriage and Fertility in Bangladesh Villages	7/1	Lapham/ Miro	Cain
82/067 NO	John C. Belcher	University of Georgia	The Potential Acceptance of a Male Contraceptive in the Dominican Republic	7/6	Youssef/ Miro	Hollerbach
82/068 NO	Ho-Youn Kwon	Utah State University/Korea Institute for Pop. & Health	Social, Economic Stability and Marriage Patterns in Korea	7/6	Demeny/ Lieban	Nag (Nortman)
82/069 INVITE	James Roum- asset Robert Even- son	← Yale University/Univ. of Hawaii ← Yale University	Rural Labor Markets (Philippines and Thailand)	7/6	Finkle/ Coale	Cain
82/070 NO	Mahesh Sharma	Georgetown University	A Cross-Cultural Study of Behavioral and Structural Constraints Influencing Contraceptive Use (data from Bangladesh, Mexico, Rep. of Korea)	7/6	Bulatao/ Lieban	Hollerbach
82/071 INVITE	James P.M. Ntozi John B. Kabera John Sseka- matte-Ssebuliba	Makere University, Kampala, Uganda	The Value of Children as a Major Influence on Fertility in Uganda: A Case Study of Ankole	7/6	Bulatao/ Lapham	Frank Seeley
82/072 INVITE	Devendra Raj Panday Prem Jung Thapa Ram Prasad Risal Lauria Zivetz	Integrated Development Systems Kathmandu, Nepal	The Effects of Family Size on Household Income and Wealth: Some Exploratory Issues on the Value of Children in Rural Nepal	7/7	Finkle/ Demeny	Cain

AUGUST 1982

LIST OF PROPOSALS INVITED - As a result of decisions made
at August 1982 Program Committee Meeting

Location of Population to be Studied	No.	Name(s) of Applicant(s)	Title of Proposal
ASIA	<u>Developing Institution</u>		
	82/041	V.K. Ramabhadran	Diagnostic Study of Population Growth Rates and Family Planning in Six States in a Development-Oriented Perspective (India)
	82/049	Monica Das Gupta	Environmental Risks, Fallback Mechanisms, and Fertility Behaviour in Rural India: Four Community-Level Case Studies
	82/072	Devendra Raj Panday Prem Jung Thapa Ram Prasad Risal Lauria Zivetz	The Effects of Family Size on Household Income and Wealth: Some Exploratory Issues on the Value of Children in Rural Nepal
	<u>Collaboration</u>		
	82/053	Pudjo Rahardjo Terrence Hull John D. Conroy Lualhati Bost	Ten Years of Family Planning in Indonesia
	82/063	Robert A. Hackenberg Beverly H. Hackenberg Henry F. Magalit	Diffuse Urbanization, Mobility and Fertility in Mindanao (The Philippines)
	82/066	Che-Fu Lee Ruhul Amin M.R. Khan	Determinants of Couple's Ages at Marriage and Fertility in Bangladesh Villages
	82/069	James Roumasset Robert Evenson	Rural Labor Markets (Philippines and Thailand)
	AFRICA	<u>Developing Institution</u>	
82/071		James P.M. Ntozi John B. Kabera John Ssekamatte- Ssebuliba	The Value of Children as a Major Influence on Fertility in Uganda: A Case Study of Ankole
<u>Collaboration</u>			
	82/050	Nassour Ouaidou Francine van de Walle	A Longitudinal Study of Postnatal Behavior in Two Sahelian Cities: Bamako (Mali) and Bobo-Dioulasso (Upper Volta)

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LATIN
AMERICA

Collaboration
82/057

Carlos Aramburu
Marta Tienda
Alberto Palloni

Institutional Determinants of
Family Formation in Peru:
National and local Perspectives

Determinants of Fertility Research Awards Program

Distribution of Preliminary Proposals

A. Submitted between March 2, 1982 - July 1, 1982

Location of Principal Investigator's Institution	LOCATION OF POPULATION TO BE STUDIED					TOTAL
	Asia	Africa	L.A.	M.E.	Multip.	
Developing	18	5	2	2	0	27
Collaboration*	5	1	2	0	0	8**
Developed	1	0	2	0	1	4
TOTAL	24	6	6	2	1	39

* Collaboration indicates a cooperative effort between a developing and a developed country institution.

**Developed countries included in collaboration include: 7 in U.S. and 1 in Australia.

B. Invited to submit full proposal: based on decisions of August 5-6, 1982 Program Committee Meeting

Location of Principal Investigator's Institution	LOCATION OF POPULATION TO BE STUDIED					TOTAL
	Asia	Africa	L.A.	M.E.	Multip.	
Developing	3	1	0	0	0	4
Collaboration*	4	1	1	0	0	6**
Developed	0	0	0	0	0	0
TOTAL	7(24)	2(6)	1(6)	0(0)	0(0)	10(39)

*Collaboration indicates a cooperative effort between a developing and a developed country institution.

**Developed countries included in collaboration include: 5 in U.S. and 1 in Australia.

Determinants of Fertility Research Awards Program

Distribution of Preliminary Proposals, Continued

C. Start of Program - July 1, 1982

Location of Principal Investigator's Institution	LOCATION OF POPULATION TO BE STUDIED					TOTAL
	Asia	Africa	L.A.	M.E.	Multip.	
Developing	60	30	17	7	1	115
Collaboration*	42	7	11	1	6	67
Developed	13	1	5	1	8	28
TOTAL	115	38	33	9	15	210

*Collaboration indicates a cooperative effort between a developing and a developed country institution.

D. Invited to submit full proposal: beginning of Program - August 5, 1982
Program Committee Meeting

Location of Principal Investigator's Institution	LOCATION OF POPULATION TO BE STUDIED					TOTAL
	Asia	Africa	L.A.	M.E.	Multip.	
Developing	14	7	7	0	0	28
Collaboration*	24	5	5	1	3	38
Developed	4	0	0	0	4	8
TOTAL	42(115)	12(38)	12(33)	1(9)	7(15)	74(210)

*Collaboration indicates a cooperative effort between a developing and a developed country institution.

DETERMINANTS OF FERTILITY RESEARCH AWARDS PROGRAM

Full Proposals: Assignment for Review

JULY 1982

ASSIGNMENT

PROGRAM COMMITTEE'S DECISION:
AUGUST 5-6, 1982

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Received	Peer Review/ Committee/	Staff
81/0721 TO FUND	Tim Dyson Ramesh Kanbarg	London School of Economics Inst. for Social and Economic Change, Bangalore, Karnataka India	Support for the Elderly and its Implications for Fertility Behaviour in Southern Karnataka	3/18/82	Urzua/ Boulier	Hollerbach
81/0341 DIS- APPROVAL	Alberto Hernan- dez Garcia	FEDESARROLLO, Colombia	A Comprehensive Model to Explain Fertility Determinants, Levels and Changes: Demographic, time, spatial and Socioeconomic Influences on Fertility	4/20/82	Boulier/ Urzua	Jain
81/1351 DIS- APPROVAL	Philippe Fargues	Centre Ivoirien de Recherches Economiques et Sociales (CIRES)	The Function of the Child in the Ivory Coast and its Evolution	6/3/82	Bumpass/ Newman	Frank Seele
81/0941 DIS- APPROVAL	Jean Brainard	University of Utah	The Effects of Sedentarization on the Levels and Determinants of Fertility in Nomadic Popu- lations (Kenya)	6/11/82	Newman/ Bumpass	Nag
81/1201 * DEFER	Lawrence Adefemi Adeokun	University of Ife, Ile-Ife Nigeria	Sub-ethnic Variations in Breastfeeding, Marital Sexual- ity and Fertility in Yoruba- land (Nigeria)	6/11/82	Newman/ Verma	Frank Seele
82/0251 DIS- APPROVAL	David M. Heer Virginia Rodriguez de Ortega	University of Southern California Direccion General de Estadistica y Censos, Ministerio de Economia, Industria y Comercio, Costa Rica	The Impact of Child-Mortality Level on Fertility Behavior and Attitudes in Costa Rica	6/21/82	Urzua/ Bumpass	Hollerbach
81/1381 DIS- APPROVAL	Patricia Day Bidingger Bhavani Nag Daphne DeRebello	Institute for Rural Health Studies, Hyderabad India Ministry of Education, Hydera- bad, India	A Comparative Analysis of Parental Decision-Making and Allocation of Resources among Children in Rural South India	6/24/82	Namboodiri/Nag Verma	

* A decision was deferred on an earlier version of the full proposal.

DETERMINANTS OF FERTILITY RESEARCH AWARDS PROGRAM

Full Proposals: Assignment for Review

JULY 1982

ASSIGNMENT

No.	Name(s) of Applicant(s)	Institutional Affiliation	Title	Date Peer Review/ Received Committee/	Staff
12/027I TO FUND	Barbara Entwisle Albert Hermalin William Mason	The Population Studies Center, University of Michigan	The Suitability of 1960s KAP Surveys for Comparative Analysis	6/24/82	Namboodiri/ Jain Verma
81/131I DIS- APPROVAL	S.B. Mani S. Sundaram	Slippery Rock State College, Pennsylvania University of Madras, India	Value of Children to Indian Parents	6/28/82	Boulter/ Nag Namboodiri
82/024I DIS- APPROVAL	James A. Palmore Joung-Im Kim Kyung Koon Chung Sung Jin Lee	East-West Pop. Inst., Hawaii Stanford University Seoul National Univ., Korea Korean Institute for Research in the Behavioral Sci., Seoul	A Longitudinal Study of Social Networks and Family Planning in Korea	7/6/82	Namboodiri Bumpass/ Frank Seeley Newman

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Determinants of Fertility Research Awards Program

Distribution of Invited Proposals Received

Between March 2, 1982 - June 28, 1982

Location of Principal Investigator's Institution	<u>LOCATION OF POPULATIONS TO BE STUDIED</u>					
	Asia	Africa	L.A.	M.E.	Multip.	Total
Developing	1	2	1	0	0	4
Collaboration*	3	1	1	0	0	5**
Developed	0	0	0	0	1	1
TOTAL	4	3	2	0	1	10

* Collaboration indicates a cooperative effort between a developing and a developed country institution.

** Developed countries included in collaborations consist of 4 in the United States and 1 in the United Kingdom.

International Research Awards Program on the Determinants of Fertility in Developing Countries

PEER REVIEW COMMITTEE'S RECOMMENDATIONS (July 15, 1982 Meeting)

Priority Ranking	No.	Title of Proposal	Location of Pop. to be Studied	Principal Investigator(s)	Institutional Affiliation(s)	Length (years)	Total cost of Subordinate Agreement (US\$)
A. APPROVAL = warrants support (Nos. 81/072I, 82/027I)							
1	81/072	Support for the Elderly and its Implications for Fertility Behavior in Southern Karnataka	India	-Tim Dyson -Ramesh Kanbergi	-London School of Economics -Institute for Social and Economic Change, Karnataka, India	2 yrs. 4 mos. (March 1983- June 1985)	66,600
2	82/027	The Suitability of 1960s KAP Surveys for Comparative Analysis	Multiple countries	-Barbara Entwisle -Albert Hermalin -William Mason	-The Population Studies Center, University of Michigan	8 mos. (Jan. 1983- Aug. 1983)	59,741
B. DEFER DECISION (No. 81/120I: The Program Committee deferred a decision on an earlier version of the full proposal.)							
	81/120	Sub-ethnic Variations in Breastfeeding, Marital Sexuality and Fertility in Yorubaland	Nigeria	-Lawrence Adefemi Adeokun	-University of Ife, Ile-Ife, Nigeria	2 yrs. (?)	296,020
C. DISAPPROVAL (Nos. 81/034I, 094I, 131I, 135I, 138I; 82/024I, 025I)							

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**Research Awards Program on the Determinants
of Fertility in Developing Countries**

**SUMMARY REPORT
Program Committee Meeting
August 5-6, 1982**

Present: A. Coale, R. Bulatao, P. Demeny, J. Finkle, R. Freedman, R. Lapham, R. Lieban, C. Miro (Program Committee); M. Cain, O. Frank Seeley, P. Hollerbach, A. Jain, M. Nag, E. Hofstatter, L. Jacobs (Program Staff); J. Seltzer (USAID).
[G. Zeidenstein, President of the Population Council and D. Gillespie, Acting Associate Director, Office of Population, USAID, were present for the August 5 morning discussion only.]

Ansley Coale convened the meeting and welcomed everyone.

A. Announcements

1. New Program Committee members Rodolfo Bulatao, Jason Finkle, and Ronald Freedman were introduced.
2. Dr. Coale announced that Mead Cain is the Acting Program Manager while Charles Keely is on assignment in Jordan.
3. Mead Cain introduced Judith Seltzer of USAID who has replaced William Jansen (on assignment in Pakistan) as Program Manager for USAID.
4. Mead Cain told the Committee that the staff will draft a paper that discusses plans for monitoring of projects and dissemination activities. The paper will be sent to Committee members and a discussion of these issues will be on the agenda for the next Program Committee meeting.
5. Staff travel: Moni Nag will be visiting India to promote interest in the Program and to provide technical assistance to researchers who have submitted preliminary proposals to the Program and have been invited to submit a full proposal.
6. Status of projects approved by the Committee:
 - a. Ellen Hofstatter distributed a table that lists the proposals approved for funding at each of the Committee meetings to date and that shows the current status of the projects (underway/awaiting approval of subordinate agreement from USAID/agreement to be written).

Of a total of 15 projects approved, 4 have received all necessary clearance and are underway; 4 have been cleared but are awaiting final approval of the extension of the program to years 4 and 5; 5 have cleared all but the Contracts Office at USAID and, similarly, await final approval of the extension; one (81/065) failed to receive government clearance from Nepal; and 1 (81/097) was subsequently disapproved by USAID because it was judged not to be in the long term interests of the U.S. government. (Appended to this Summary Report is a list of approved proposals and their status as of August 5.)

- b. Regarding the extension of the Program to years 4 and 5, approval of the USAID Office of Population was received in May. Because of a heavy volume of summer work there were delays in moving the

extension through the Contracts Office. The Population Council has, however, been assured that the amendment will clear the Contracts Office in a matter of days.

- c. The Committee discussed the rejection of proposal 81/097 by USAID. The Committee received a memorandum outlining the sequence of events leading to this rejection and copies of three letters, one from D. Gillespie announcing the rejection, one from C. Keely asking for elaboration of the reasons for rejection and clarification of USAID's position with respect to the principle of independent peer review, and a reply from D. Gillespie indicating his wish to attend the August Program Committee meeting to discuss the points raised in C. Keely's letter.

The discussion opened with a brief presentation by Mead Cain reviewing the contents of the distributed memorandum; A. Coale followed with further background on the origins of the Research Awards Program, and the centrality, from the outset, of the principle of independent peer review to the Program, from the perspectives of USAID's Population Office, the Population Council, and the Program Committee Members.

In the case of the Brazil proposal, the Program Committee perceived a clear violation of that principle. The sentiments of the Program Committee, as distilled from the discussion, are presented in the attached memorandum from the Program Committee to George Zeidenstein, drafted by the Program Committee chairman, A.J. Coale.

Duff Gillespie, Acting Deputy Director of USAID Population Office, was asked by the Committee to elaborate on the reasons for USAID's ultimate rejection of 81/097 and to clarify the status of independent peer review in the Program from USAID's perspective.

D. Gillespie stated that the Population Office continues to uphold the principle of independent peer review and will do everything in its power to see that the principle is upheld by other parts of USAID in Washington and in the field. Unfortunately, however, decisions and behavior of U.S. Embassies and USAID missions are beyond the control of the Population Office in Washington. Despite the terms of the cooperative agreement between the Population Council and USAID, a U.S. Ambassador has veto power over U.S. expenditures in his/her country. In the case of the Brazil proposal, Gillespie admitted that the responsible embassy staff member handled things badly. However, although it was clear to Gillespie that issues of scientific merit entered into the local review of the proposal, he assured the Program Committee that he was satisfied that non-technical concerns had overriding importance in the Embassy's decision to decline clearance. Gillespie was unable to elaborate on the reasons for rejection -- beyond what was stated in his letter of July 8 -- because the reasons are classified confidential.

In subsequent discussion on the Brazil proposal the Committee considered what the content of any communication with the Brazilian principal investigators should be. It was decided that official

communication should be postponed pending attempts by the Population Council to gain a reversal of the negative decision. It was suggested that the Council might communicate directly with the U.S. Ambassador to Brazil and prevail upon him to reconsider the Embassy's decision. In order to minimize the chance of such incidents in the future, the Committee suggested that a review be carried out by the USAID Population Office of communications to the AID missions overseas regarding the terms and conditions of the Research Awards Program and the delegation of peer review authority to the Program Committee. A clear message to the field outlining the terms of the Cooperative Agreement may forestall the occurrence of future mission interference on matters of scientific merit.

(Appended to this summary report are: letter from Gillespie to Keely dated June 8; letter from Keely to Gillespie dated June 11; letter from Gillespie to Keely dated July 28; cable from Pinotti; memorandum from Mead Cain to Program Committee; memorandum from Program Committee to George Zeidenstein.)

- d. The Committee discussed the rejection of proposal 81/065 by the Government of Nepal. This proposal, approved at the April 1982 meeting of the Program Committee, failed to receive Government of Nepal clearance for the reasons detailed in the attached letter from Dr. P.D. Pant, of the National Commission on Population to David Mutchler of USAID/Kathmandu. Nancy Levine suggested some revisions to her original proposal in response to the Commission's comments, however, these were deemed inadequate and the Commission adhered to its initial negative position. Although the overriding reason for rejection in this case was failure to obtain Government of Nepal clearance, both the Program Staff (see the letter from Keely to Jansen of June 9) and the Committee were disturbed by clear signs of interference in matters of scientific merit by the USAID/Kathmandu staff.

(Appended to this Summary Report are: letter from Pant to Mutchler dated May 10; cable from U.S. Embassy/Nepal to Jansen; letter from Levine to Keely dated June 4; letter from Keely to Jansen dated June 9; letter from National Commission on Population to Mutchler dated July 11.)

B. Full Proposals

Prior to the meeting, the Committee was sent copies of the Peer Review Committee's reviews and recommendations and summaries of both the reviews and discussions of full proposals taken up in the Peer Review Committee meeting on July 15. Ten full proposals were considered by the Program Committee. Two were approved for funding: 81/072I and 82/027I. In addition, the Committee re-evaluated a full proposal, submitted by Robert Levine, in light of the proposed change in research site from India to Mexico. The decision was to approve phases 2 and 3 of the project (phase 1 is currently receiving support under contract no. CP81.61A). The Committee concurred with the recommendation of the Peer Review Committee to

once again defer a decision on proposal number 81/120 pending the researcher's further modification in the proposed research design.

(Appended to this Summary Report is a list of the full proposals and the Committee's decisions.)

C. Preliminary Proposals

Copies of the written reviews for the 39 preliminary proposals were distributed. Based on the discussions, ten full proposals will be invited. Of the preliminary proposals that were not successful, the principal investigators of 3 of the proposals will be sent letters encouraging another preliminary proposal (82/039, 82/058, 82/064).

(Appended to this Summary Report is a list of the preliminary proposals and the Committee's decisions.)

D. Other Business

Date of the next meeting: December 16-17.

Mead Cain

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON DC 20523

June 8, 1982

Dr. Charles Keely
Population Council
One Dag Hammarskjold Plaza
New York, NY 10017

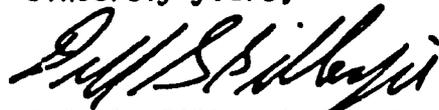
Dear Dr. Keely:

In carrying out the research awards program in cooperation with the Population Council, A.I.D. reserves the right to turn down research programs which are determined not to be in the long term interest of the U. S. Government. I am sorry to inform you that the proposal No. 81/097 of Berquox, et al, submitted by CEBRAP and CEDEPLAR entitled, "Determinants of Fertility Change in Brazil," falls into this category. A.I.D. is, therefore, not able to concur in its execution.

When you inform the Brazilian submitters, please make clear that this proposal was not approved by A.I.D./Washington.

I am sorry that we were unable to respond positively to this proposal. We apologize for any inconvenience this decision may have caused you and your colleagues.

Sincerely yours,



Duff G. Gillespie, Ph.D.
Acting Associate Director
Office of Population

The Population Council

Center for Policy Studies

One Dag Hammarskjold Plaza
New York, New York 10017
Cable: Popocouncil, New York
Telephone (212) 644-1300
Telex: 234722 POCO UR

June 11, 1982

Dr. Duff G. Gillespie
Acting Associate Director
Office of Population
United States International Development
Cooperation Agency
Agency for International Development
Washington, D.C. 20523

Dear Dr. Gillespie:

Your letter of June 8, 1982 concerning the CEBRAP/CEDEPLAR proposal (81/097) under the Research Awards Program on the Determinants of Fertility, is disconcerting. The Population Council and, I feel confident to say, the members of the Program Committee never had any intention of approving research proposals that are not in the long-term interests of the US Government. We operate under the assumption that scientific knowledge about determinants of fertility in a world of continued rapid population growth speaks to issues associated with those interests. Your letter provides no guidance as to how this proposal runs counter to such interests. I will greatly appreciate your clarification as to why this proposal is unacceptable to AID/Washington so that I might inform the proposers and the Committee of these reasons for nonconcurrence to this particular proposal by your Office. Your clarification of this matter should also be helpful as guidance in future Committee decision making.

In Appendix A, Section B, 2.3 of the negotiated agreement, there is the statement: "Awards will be made by decision of the Program Committee on the basis of the Peer Review Committee's recommendations and the purposes of this program (outlined in Section A above and in the Recipient's technical proposal) subject only to the requirements of foreign assistance legislation." The operative issue, of course, is the language and interpretation of foreign assistance legislation which, I assume, you implicitly invoke in the opening sentence of your letter. For AID to reserve the right to turn down research programs which are determined not to be in the long-term interests of the US Government without clarification would allow for the possibility of judgments of scientific merit and content (research design, analytic frameworks, data to be used) which are the responsibility of the Program Committee according to the agreement, to be reversed. In that case, judgments of scientific merit would not necessarily be solely the responsibility of the Program Committee, whose membership AID and the Population Council mutually agree to. Is there some way by which we can also agree as to the bounds of interpreting the phrase "the requirements of foreign assistance legislation" and as to the scope of the stated function and responsibilities of the Program Committee in decisions on awards?

I thank you for your apology for any inconvenience that your decision may cause. I hope we can minimize problems for the proposers, the Program Committee members, the Population Council, and USAID which we undoubtedly will face. I look forward to your reply in order to accomplish that task.

Sincerely,



Charles B. Keely
Program Manager

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON DC 20523

July 28, 1982

RECEIVED

AUG 2 1982

Dr. Charles B. Keely
Program Manager
The Population Council
One Dag Hammarskjold Plaza
New York, NY 10017

Dear Dr. Keely:

This is in response to your letter of June 11, 1982, in which you asked for further clarification concerning the reasons why A.I.D./Washington did not approve the CEBRAP/CEDEPLAR proposal (81/097).

The issues you raised are very important. I would like to discuss them with you and your colleagues at the August meeting of the Program Committee. Let me add that the Agency values the critical role the Council has played in the population field and especially its leadership in population research. We certainly anticipate the Council continuing its vital role, and it is in that context that I would like to discuss the Determinants of Fertility project.

I look forward to seeing you next week.

Sincerely,



Duff G. Gillespie, Ph.D.
Acting Associate Director
Office of Population

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McAin

MR GEORGE ZEIDENSTEIN
POPULATION COUNCIL
NEW YORK - NY - USA

DEAR GEORGE:

EXPRESSING DEEP CONCERN REGARDING PROJETO CEBRAP - SEDEPLAR
APPROVED CONTEST INFERTILITY DETERMINANTS.

I KNOW WELL HIGHLY QUALIFIED RESEARCHERS INVOLVED. I AM HAPPY
TO LEARN PROJECT'S APPROVAL BY POPULATION COUNCIL. I AM
WORRIED FACTS I KNOW ABOUT INVOLVING INTERFERENCE IN PROJECT
EXECUTION. AS MEMBER OF BOARD OF TRUSTEES I WOULD LIKE TO
PREVENTIVELY EXPRESS MY CONCERN ON THE ISSUE.

REGARDS,

DR. JOSE ARISTODEMO PINOTTI

1911t0UCPS BR
TRANS. FOR NEUSA 30.07.82 CAMPINAS-SP-BRASIL

MEMORANDUM

TO: Program Committee Members

FROM: Mead Cain (Acting Program Manager)

SUBJECT: Proposal No. 81/097: "Determinants of Fertility in Brazil,"
Elza Berquo of CEBRAP and Jose Carvalho of CEDEPLAR

As you recall, the subject proposal was approved by the Program Committee at its April meeting this year. A letter was sent to Berquo and Carvalho informing them of the Committee's decision, and also informing them that funding was subject to clearance by the U.S. authorities in Brazil. In accordance with normal procedures, a copy of the proposal, along with a request for review and concurrence, was forwarded by AID/Washington to the U.S. Embassy in Brazil. Subsequently we received the enclosed letter from Duff Gillespie of AID/Washington, dated June 8, informing us that funding the proposal had been determined not to be in the long-term interest of the U.S. Government, and that AID, therefore, could not "concur in its execution."

This decision by AID, particularly in the absence of some elaboration as to how funding the proposal would be contrary to the long-term interests of the U.S. Government, puts us in an awkward position with the Brazilian researchers. The situation is further complicated because the U.S. official in Brazil responsible for AID activities there, after receiving the proposal and request for concurrence in April, took it upon himself to approach the Brazilian researchers with objections concerning the content and orientation of the proposal and suggestions for change. Given the subsequent rejection of the proposal, the overture by the U.S. official gives the appearance, at least, that questions of scientific merit may have influenced the ultimate decision to reject the proposal, in effect overruling the professional evaluation of the Peer Review and Program Committees. This perception — possibly shared by Brazilian professionals aware of the proposal — is reflected in the enclosed cable received by the Population Council from Dr. Jose Aristodemo Pinotti, the Brazilian member of the Population Council Board of Trustees.

In order to obtain more information on the reasons for non-concurrence and to seek reaffirmation of the principle of independent peer review, Charles Keely sent the enclosed letter, dated June 11, to Duff Gillespie. We received a reply from Gillespie on 2 August, and, as indicated, he would like to discuss the issues that Keely's letter raised with the Program Committee at its August meeting.

As yet, the Program staff has not informed the Brazilian researchers of AID's decision. The content of our communication with CEBRAP/CEDEPLAR, along with other issues raised by this sequence of events, will be the subject of discussion on Thursday morning.

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The Population Council

Rec'd AUG 11 1982

Office of the President

MEMO

To: George Zeidenstein, President, the Population Council

**From: The Program Committee on the Determinants of Fertility in
Developing Countries.**

Members of the Program Committee of the international research awards program on Determinants of Fertility in Developing Countries were deeply dismayed to hear, at the committee's August meeting, of AID's refusal to fund a project proposing to study factors affecting fertility in Brazil. This project had been approved by the regular procedure of peer review established by the Population Council in consultation with AID: a) a positive assessment by the Program Committee of the potential value of a preliminary proposal; b) a recommendation of acceptance by the special Peer Review Committee after intensive review of a full proposal; and c) endorsement, after further review by the Program Committee, of the Peer Review Committee's recommendations. In this instance, these steps were supplemented by personal conversations by the Council's Latin American representative, and by staff correspondence at the committee's suggestion, with the principal investigators.

Our dismay is the result of the inconsistency of this action by AID with the spirit of the agreement between AID and the Council. Both parties fully accepted the importance of genuinely independent expert peer review; the Council on its part invited to the Program Committee and the Peer Review Committee non-Council experts to avoid any risk that the Council staff might have unconscious preferences related to the Council's own program. The spirit of the agreement centered on the independence of the review procedures, and aimed to limit to non-technical aspects the exercise of AID's legal responsibility for final decision on grants or contracts, rather than allowing a second evaluation by AID of the scientific merit and promise of proposals. Members of the Program Committee agreed to serve in the understanding that peer review was the basis of selection among proposals.

The Committee's dismay (and indignation) is aggravated by two features of this action. First, an AID official in Brazil discussed technical details of the project with the proposed investigators, and urged changes in research strategy. Second, the refusal to fund was communicated to the Council only after a letter was sent in good faith notifying the investigators in Brazil of the favorable action of the two committees.

In the Committee's view, these aspects of the decision will create the belief in Brazil and elsewhere that funding was withheld because the research design preferences of the AID representative overrode the judgements of peer review. Such a belief will damage the future operations of the program as the story spreads through Brazil, through Latin

George Zeidenstein

- 2 -

August 9, 1982

America, and through the world demographic community. It will also be harmful to the Population Council's reputation, to other population programs in Brazil indirectly supported by the United States, and to the long run national interest.



Ansley J. Coale, Chairman
(for the Committee)

/jjh

National Commission on Population Secretariat

Singh Durrar,
Director,
Kathmandu, Nepal.
P. Box 1114
Date May 10, 1982

RJ. No. 119/12/132-82

Mr. David Hutchler, Ph.D. 1312
Special Assistant for Population
and Development Resources
US Agency for International Development
Kathmandu

Dear Dr. Hutchler:

Subject: Dr. Nancy E. Levine's Proposal

This is in response to your letter and its attachment to Hon'ble Mr. Kul Shekhar Sharma, Vice-Chairman, National Commission on Population dated April 28, 1982 in which you requested our review and concurrence on the proposal "Household Dynamics and Fertility in Rural Nepal" submitted to the Population Council for funding under AID Project No. 932-0643.3. Allow me first of all to thank you for sharing Dr. Levine's proposal with us.

The proposal as submitted is very well structured and presented. It should indeed "contribute to the anthropological theories and to other social science efforts to understand the determinants of fertility" (Levine's proposal p.30). The subject matter, also as noted (p.30) relates to an "urgent issue" which Nepal/AID is "now and in future will be experiencing". But, how much will the study findings enhance the search for answers to the "urgent issues"? To answer this question, we must determine whether the content and/or process advanced for this study are indeed contributors to the needed search for answers. I limit myself to very brief comments on these issues.

1. Content: The general objective of the study is very well stated. It is relevant to the building of more comprehensive theories about fertility determinants in Nepal. The setting and choice of communities is conducive to cross-sectional analysis and do portray pre-industrialized communities. But, are these communities really "representative of populations throughout the country", as noted on p.31? The three ethnic communities are represented ethnically in other sub-populations of Nepal. But, if the central thrust of the study is to enlighten planners about the way people adapt to "changing socio-cultural circumstances" (a very useful output), does it not follow then that the generalizability issue depends to a great extent on the rate and outcome of the changing socio-cultural circumstances in various parts of the country? If that is the case, we certainly can hypothesize that the changes in Humla are not the same as those in other parts of the country, and hence people of similar ethnic groupings may react differently to such changes, thus reducing the strength of the proposed generalizability of the study findings!

Cont'd. ...



National Commission on Population Secretariat

Ref. No.....

Singh Durbar,
Kathmandu, Nepal.
P. Box 1118
Date May. 10, 1982

- page 2 -

A second concern about the study outcome is its applicability for policy and programme planning. Although Dr. Levine states that the information gathered "should lay the foundation for more culturally appropriate and potentially less disruptive policies" she did not go beyond that. What, for example, can be done when most of the information that will be generated are not readily policy nor programme sensitive, even if one were to accept the conclusion of the example noted on p.27?

A third question about the total approach is the seeming over emphasis given to the women or wives in selection of samples. It is true that women's fertility history are best constructed by seeking informations from women. It is also true that females may be very influential in fertility decision making. But, if the study seeks to delineate the probable adjustment of households to changes in the socio-economic environment, then one must ask whether or not men also enter into this decision making/adjustment processes! Also in assessing the value of children, especially in relation to testing the old age security question, don't men also figure in this? Thus, the question: how is Dr. Levine going to treat the male portion of the sampled communities?

2. The Process: What is of relevance here is that if the research content does not greatly contribute to population policy formulation, does it strengthen or support the policy making processes? To deal with this question, the three aspects of strengthening the support of policy making processes are examined, i.e. strengthening staff capabilities, strengthening the research institutional base in Nepal, and strengthening the data base:

a) Staffing of the project: Dr. Levine contends that her study will "offer to three Nepalese anthropology graduate students" training opportunities. The three students she identifies must be females, must be willing to live in Humla, and must come from CNAS. Are such pre-requisites realistic for CNAS? Also, at one stage the proposal calls for providing the field work for Ph.D. graduate students, but the way Dr. Levine explains how she will use them and how she subsequently intends to publish the data do not support the notion that training opportunities will be maximized and thus more manpower will be developed in support of population studies! The three investigators will be treated as enumerators. In order for them to benefit to the maximum, should they not be involved in questionnaire design, data analysis and preparation of final reports? Also, why is there no financial support beyond the TA/DA for them in the budget?



National Commission on Population Secretariat

Singh Durbar,
Kathmandu, Nepal.
P. Box 1114
Date: May. 10, 1982

Ref. No.....

- page 3 -

- b) Institution Linkage: Dr. Levine implies that CNAS will be the host institution in this study. Is this really the case? Does such a research study fit into the research programmes of CNAS? Have they been consulted in this matter? In order for CNAS to be strengthened as an institution, should there not be a direct working link between the outside scholar and a senior host institution scholar, a link that goes beyond the three enumerators she seeks to involve?
- c) Data Base: Many, if not all, past studies tended to cry about dearth of data sets. In order to strengthen this aspect of policy support issues, it might be very useful, and indeed appropriate, to ask all researchers to give PopCom the following copies of:

- i) all primary data generating instruments, along with training and/or field enumerator's manuals;
- ii) analysis plans; and
- iii) primary data files, i.e. tapes

Access to the above should help PopCom increase its research support capacities by making such information readily accessible to Nepali researchers (endogenous as well as expatriates).

Considering the above, we thus feel that Dr. Levine's proposal, as submitted, offers very little insight and/or support to our population policy making content and process. If the suggested major changes can be accommodated in a revised proposal, we will be more than happy to review our current conclusion.

In order to further our collaborative effort in such matters, we have drafted a general set of guidelines that we do consider in assessing the usefulness of proposed research programmes. Thus, passing this on to your colleagues should help further the process of maximizing the benefits PopCom could attain from USAID funded research programmes.

Again I thank you for the opportunity you offered us on commenting on Dr. Levine's proposal.

With best wishes,

Sincerely,

Raghab D. Pant

Dr. Raghab D. Pant

Senior Economic Adviser

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Guidelines For The Support of Research Programmes in Population in Nepal

Introduction

This general set of guidelines is prepared by the National Commission on Population (PopCom) His Majesty's Government of Nepal in considering the support of population related research programmes. In preparing such a set, PopCom wishes to facilitate the process of research approval as well as encourage potential researchers develop well focused research proposals consistent with PopCom's policy research agenda. In so doing, PopCom hopes to reduce the "rewrite" aspects of moving proposals through the development-to-the-approval stage.

PopCom's Research Needs

PopCom, given its policy development and population programme coordinative functions, requires basically three sets of population related research. These are broadly grouped as follows: one; the determinants and consequences of population change; two; operations research types that focus on either the demand generating aspects of population change or the supply aspects of population management; three; methodological research that focus on improving the data generating relative dearth of endogenous research that focus on improving the data generating implementing relevant and timely population related research. In addition, given the encouragement, especially non-Nepali research institutions capable of developing and that will help in strengthening Nepal's research institutional base.

Criteria used in Support of Population - Related Research

Two sets of criteria will be used in deciding on population related research; one, relates to the content of population policy; and two, relates to the process of population policy. Briefly stated, the following specific items are set:

1. Content of Policy: here the subject matter of the proposed research should
 - a) be relevant to the concerns of PopCom's research needs and hence must address a specific issue related to one of the areas specified in the preceding section;
 - b) provide adequate information/conclusions that are generalizable for either the nation, regions within the nation, or large enough such-populations of the total; and
 - c) provide guidelines for the development of action programmes by focusing on either policy or programme manipulable variables.

V The supply aspects of fertility change phenomena deal with the provision of the means for fertility regulations, i.e. family planning methods and services; while the demand aspects of fertility change phenomena deal with the forces that influence individual couples to want to regulate their fertility behaviour.

2. Process of Policy: here the proposed research project should help PopCom improve its population policy formulation and/or evaluation processes by helping increase one or more of the following three factors:

- a) manpower capable of undertaking policy relevant research. This manpower development aspect may either be within PopCom Secretariat or research institutions with which PopCom might conduct research activities;
- b) instruction development either through increasing manpower development as noted in (a) above or by expanding the institution support system of the host institution through increased data management capacity or documentation unit; and
- c) increasing relevant data base by having the following items left with PopCom's Secretariat:
 - i) copy of data generating instrument plus any manuals associated with use of such instruments;
 - ii) copy of data management system proposed for data analysis; and
 - iii) copy of data set generated by the project.

PAGE 01
ACTION AID-38

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AIDAG

FOR S&T/POP/PDD, WILLIAM H. JANSEN

R. Q. 12005: N/A
SUBJECT: PROPOSED RESEARCH PROJECT "HOUSEHOLD DYNAMICS AND FERTILITY
IN RURAL NEPAL" BY NANCY LEVINE UNDER THE POPULATION
COUNCIL'S INTERNATIONAL AWARDS PROGRAM IN FERTILITY
DETERMINANTS RESEARCH (AID PROJECT NO. 932-0642.2)

1. AID/NEPAL AND GON NATIONAL COMMISSION ON POPULATION
(NCP) DO NOT REPEAT DO NOT CONCUR WITH PROPOSED RESEARCH.
2. RESEARCH SITES (IN REMOTE HIGH MOUNTAINS) ARE NOT OF
PRIMARY INTEREST TO NATIONAL PROGRAM WHICH IS FOCUSED
UPON AREAS OF HIGHER POPULATION DENSITY. RESEARCH
OBJECTIVES ARE HIGHLY ACADEMIC AND BEAR LITTLE RELEVANCE
TO GON POPULATION POLICIES AND PROGRAMS. EARLIER
RESEARCH BY J. ROSS NEAR THESE SITES DEMONSTRATES THAT
WHILE THERE IS PRACTICALLY NO AVAILABILITY OF MODERN
HEALTH OF FAMILY PLANNING SERVICES, AS MANY AS THIRTY
PERCENT OF ELIGIBLE COUPLES APPROACHED U. S.
RESEARCHERS FOR CONTRACEPTIVES. PROPOSED RESEARCH
BY LEVINE WOULD ATTEMPT TO STUDY DETERMINANTS OF
FERTILITY WITHOUT TAKING INTO ACCOUNT AVAILABILITY
OF CONTRACEPTIVE SERVICES. WE WOULD MAINTAIN THAT
FERTILITY BEHAVIOR CAN BE FULLY ASSESSED ONLY WITHIN
CONTEXT OF FULL AVAILABILITY OF CONTRACEPTION.
3. DETAILED COMMENTS BY NCP STAFF POUCHED 19 MAY
TO JANSEN.
COON

UNCLASSIFIED



RECEIVED

DEPARTMENT OF ANTHROPOLOGY
LOS ANGELES, CALIFORNIA 90024

JUN 8 1982

4 June 1982

Charles B. Keely
Program Manager, Center for Policy Studies
The Population Council
One Dag Hammarskjold Plaza
New York, N. Y. 10017

Dear Dr. Keely,

Thank you for forwarding the letter from Dr. Raghav Pant, Senior Economic Advisor of the National Commission on Population Secretariat, Nepal. I would like to take this opportunity to answer some of Dr. Pant's questions about my research proposal, "Household Dynamics and Fertility in Nepal," and to clarify some of the concerns about the content and the process of the proposed study.

Dr. Pant's discussion of the potential contribution of this study, as structured in the proposal, focusses on three issues. First is its generalizability, specifically whether the Humla communities surveyed are representative for Nepal. Ethnically they are, the question is whether Humla is experiencing different or lesser change than the rest of the country. Such a broad question is difficult to resolve. However I can stress that Humla, despite its distance from urban centers, is undergoing far-reaching changes equivalent to those reported for the rest of the country. Even Limi, its most isolated corner, has been affected substantially, as M. Goldstein has reported. There, as elsewhere in Humla, we find increasing recourse to urban centers and increasing population pressure. Humla's "type 2" communities (proposal, pp. 16-18) have had long histories of labor migration and dependence on urban centers, but all indications are that more and more communities are being transformed into remittance economies and that this process will be accelerating in future.

It is not only labor that links Humla to the outside economy, but also trade (the historic salt trade). Both provide avenues for national influences and development effects to enter these communities. For one example, migrants and traders (Tibetans at least) have, since the 1970's, imported products of modern contraceptive technology into their communities. Even if the pace of change in Humla is somewhat slower or different because of its location, surely it is not unique in Nepal and the processes there should be of interest to planners. Questions about this, however, do, as Dr. Pant points out, have both practical and theoretical significance. That is, what are the possible differential effects of differently occurring changes on reproductive behavior. In order to consider this phenomenon, I have decided to substitute for one Bura and one Nepali community in Humla an economically comparable one within the sphere of Jumla, in selected rural sites, close to the zonal capital. Jumla is similar to Humla in cultural patterns and history, yet today is subject to

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more rapid development.

I should reiterate that Humla is uniquely suited to a multi-ethnic study of this kind, offering a rare combination of long established communities with parallel economic adaptations, from three major ethnic groups. The five village comparison to be developed there cannot be duplicated elsewhere.

The second concern mentioned in the letter is the study's potential relevance for policy and programme planning. The direction and content of practical conclusions to be drawn from this study were implicit in discussions of research hypotheses, data and data analysis. Let me make explicit the various connections between research and relevance.

First the study will identify potential target populations for family planning programs. I have suggested that it is the stage of the household developmental cycle and not the easily confused life cycle which influences demand for means of fertility regulation. The study will test this controversial point. Proven, the data gathered will reveal at which stages demand is greatest and also will support the development of simple indices for identifying developmental cycle stages for all three ethnic groups.

Second I will be able to confirm the prevalence of a private distribution network for female contraceptives in the Karnali Zone, through multiple channels, and via male traders and migrants. This has immediate relevance for the enhancement of population programmes, in identifying a target population of males and suggesting efficient distribution channels for that population.

Third my proposal identifies several key household effects on fertility which are amenable to policy manipulation. There is the hypothesis that joint family living depresses fertility through certain mechanisms (see pp. 14, 28). This and associated findings on the traditional Nepali household system can be used to suggest guidelines for family policy in Nepal/HMG. The same is true of polyandry and the associated stem family of Tibetans, which is being actively discouraged (and virtually has been eliminated among the more acculturated Sherpa).

Fourth is the old age security question and the value of children, manifested in son preference throughout Nepal. Recent legal reforms have increased daughters' inheritance rights. One might expect that this, with an associated expectation that daughters contribute to the support of their parents, could slowly reduce son preference. However in Humla the new laws were disruptive initially and were being circumvented. This study, focussing as it does on these issues, would provide data relevant to the resolution of this set of problems.

Fifth the study will obtain quantitative and qualitative data on how population and economic variables interact, which can provide diverse inputs into policy and programme planning. For example there is the interaction between external labor opportunities and reproductive behavior, posited to produce greater population growth and further the transition to remittance economies. This information can be vital in designing programme accommodations, both regionally and nationally.

Dr. Pant has made an important point in stressing the role played by men in household decisions concerning children. Obviously, as I have noted in this letter, men import information about external changes which will be affecting their communities and their families and also import the material by-products of development, thus guiding household adaptations. In addition it is crucial to identify the relative input of men and women into reproductive decisions. This has led me to modify my study in the following ways. I now will administer Part D of the questionnaire to men and women (providing alternately phrased forms for the two sexes) and will do so to ten persons of each sex. I have decided to sample husbands and wives to compare expressed attitudes of both with actual behavior and to sample traders and migrants in proportion to their representation in the community. I also will be adding a question on sources of supply of contraceptives to D.4., to supplement our knowledge about these phenomena.

The issues raised about my proposed research's contribution to strengthening the support for policy making processes include staffing, institutional linkage and data base.

Regarding staffing, I had written that I would try to obtain women graduate students as field investigators (p. 23). Now that I am focussing more on male inputs into fertility, it seems wise to try to recruit both men and women -- this being subject to the availability of persons of either sex willing to live in Humla and at a suitable stage of their graduate careers. These students would not be mere census enumerators. It was planned that they be members of a team applying anthropological techniques to the study of population problems. For example, I had expected that prior to the field research they would work with me on preparing the schedule of questions into a questionnaire suitable for the Nepali speaking groups (p. 23) and also on refining it once in the field. During research it is essential that we coordinate our efforts, to assure comparability of data gathered, that is, to act as a team.

It also was intended from the outset that we work together during data analysis (pp. 24, 34). To facilitate this I will travel to Kathmandu during the period of analysis and work with team members in preparing a jointly authored comprehensive report. All joint efforts will be reflected in the citations of authorship. I have proposed additional, appropriate support for these students during the period of data analysis.

Regarding institutional linkage, I spoke to Dr. Madhab Raj Pande, then Acting Executive Director of CNAS, in December 1981 and deposited a copy of my research proposal with him. He indicated support for CNAS's sponsorship of the study. A letter from Professor Dor Bahadur Bista, dated 3 April 1982, informed me that CNAS already has sent my application for sponsorship of research to the Rector's Office, Research Division, Tribhuvan University. It was CNAS that I affiliated with previously in 1973-75.

Discussions with Professor Bista in planning my research suggested that CNAS's principal interest was in obtaining field research cum training opportunities for their graduate students, to enhance institutional strength. The fact that the training would occur in the context of a population study was seen as especially valuable. I have not yet tried to find a senior scholar to work directly with me on this project, but would be eager to establish a link, if colleagues are interested

available. This is most easily handled after I arrive in Nepal.

I also had intended to retain links with CNAS during the period of data analysis. When I am in residence during this period I can contribute to their programs and also sponsor additional seminars at which the team presents their findings, to supplement those following field research (p. 32). This period of residence in Kathmandu also will provide an extended opportunity to consult with members of PopCom. At this time I can discuss with them interpretations of the team's findings and their policy implications.

Regarding the data base, I had written of my wish to deposit reports with CNAS and other interested parties in Nepal and to provide complete data sets with the graduate students (pp. 24, 25). Since I now know that PopCom has an archive for such material I will be happy to deposit with them copies of data gathering instruments, statements of plans for analysis, the quantitative data set and the analyses of qualitative data.

I hope this clarification of the structuring of my research plans and procedures answers the questions raised and indicates its relevance to PopCom's research needs as well as its potential contribution to Nepal's research institutional base. I hope this will provide support for their approval and concurrence in this research.

Sincerely yours,



Nancy E. Levine
Assistant Professor

The Population Council

Center for Policy Studies

One Dag Hammarskjöld Plaza
New York, New York 10017
Cable: Pop Council, New York
Telephone: (212) 644-1300
Telex: 234722 POCO UR

June 9, 1982

Dr. William Jansen
Office of Population
U.S. International Development
Cooperation Agency
Agency for International Development
Department of State
Washington, D.C. 20523

Dear Bill:

I am writing regarding the project by Nancy Levine entitled, "Household Dynamics and Fertility in Rural Nepal," approved by the Program Committee under the International Research Awards Program on the Determinants of Fertility in Developing Countries. I received from your office a copy of the cable from AID/Nepal and a copy of the remarks by Mr. Raghat Pant, Senior Economic Advisor of the National Commission on Population in Nepal. I have passed along Mr. Pant's letter to Dr. Levine. I enclose a copy of her reply. As you will see, she addresses Mr. Pant's points and suggests changes in the proposal responsive to his points. I would request that Dr. Levine's letter be the basis for a request to the National Population Commission to reevaluate the project. If the suggested changes and clarifications lead to a favorable response, we would require Dr. Levine to submit an appendix to her proposal. The Program Committee, which is responsible for issues of scientific design and analysis under the negotiated agreement, would have to review and approve the changes in this addendum. If the Program Committee agrees we would formally resubmit the proposal and addendum for the clearance process by the AID mission and, through the mission, by the GON as happened in this review. I find Dr. Levine's clarifications and proposed changes to merit this reconsideration. I think it wise, however, to have some indication that the GON official agrees before going through the extra work on the part of the proposer and the Program Committee.

On the part of the Population Council, I would like to address the contents of the telex. Paragraph 2 makes a number of points which touch on the concept and purpose of the program which go beyond this particular proposal by Dr. Levine. The purpose of the program is to advance knowledge on the determinants of fertility, to encourage innovative methods and perspectives and to foster research promising applicability for improving population related policy. It should not be expected that an international research competition of this sort would receive and fund only proposals that address what might currently be the primary focus of the population program in the country involved.

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Research that is not directly supportive of the primary goals of a country's program at any given time should not, by that very fact, be judged to be of low or no priority in understanding determinants of fertility, in contributing to policy debate, or in improvements of program delivery, especially when services are lagging.

The reference in the second sentence to the objectives being "highly academic," is, I think, not correct. Levine's letter explicitly refers to some useful implications for GON policy and her proposed changes strengthen the usefulness. The conduit of migrant workers for contraceptive supplies, the research design covering both ethnic and socioeconomic variables, and the proposed comparison with Jumla villages are examples. Levine's proposal and past work also indicate differential fertility responses, even in the absence of a level of supply and prevalence to be desired. Knowledge of these different fertility responses and their possible impacts are not matters of indifference to planners who have to accommodate to the results fertility behavior. The original proposal, particularly in reference to Part D of the schedule of items to be focused on, discussed contraceptive knowledge, attitudes and practice. Her letter adds a focus on supply. The proposal does take into account the availability of contraceptives and, I think, that is spelled out even more clearly in Dr. Levine's letter.

I must disagree with the last sentence of paragraph 2. If taken literally, there should be very little research in many developing countries. In fact for most readers, the sentence would seem to bar research in most of the countries of Africa and West Asia. Arguably it could rule out research in several Latin American countries, as well as in some Asian situations. A case could also be made that the research of Mel Goldstein in Nepal funded under this program should not have been approved. It is easy to think of cases where policy or program development have been lagging, services not available, or program performance less than desired and yet where research would be desirable or even high priority. This very issue, you might recall, was part of the exchange of letters between Joe Speidel and Paul Demeny on 18 April and 23 April 1980, when the Council's proposal was under review. The result of that exchange was that AID did not require a phrase about preference for research "conducted in contexts where family planning services are available" as originally requested. On the basis of the reasoning given above, both organizations accepted the phrasing that "research take into account the level of family planning services to the population understanding." I think Levine did that in her original proposal and her letter is quite clear that she proposes to do that. The general principle enunciated in the last sentence of paragraph 2 of the telex was the object of negotiation and was not accepted as part of the negotiated agreement.

Finally, the telex is worded in the plural so that the reference to the nonconcurrency is to both the National Population Commission of the GON and AID/Nepal. The Council fully accepts the reasonableness and priority of host government approval. In this case, we respectfully request reconsideration by the GON on the basis of Levine's letter. However, under the negotiated agreement the decision about whether a proposed project meets the goals of the program as specified in the Council's unsolicited proposal and incorporated into the agreement is left to the Program Committee whose membership is

mutually agreed to by USAID and the Population Council. The unsolicited proposal from the Council, and in all our negotiations prior to the agreement and discussions since then, have accepted the proposition that neither the Council staff nor AID officials may reject a proposal on the basis of scientific merit or judgments about meeting the program goals. Those decisions are the responsibility of the Program Committee whose membership we mutually agreed to. Of course, if U.S. political considerations as expressed in law or current policy of the U.S. government enter, then, as in foreign assistance funding of this sort, these political considerations can lead to a nonconcurrence for spending the funds. Both the Council and AID fully realized this procedure of putting judgments about scientific merit and meeting program objectives in the hands of the Program Committee was a departure from usual practice at the mission level. It was the subject of long discussions between AID and the Council, as well as within each organization, and of review by the Research Advisory Committee. It is not without precedent, in the case of PARFR. It remains our understanding that under the negotiated agreement neither the Council nor AID can reverse the Program Committee on issues of scientific content and merit. In Levine's case, of course, the position of the GON is the operative element and we request the reconsideration for that reason. The wording of the telex leads me at this time to raise the issue of denial of concurrence at the mission level or AID/ Washington due to disagreement over the content or merit of a proposal approved by the Program Committee. The Council continues to operate under the understanding that such an action violates the negotiated agreement, as would an attempt by the Council to reverse a decision of the Committee on scientific or merit considerations.

I return to the proposal at hand and hope the letter by Dr. Levine provides the basis for a reconsideration of her proposal.

Sincerely,

Charles B. Keely
Program Manager

Enclosure (Letter of N. Levine to C. Keely,
dated 4 June 1982)

National Commission on Population



Earth Centre
Kathmandu, Nepal
P. Box 1114

Ref. No. 847/1574/1982

Date: July 11, 1982

Dr. David E. Hutchler
Special Assistant for Population
and Development Resources
USAID, Nepal

Subject: Dr. Levine's Proposal

Dear David:

Thank you for sharing with us the responses you received from Dr. Clark and through her from Dr. Levine and Mr. Keely of the Population Council. We certainly appreciated the specificity in which both Dr. Levine and Mr. Keely responded to some of the concerns the Commission raised about Dr. Levine's proposed research work in Nepal.

As Dr. Fant first intimated, the Commission found Dr. Levine's initial submission very complete and very relevant to the building of a more comprehensive theory about fertility determinants. The main concern that is still nagging us is the relevance issue. The mere addition of another (equally remote and unrepresentative) community such as the one in Jwala does not meet our requirement.

Furthermore, as you are aware, the National Commission on Population in its recent meeting, has decided on a policy of concentrating HMG's effort on population on the more densely populated areas of the Terai. It has also been accepted as a policy that the Commission will coordinate all population research so that relevance of such activities for either policy or programme outreach can be ensured.

The significant amount and effort that went into the preparation and review processes, leading to the technical approval of Dr. Levine's proposed study, must have been very significant. The Commission fully appreciates this aspect of the research approval process. As an addition to this process we would like to suggest that funding agencies request their potential researchers to submit a page or two of abstract of the research they wish to pursue in Nepal. Such a brief, in addition to briefly describing the usual components of a research programme, will discuss the policy and programme relevance issue. If such research ideas fall within the stated or perceived needs of the Commission, the submission could be asked to submit a full-fledged proposal for technical and administrative review that might lead to approval. This way, the researcher or funding agency will not incur undue expenses in time, energy

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Pb. No. 2145
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His Majesty's Government

National Commission on Population

Singh Durbar,
Cattedal,
Kathmandu, Nepal.
P. Box 1118

Date: July 11, 1982

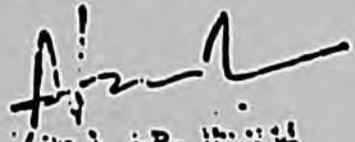
Ref. No. ... page 2

and we agreed in technically approving a proposal only to find the host country not very receptive of the result - as in the case with Dr. Levine.

In conclusion, we thank Dr. Levine for the proposal but do not see how we can have other findings for other than the tax communities of India and

With kind personal regards.

Sincerely,



(Dr.) S.P. ...
Secretary

Sr. Foreign Aid Division
Ministry of Finance

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The Population Council

Rec'd AUG 11 1982

Office of the President

MEMO

To: George Zeidenstein, President, the Population Council

From: The Program Committee on the Determinants of Fertility in Developing Countries.

Members of the Program Committee of the international research awards program on Determinants of Fertility in Developing Countries were deeply dismayed to hear, at the committee's August meeting, of AID's refusal to fund a project proposing to study factors affecting fertility in Brazil. This project had been approved by the regular procedure of peer review established by the Population Council in consultation with AID: a) a positive assessment by the Program Committee of the potential value of a preliminary proposal; b) a recommendation of acceptance by the special Peer Review Committee after intensive review of a full proposal; and c) endorsement, after further review by the Program Committee, of the Peer Review Committee's recommendations. In this instance, these steps were supplemented by personal conversations by the Council's Latin American representative, and by staff correspondence at the committee's suggestion, with the principal investigators.

Our dismay is the result of the inconsistency of this action by AID with the spirit of the agreement between AID and the Council. Both parties fully accepted the importance of genuinely independent expert peer review; the Council on its part invited to the Program Committee and the Peer Review Committee non-Council experts to avoid any risk that the Council staff might have unconscious preferences related to the Council's own program. The spirit of the agreement centered on the independence of the review procedures, and aimed to limit to non-technical aspects the exercise of AID's legal responsibility for final decision on grants or contracts, rather than allowing a second evaluation by AID of the scientific merit and promise of proposals. Members of the Program Committee agreed to serve in the understanding that peer review was the basis of selection among proposals.

The Committee's dismay (and indignation) is aggravated by two features of this action. First, an AID official in Brazil discussed technical details of the project with the proposed investigators, and urged changes in research strategy. Second, the refusal to fund was communicated to the Council only after a letter was sent in good faith notifying the investigators in Brazil of the favorable action of the two committees.

In the Committee's view, these aspects of the decision will create the belief in Brazil and elsewhere that funding was withheld because the research design preferences of the AID representative overrode the judgements of peer review. Such a belief will damage the future operations of the program as the story spreads through Brazil, through Latin

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August 9, 1982

America, and through the world demographic community. It will also be harmful to the Population Council's reputation, to other population programs in Brazil indirectly supported by the United States, and to the long run national interest.

Ansley J. Coale

Ansley J. Coale, Chairman
(for the Committee)

The Population Council

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George Zeidenstein

President

August 19, 1982

Dear Mr. Ambassador:

I am writing to you with reference to a recent decision taken by the United States Embassy in Brazil to refuse concurrence for the award of USAID funds to two Brazilian institutions, CEDEPLAR and CEBRAP, in support of demographic research in Brazil. In this letter, I want to introduce to you the Population Council, of which I am president, our relationship to USAID, for which we are the executing agent for the Research Awards Program on Determinants of Fertility in Developing Countries, and some background information on the particulars of the case involving CEDEPLAR and CEBRAP. It is my hope that, in the light of the information that follows, which I would like to elaborate for you later by telephone, you might reconsider your decision to refuse concurrence. In my view, and in the view of many others involved in the organization and administration of the Research Awards Program, the Embassy's negative decision in the case of the CEDEPLAR/CEBRAP proposal is a serious setback for both the Research Awards Program and the Population Council in its work in Brazil and Latin America, and, I would venture to say, will prove detrimental to the goals of USAID in the region and, possibly, contrary to the long term interests of the US government in the region.

The Population Council is a US-based, internationally oriented, scientific, professional, nongovernmental and nonprofit organization that was established in 1952. The Council is committed to the enhancement of human welfare, and its work includes the following areas: human reproductive biomedicine aimed at the development and improvement of contraceptive methods, evaluation and operations research regarding family planning programs, and social science activities useful to the understanding of public policy issues related to population dynamics.

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The Population Council

While the organization is based in New York, the Council maintains area offices for four regions: Latin America and the Caribbean (with a regional headquarters in Mexico City), South and East Asia (Bangkok), West Asia and North Africa (Cairo), and Sub-Saharan Africa (Lagos). This network helps identify program initiatives and assists local, national, and regional institutions in the design, implementation, and evaluation of population research and action programs. The total Council staff numbers nearly 200, and the annual budget is about \$18 million. For your further information, a copy of the Council's current annual report is enclosed.

In 1980, the US Agency for International Development entered into a Cooperative Agreement with the Population Council to initiate an International Research Awards Program on the Determinants of Fertility in Developing Countries. The Research Awards Program was initiated in response to the persistence of high fertility and rapid population growth in much of the developing world and the failure of public policy in those countries adequately to alter reproductive behavior and induce fertility decline. The objective of the Research Awards Program is to stimulate research that will increase understanding of how and why high fertility persists in some settings and what underlies fertility decline elsewhere.

As part of the Cooperative Agreement, USAID delegated authority for evaluating the scientific merit of research proposals to an oversight Program Committee composed of nine leaders in the demographic profession, and a separate Peer Review Committee, consisting of six experts in the field, selected from leading universities and research organizations. I quote briefly from the text of the Cooperative Agreement:

A peer-review committee, comprised of population experts, will be formed to judge the scientific merit of the selected proposals. Awards will be made by decision of the Program Committee on the basis of the Peer Review Committee's recommendations and the purposes of this program...subject only to the requirements of foreign assistance legislation.

The Population Council

I emphasize this feature of the Research Awards Program and the Cooperative Agreement because the principle of independent peer review on matters of scientific merit is both essential to the integrity and success of the program and a central issue in the specific case of the CEDEPLAR/CEBRAP proposal. I note also that the delegation of authority for review and evaluation of the technical and scientific merit of research proposals by USAID represents a departure from the standard practice of that agency, but one that was prompted by USAID concern about the quality and reputation achieved by research funded in the absence of an independent peer review process. A brief pamphlet issued by the Population Council about the Research Awards Program and distributed worldwide is enclosed for your further information.

The proposal in question ("The Determinants of Fertility in Brazil") was first submitted in preliminary form in the summer of 1981, with Drs. Elza Berquo of CEBRAP and Jose Carvalho of CEDEPLAR as co-principal investigators. Our procedures ensure that the proposal was subjected to very careful review. The preliminary proposal was first screened by the Program Committee; it invited a full proposal. The full proposal was received and reviewed by the Peer Review Committee in the fall of 1981. It recommended that decision on the proposal be deferred pending clarification on several questions of scientific merit. The Program Committee concurred with this recommendation and the proposal was returned to the co-principal investigators for revisions and elaboration. The revised proposal went before the Peer Review Committee in March of this year. The Peer Review Committee recommended that the proposal be funded and gave it the highest priority ranking among successful proposals. The Program Committee concurred with the Peer Review Committee, and the principal investigators were so notified by the Population Council, with the proviso that funding was contingent upon clearance by US authorities in Brazil. The Program Committee and staff were particularly enthusiastic about this proposal for several reasons: because Latin American research has been under-represented in the Research Awards Program thus far, because of the demographic importance of Brazil within Latin America, and because of the high quality of the Brazilian researchers involved in the project.

The Population Council

At the same time that our letter was sent notifying the co-principal investigators that the proposal had been approved by the Program Committee, USAID in Washington forwarded the proposal to the Embassy in Brazil with a request for concurrence. Subsequently, we learned that the Embassy staff member responsible for USAID activities in Brazil--Mr. Sam Taylor--approached the Brazilian researchers at CEDEPLAR and voiced objections to the substance of the proposal and suggested changes that he would like to see made. The Brazilians were understandably nonplussed, being in receipt of a letter from the Population Council notifying them that the proposal had been approved on its substantive and scientific merit, and indicated that they were reluctant to make the suggested changes. The Population Council was later informed by USAID in Washington that AID is not able to concur in the execution of the CEDEPLAR/CEBRAP proposal, invoking AID's right to turn down research programs which are determined not to be in the long term interest of the US government.

Against the background of Mr. Sam Taylor's overture to the Brazilian researchers and the substance of his comments to them, the ultimate rejection of the proposal appears to be for reasons of scientific merit and substance--in effect, overruling the scientific evaluations of the Peer Review Committee and the Program Committee and violating the vital principle of independent peer review on which the Research Awards Program is based.

The official grounds for rejection--conflict with longterm interests of the United States--are difficult to credit against this background and the Brazilian researchers will draw and articulate their own conclusions about the reason for rejection. The international community of scholars engaged in similar work is a small world and the circumstances surrounding the rejection will be common knowledge throughout research circles in Latin America in short order. At once, as a consequence, the credibility of the Research Awards Program, the Population Council, USAID, and the US Embassy in Brazil will be called into question.

Given the individuals involved and the substance of the proposal, it is impossible for me to see how the funding of the proposal could compromise the long term interests of the United States. As yet, official notification of the rejection has not been communicated to the Brazilian researchers. In the light

The Population Council

of almost certain negative fallout from this decision, I ask that you reconsider your position, in the hope that you might concur with the endorsements by the Program Committee, and Peer Review Committee of the CEDEPLAR/CEBRAP proposal.

I will seek to arrange a telephone appointment with you next week in order to discuss this matter further.

Sincerely yours,



Mr. Langhorne A. Motley
United States Ambassador to Brazil
Embassy of the United States of America
Brasilia, Brazil

Enclosures

EMBASSY OF THE
UNITED STATES OF AMERICA
Brasilia, Brazil.

The Population Council

Rec'd SEP 15 1982

Office of the President

August 31, 1982

Mr. George Zeidenstein
President
The Population Council
One Dag Hammarskjold Plaza
New York, N.Y. 10017

Dear Mr. Zeidenstein:

Reference is made to your letter of August 19, 1982 with regard to a research proposal that was not approved for funding by AID/Washington. I have reviewed the submittal and concur with AID/Washington's findings. Certainly it will not further the development of population policy in Brazil for me to engage in a public debate with your organization or host country researchers on the merits of this specific proposal.

Over the past few years, there have been some positive indications that the Government of Brazil is becoming more aware of its demographic situation and the implications for its developmental plans. Just last month, I spoke with President Figueiredo about the Government's plans on the subject, but I must add it can still be a sensitive subject.

I am sorry that I cannot be more helpful from your perspective but I have no basis upon which to try and reverse Washington's decision.

Sincerely,


Langhorne A. Motley
Ambassador



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The Population Council

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George Zeidenstein

President

6 October 1982

Dr. J. Jarrett Clinton
Agency Director for Population & Health
Office of Population
Agency for International Development
Department of State
Washington, D.C. 20523

Dear Jarrett:

The Council has decided not to pursue further any effort to secure reversal of the decision articulated in Duff Gillespie's letter to Charles Keely dated June 8, 1982 regarding the proposal "The Determinants of Fertility Change in Brazil." Notwithstanding the unfortunate indications that questions regarding scientific merit may have motivated, at least in part, the original interventions of the population officer in Brazil, we are satisfied that the decision was based on other than scientific grounds. Our confidence is based in large part on the representations by Duff Gillespie at the August 5 meeting of the Program Committee that included a strong and unequivocal reconfirmation by the Office of Population of the principle of independent peer review for the Research Awards Program on the Determinants of Fertility. His further assurance that the Office of Population will do everything in its power to ensure that the principle of independent peer review is maintained in the management of this program was heartening to me, the Program staff, the Program Committee, and the Executive Committee of the Council's Board of Trustees.

The program and the Population Council may face difficulties in Latin America as a result of this unfortunate episode. At the same time, I am confident that, working together, we can minimize the chances of a similar occurrence in the future.

With best regards,

Sincerely,

/s/ George Zeidenstein

cc: C. Keely
J. Seltzer

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Determinants of Fer()lity Research Awards Program

LETTERS OF INQUIRY

Region	<u>March 2, 1982-July 1, 1982</u>				<u>Start of Program-July1, 1982</u>			
	Total	How to apply. . .	Social Science Topic	Bio-med Topic	Total	How to apply...	Social Science Topic	Bio-med Topic
Latin America and Caribbean	7	6	1		17	10	7	
South and East Asia	33	18	13	2	68	33	30	5
W. Asia and N. Africa	0				7	4	3	
Sub-Saharan Africa	11	7	4		21	10	9	2
United States	25	19	5	1	95	70	22	3
Canada	3	2	1		5	4	1	
Europe	6	5	1		13	9	4	
Oceania	1		1		4	1	3	
TOTAL	86	57	26	3	230	141	79	10

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