

PD-ABD-986

APPENDIX 3A, Attachment 1
Chapter 3, Handbook 3 (TM 3:43)

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE

A = Add
 C = Change
 D = Delete

Amendment Number

DOCUMENT CODE

3

COUNTRY/ENTITY
Worldwide

3. PROJECT NUMBER

936-5459

6. BUREAU/OFFICE

5. PROJECT TITLE (maximum 40 characters)

R&D/EID

Food Security II

6. PROJECT ASSISTANCE COMPLETION DATE (FACD)

7. ESTIMATED DATE OF OBLIGATION

(Under "8." below, enter 1, 2, 3, or 4)

MM DD YY
09 30 02

A. Initial FY 92 B. Quarter 4

C. Final FY 011

8. COSTS (\$000 OR EQUIVALENT \$) =

A. FUNDING SOURCE	FISCAL FY 92			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	(870)	()	(870)	(12,000)	()	(12,000)
(Loan)	()	()	()	()	()	()
Other U.S. 1. Add-ons/Buy-ins				20,000		20,000
2.						
Host Country						
Other Donor(s)						
TOTALS	870		870	32,000		32,000

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY FZ FL CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ARDN	22							6,000	
(2) DFA	22							4,000	
(3) PSEF	22							2,000	
(4)									
TOTALS								12,000	

10. SECONDARY TECHNICAL CODES (maximum 8 codes of 3 positions each)

11. SECONDARY PURPOSE CODE

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code

B. Account

13. PROJECT PURPOSE (maximum 400 characters)

To strengthen the capacity of participating countries and USAID missions to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security.

14. SCHEDULED EVALUATIONS

Interim MM YY 09 95 Final MM YY 09 00

15. SOURCE/ORIGIN OF GOODS AND SERVICES

000 9:1 Local Other (Specify)

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a page PP Amendment.)

17. APPROVED BY

Signature

Eric Chetwynd, Jr.

Title

Director, Office of Economic and Institutional Development

Date Signed

MM DD YY 05 11 92

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION

MM DD YY

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

MAY 11 1992

ACTION MEMORANDUM FOR THE DIRECTOR FOR THE OFFICE OF ECONOMIC AND
INSTITUTIONAL DEVELOPMENT, BUREAU FOR RESEARCH AND DEVELOPMENT

From: R&D/EID/RAD, *Gloria D. Steele*
Gloria D. Steele

Subject: Authorization of the Food Security II Project (936-5459)

PROBLEM: Your authorization is requested to initiate a new centrally-funded project entitled "Food Security II (FS-II)" (936-5459), in the amount of \$12,000,000 from the Agriculture, Rural Development and Nutrition (ARDN), Private Sector, Environment and Energy (PSEE) and Development Fund for Africa (DFA) accounts.

DISCUSSION: FS-II is a worldwide follow-on to the highly successful Food Security in Africa (FS-I) project, scheduled for completion on November 30, 1992. The final evaluation for FS-I noted that the project made major contributions to our understanding of food security issues, and helped shape policy improvements and strengthen local analytical capacity in a number of African countries. Because of this success and the continuing need for food security research, the evaluation strongly urged that A.I.D. support a ten-year follow-on activity which will continue to focus on sub-Saharan Africa while also expanding into other regions.

For the above-mentioned reasons, R&D/EID has designed the FS-II project whose purpose is to strengthen the capacity of participating countries and USAIDs to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security. Achievement of the purpose is expected to contribute to the goal of increasing food security in developing countries as a part of broad-based, market-oriented sustainable economic growth. During project design, R&D/EID cabled USAIDs inquiring of their interest in participating in the project. Twenty-four USAIDs responded positively and confirmed the importance and relevance of FS-II's proposed research agenda.

Project activities include applied research, technical assistance, networking and dissemination, and capacity building. Priority research topics will be: (1) Improving access to food by vulnerable groups; (2) Macro/sectoral policies and complementary actions to promote food security through broad-based economic growth; and (3) Designing cost-effective food systems and related institutions. Cross-cutting themes will be: (1) Farm and non-farm sources of income to promote food security; and (2) Food security and natural resource management. Household-level analysis and attention to intrahousehold dynamics are important features of the project.

PROJECT DATA: The initial obligation year is FY 1992, and it is

planned that a total of \$870,000 of OYB transfers from the Africa

Bureau will be obligated in the first year. The final year of obligation is FY 2001, and the PACD is September 30, 2002. In addition to the amount authorized above, up to an estimated \$1,450,000 in FY 1992 may be contributed to this project by Missions, Regional Bureaus, and other Offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF), as well the accounts authorized for R&D funding under this project.

SPECIAL CLEARANCES: A negative determination has been made with regard to the need for an Initial Environmental Examination. Justification is given in Annex C of the Project Paper (PP).

PROJECT REVIEW: The PP has been reviewed and endorsed by an inter-bureau committee composed of representatives from interested bureaus and R&D offices, including R&D/PO and FA/OP, and it incorporates their comments and suggestions.

CONGRESSIONAL JUSTIFICATION: An Advice of Program Change will be forwarded to Congress following authorization of the FS-II project.

PROCUREMENT PLAN AND BUDGET: Consistent with the recommendations of the FS-I final evaluation, and the decision of the Senior-level review committee for the FS-II PID, R&D/EID will request FA/OP to negotiate a non-competitive cooperative agreement in FY 1992 with Michigan State University (MSU), which will be expected to identify appropriate "sub-contractor(s)." Every effort will be made to involve a Gray Amendment-qualified firm or university, unless it is determined that no suitable Gray Amendment institution with the required expertise in food security issues is available. The cooperative agreement should have an add-on capability to enable field missions and regional bureaus to participate in the project's applied research and dissemination activities. We also intend to request that a Basic Ordering Agreement with MSU be negotiated to carry out the project's technical assistance activities.

Funding to begin FS-II activities in FY 1992 is anticipated from an Africa Bureau OYB transfer of \$870,000 (DFA). The R&D/EID office has budgeted \$500,000 for FY 1993 activities which is expected to be supplemented by regional bureau-provided core support. Total LOP core funding, including OYB transfers, is estimated to be \$12,000,000, of which \$6,000,000 is expected from the ARDN account, \$2,000,000 from the PSEE account, and \$4,000,000 from the DFA account. In addition, regional bureau and mission add-ons/buy-ins of up to \$20,000,000 over the LOP are expected.

RECOMMENDATION: That you sign the attached project authorization.

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Clearances:

R&D/EID: LHollis	<u>L Hollis</u>	Date	<u>4/28/92</u>
R&D/PO: DERbe	<u>DERbe</u>	Date	<u>5/8/92</u>
GC: GWinter	<u>G Winter</u>	Date	<u>4/29/92</u>
FA/OP: EThomas	<u>(draft)</u>	Date	<u>5/1/92</u>

Attachments:

1. Project Data Sheet
2. Project Authorization
3. Project Paper and Annexes

PROJECT AUTHORIZATION

Country/Entity: Worldwide
Name of Project: Food Security II (FS-II)
Number of Project: 936-5459

1. Pursuant to Section 103 -- Agriculture, Rural Development and Nutrition (ARDN), Section 106 -- Private Sector, Environment and Energy (PSEE) and Section 497 -- Development Fund for Africa (DFA) of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Food Security II Project (FS-II), involving planned obligations of not to exceed \$12,000,000 in grant funds from the ARDN, PSEE and DFA accounts, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process.

The initial obligation year for the project is FY 1992, the final obligation year is FY 2001, and the PACD is September 30, 2002.

In addition to the amounts authorized above, an estimated \$20,000,000 may be contributed to the project by Missions, Regional Bureaus, and other offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF), as well as the accounts authorized for R&D funding under this authorization.

2. The project purpose is to strengthen the capacity of participating countries and USAID missions to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security.

The project will conduct applied research, technical assistance, networking and dissemination, and analytical capacity building. By assisting public and private sector decision makers to formulate improved food security strategies, the project will contribute to the goal of improving food security in developing countries as a part of broad-based, sustainable economic growth.

3. The agreements which may be negotiated and executed by the office(s) to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate:

a. Source and Origin of Commodities, Nationality of Services. Commodities financed by A.I.D. under the project shall have their source and origin in the "cooperating country"* or the United States, except as A.I.D. may otherwise agree in writing. (* Each country in which research, training or technical or other assistance takes place under the project shall be considered a "cooperating country.") Except for ocean shipping, the suppliers of commodities or services shall have the cooperating country or the United States as their place of nationality, except as A.I.D. may otherwise agree in writing.

Ocean shipping financed by A.I.D. under the project shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States.

Signature: *Eric Chetwynd*
 Eric Chetwynd, Director
 Office of Economic and
 Institutional Development,
 Bureau for Research and
 Development

Date: May 11, 1992

Clearances:
 R&D/EID/RAD, GSteels Wm D Stehr Date 4/28/92
 R&D/PO, DErbe DE Date 3/8/92
 GC, GWinter GC Date 4/29/92
 FA/OP, EThomas (draft) Date 5/1/92

2

PROJECT PAPER

FOOD SECURITY II

Project No. 936-5459

**Bureau for Research and Development
Office of Economic and Institutional Development
Resource Access and Development Division**

April 1992

21

TABLE OF CONTENTS

	Page
I. PROJECT SUMMARY AND RECOMMENDATIONS	
A. Project Summary	1
B. Recommendations	2
II. DEFINITION AND DIMENSIONS	3
III. BACKGROUND	
A. Project History	3
B. FS-I Final Evaluation: Conclusions and Recommendations	6
C. Rationale for Food Security II	7
D. Conformity with A.I.D. Strategy and Regional Objectives	9
E. Coordination with Other Projects, Donors, Research Institutions	12
IV. PROJECT DESCRIPTION	
A. Project Goals and Purpose	13
B. Project Activities and Methodology	15
C. End-of-Project Status	17
D. Project Outputs	17
E. Project Inputs	21
F. Research Agenda	21
V. COST ESTIMATES AND FINANCIAL PLAN	26
VI. PROJECT ANALYSES	
A. Technical Analysis	31
B. Financial Analysis	34
C. Economic Analysis	37
D. Social Soundness Analysis	40
E. Administrative Analysis	43
F. Environmental Analysis	48
VII. IMPLEMENTATION ARRANGEMENTS	
A. Procurement Mechanisms	49
B. Implementation Plan and Schedule	49
C. Monitoring and Evaluation	56
ANNEX A: Logical Framework	
ANNEX B: Peer Review Plan	
ANNEX C: Environmental Examination Exemption Statement	
ANNEX D: Expressions of USAID Mission Interests	
ANNEX E: Information Memorandum for Assistant Administrator Re Senior PID Review	
ANNEX F: Research Planning Methods	
ANNEX G: Data Collection and Analysis Methods	

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LIST OF ACRONYMS

AFR	Bureau for Africa
A.I.D.	Agency for International Development
AMIS	Agricultural Marketing Improvement Strategies
APAP	Agricultural Policy Analysis Project
API	Assessment of Program Impact
BOA	Basic Ordering Agreement
CILSS	Interstate Committee to Combat Drought in the Sahel
CRP	Country Research Program
DFA	Development Fund for Africa
EUR/DR/FS	Europe Bureau, Office of Development Research, Food Systems Division
FA/OP	Directorate for Finance and Administration/Office of Procurement
FAO	Food and Agriculture Organization
FHA	Food and Humanitarian Assistance Bureau
FS-I	Food Security in Africa Project
FS-II	Food Security II project
GMB	Grain Marketing Board (Zimbabwe)
IEE	Initial Environmental Examination
IFPRI	International Food Policy Research Institute
IMPACT	Food Security and Nutrition Monitoring Project (R&D Nutrition)
INSAH	Sahel Institute
IPC	Implementing Policy Change Project (R&D/EID)
LAC	Bureau for Latin America and the Caribbean
LOP	Life of Project
MIS	Market Information System
MOU	Memorandum of Understanding
MSU	Michigan State University
NE	Bureau for Near East
PADRES	Programs for Applied Development Research in the Sahel
PARTS	Policy, Analysis, Research, and Technical Support Project
PID	Project Identification Document
PL 480	Public Law 480 (Food for Peace)
POL/CDIE	Directorate for Policy/Center for Development Information and Evaluation
PRISAS	Program for Institutional Reinforcement to Sahelian Food Security
R&D/EID/RAD	Bureau for Research and Development, Office of Economic and Institutional Development, Resource Access and Development Division
REDSO/EA	Regional Economic Development Support Office/East Africa
S&T	Bureau for Science and Technology (now R&D)
SADCC	Southern Africa Development Coordination Council
SAP	Structural Adjustment Program
USAID	A.I.D. Field Mission
WID	Women in Development

I. PROJECT SUMMARY AND RECOMMENDATIONS

A. Project Summary

Food Security II (FS-II) is proposed as a worldwide, ten-year, \$32 million (estimated \$12 million core and \$20 million buy-ins), follow-on to the highly successful Food Security in Africa (FS-I) project. FS-II has the following objectives:

GOAL: To increase food security in developing countries as part of broad-based, market-oriented, sustainable economic growth.

SUB-GOAL: To ensure adoption by public and private sector decision makers (including A.I.D. and other donor agencies) of effective policies, programs and management processes that promote food security, based on project-generated research and analyses.

PURPOSE: To strengthen the capacity of participating countries and USAIDs to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security.

To achieve these objectives, FS-II will engage in the following activities:

Applied research on policy-relevant food security issues, including household-level data collection and analysis, country-specific studies and cross-country syntheses of research findings.

Networking and dissemination via meetings, interim reports, workshops and publications.

Capacity-building through on-the-job training of researchers and analysts within host countries and selective funding of host country graduate degree research.

Technical assistance to assist USAIDs and participating host governments to identify food security issues, design food security research activities and/or demonstrate policy and program applications of the project's research findings.

While broadening the scope of its activities geographically and modifying its thematic focus, FS-II will continue to employ the successful methodology developed under FS-I. Two key characteristics of this methodology are its: (1) application of the "joint product/interim report" approach which emphasizes the involvement of host country analysts and policy makers in the entire research process and the timely dissemination of findings via policy-oriented interim reports; and (2) use of the household as an optic for assessing the impact of changes in technologies,

institutions and policies on production, income generation and food consumption at the household level. FS-II will utilize this household perspective by examining how intra-household dynamics, which are influenced by such factors as gender, age and one's position in the household, affect resource allocation decisions, consumption patterns and the ways that households adapt to changes in technologies, institutions and policies.

At the end of the project it is expected that:

1. The knowledge base on food security issues and their policy implications will be substantially expanded and improved;
2. Project-generated findings will be communicated to host country and A.I.D. decision-makers, and the broader development community, in a timely, effective manner.
3. Indicators and monitoring systems will be established for assessing the people-level impacts of food security policies and strategies; and
4. Collaboration with and training of host country participants will result in strengthened local capacity for continued food policy research and analysis.

B. Recommendations

1. Authorization of a grant in the amount of \$12.0 million from the ARDN, DFA and PSEE accounts, as appropriate, over a ten-year period beginning in FY 1992. Eight million of this funding is expected to come directly from the R&D Bureau and another \$4.0 million is estimated to be provided by regional bureaus via OYB transfers. Section V of the Project Paper provides detailed information on estimated annual obligation requirements through FY 2001.

2. In addition, authorization to accept additional contributions from regional bureaus and USAID field missions, in the amount of \$20 million, is anticipated. These contributions which may come from the ARDN, PSEE, DFA or ESF accounts will allow their participation in project activities.

II. DEFINITION AND DIMENSIONS

Food security: the ability of all people to have reliable access at all times to enough food to meet their basic dietary needs.

Food security has supply and demand dimensions. On the supply side, the food system should provide, at reasonable cost, adequate quantities of food to meet the needs of the total population. Ideally, sufficient food availability at the national level should be achieved through a combination of domestic production and commercial imports, and where necessary, through receipts of food aid. On the demand side, all elements of the population should be assured the ability to access these available food supplies. Assuring food access at the household level in a market economy primarily involves assuring adequate effective demand through income generation, although home production, subsidies or food transfers may also be important means of food access.

Food security also has both short-run and long-run dimensions. Transitory food insecurity refers to temporary shortfalls in access to food which may result from environmental crises, civil strife or losses of income due to illness, joblessness, etc. Chronic food insecurity refers to a long-term inability to obtain timely and reliable access to adequate food supplies. While food aid, income transfers or other short-term measures may be effective for addressing transitory food insecurity, problems of chronic food insecurity must be addressed by measures to promote broad-based, sustainable economic growth and to improve food system efficiency.

Food security will be defined, for the purposes of this project, in terms of socio-economic aspects of food access. The goal of food security efforts, however, is not merely to ensure that people have the means to obtain basic food needs. Ultimately, the goal is to enable all people to consume a nutritionally-adequate diet, which involves not only food access but also concerns such as health, child care, sanitation and consumption habits. However, given the severity of food deficits and inadequate household access in many developing countries, assuring access to basic food needs is an essential first step to good nutrition. Moreover, the project's comparative advantage lies in analyzing the socio-economic dimensions of food security issues. Therefore the project will focus on these socio-economic dimensions. It will rely on other existing activities, such as the R&D/Nutrition's IMPACT project, to address and monitor the nutrition and utilization aspects of food security efforts.

III. BACKGROUND

A. Project History

Since 1984, the Agency for International Development (A.I.D.), under the joint management of R&D/EID (formerly S&T/RD) and AFR/ARTS (formerly AFR/TR), has supported the Food Security in Africa (FS-I) project which is scheduled for completion in November, 1992. This applied research project, implemented under a cooperative agreement with Michigan State University (MSU), focused on four themes related to food security: international trade; public and private sector roles; agricultural technology; and the linkages among food production, marketing and consumption. By emphasizing a highly collaborative approach with host country policy makers and local research institutions, the FS-I project was highly successful in identifying policy-relevant food security issues, in strengthening local capacities for policy analysis, and in improving the knowledge base of the factors which can inhibit or promote efforts to achieve household food security in several African countries.

Two reasons for the success of FS-I have been: (1) its application of the "joint product/interim report" methodology which emphasizes the integration of host country analysts and policy makers in the entire research process and the timely dissemination of findings via policy-oriented interim reports; and (2) its use of the household as an optic for assessing the impact of changes in technologies, institutions and policies on production, income generation and food consumption at the household level.

Most importantly, the project's methodology and findings have had significant policy impact. For instance, FS-I research led to the formulation of better agricultural pricing policies in a number of African countries, including Rwanda, Senegal, Zimbabwe and Mali. FS-I research has shown that, contrary to popular belief, a large proportion of farm households in many African countries are net buyers of basic staples such as grains. These households rely heavily on purchasing food from the market to help assure their food security. Furthermore, the research demonstrated that, in many cases, non-price factors such as inadequate technologies, inefficient marketing arrangements, insufficient access to land, and government policies that hinder capital accumulation by farmers and traders, were more serious constraints to production than low prices. Consequently, since higher farm prices reduced overall purchasing power, with little effect on production, such price support policies would tend to hurt, rather than help, poor rural and urban households.

For instance, in 1986, the government of Rwanda, announced its intention to implement a price support program which would raise the price of its primary staple -- beans -- to 75% above the market price. FS-I research prior to the program's implementation,

however, revealed that 73% of bean producers were net purchasers of beans and only 6% produced marketable surpluses. Since infrastructure, environmental conditions and other factors were identified as more serious constraints on production than prices, the analysis suggested that increasing the price of beans would not increase production substantially, and that the resulting reduced purchasing power for low-income consumers would exacerbate, rather than relieve, food insecurity. As a result of this FS-I analysis, the Government of Rwanda reversed its decision to increase the price of beans.

FS-I research also amply demonstrated the importance of food markets, particularly in rural areas, in helping assure food security. It also documented how existing government policies, such as movement restrictions on grain can reduce the effectiveness of these markets and limit the availability of food. In the case of Zimbabwe, it was found that restrictions on intra-rural grain trade and the monopolist role of the Grain Marketing Board (GMB) unnecessarily reduced real incomes and contributed to food insecurity among grain-deficit rural households in communal areas. Based on these findings, the Government of Zimbabwe announced on August 8, 1991 that it would eliminate restrictions on crop movement so that deficit communal areas could receive grain from surplus areas without going through the GMB. This recent policy change is anticipated to improve food security at no cost to the Zimbabwean government.

Mali is another country in which the FS-I project has demonstrated policy impact. In Mali, the project: (a) encouraged the government to reconsider its head tax policy; (b) encouraged the government to discontinue its price-setting function (with the exception of floor prices for paddy); (c) is being used to guide the development of the 12-year strategic plan for agricultural research; and (d) convinced USAID/Bamako to include food security as an issue in its Farming Systems Research project's agenda.

Empirical analyses conducted under FS-I have also influenced policies in a number of African countries by demonstrating that:

* Food self-sufficiency is not a viable, or even possible, food security strategy for many countries and that developing food self-reliance through international trade, especially by expanding intra-regional trade, would be a more effective food security strategy.

* The availability of food surpluses at the national level does not necessarily imply food security at the household level. Improving effective demand for food and the efficiency of markets are essential for achieving food security.

* Government marketing boards and other direct interventions in food markets have generally been ineffective and inefficient

tools for achieving food security. However, merely eliminating public sector involvement in food systems is not the answer either, at least in the short run, because the capacity of private traders to fill the void left by state decontrol is not immediately sufficient to induce a vibrant, competitive market.

* Public interventions to support private sector development such as investments in infrastructure, agricultural research, market information systems and other public goods may have a considerable positive impact on food security.

* Production of food crops and cash crops can be complementary enterprises. Food crops may benefit, for instance, from the residual impact of fertilizers used in cash crop production or by additional resources of labor, equipment, etc. made possible by cash crop revenues.

* Households, especially poorer ones, depend on sources other than farming for significant proportions of their income. Policies to affect household welfare need to consider all income sources, not just farm production.

B. FS-I Final Evaluation: Conclusions and Recommendations

The final evaluation for FS-I reported that, "overall, the project has been highly successful in combining applied research; networking of researchers, donors, and policy makers; and training in-country researchers and users of research to achieve the goal of improving food security by improving government and donor policies." It also stated that "the FS-I project has made major contributions in empirically unmasking incorrect 'conventional wisdom' about rural households, informal local and regional markets, and the capability of farmers, traders and government managers to respond to policy reforms, institutional changes, and technological improvements." Furthermore, FS-I's evaluators affirmed that the project addressed its objectives "in an efficient and cost-effective manner."

Because of FS-I's success and the continuing need for food security research, the evaluation team recommended that:

1. A.I.D. should support a follow-on project which addresses food security issues through applied research and limited technical assistance;

2. The follow-on project should continue to be responsive to needs in sub-Saharan Africa where food security problems continue to be critical but also permit expansion into other regions because: (a) food security issues are relevant to all regions; and (b) an expansion allows for cross-regional comparative analysis of substantive findings and methodological approaches;

3. The follow-on project should be authorized for ten years, in recognition of the long-term nature of research and the possibility of geographic expansion;

4. The follow-on project should be implemented by MSU because of their proven effectiveness. However, in view of the recommended geographic and substantive expansion, a mechanism should be developed to permit MSU to access specific geographic and substantive expertise from other institutions;

5. Project management should rest with R&D/EID with the aid of an inter-bureau technical committee;

6. MSU should write brief, cogent summaries of research results and develop a mailing list to widely disseminate these summaries throughout A.I.D.;

7. The current research focus for FS-I is appropriate for FS-II. However, more explicit attention should be given to the relationship between food security and: (a) food aid; (b) long-term measures to protect the environment; (c) non-farm income generation; and (d) the dynamics of production and consumption decisions within households;

8. FS-II should develop linkages between itself and groups conducting related research on health, nutrition, and population as well as on agronomic research; and

9. FS-II should continue to develop local capacity for policy research and analysis, but with a greater emphasis on awarding research assistantships to women from participating countries.

C. Rationale for Food Security II

No concern facing the poorest members of developing countries is more fundamental and important than attaining food security. Dramatic technological advances have allowed aggregate global food supply to continue to exceed aggregate global demand. Nevertheless, food insecurity and malnutrition remain a problem for over twenty percent of the population in the developing world. The Food and Agriculture Organization (FAO) estimates that over 20 million people die each year from hunger-related causes, of which 14 million are children. Moreover, FAO data indicate that these numbers have grown in recent years.

Food security is both an end and a means of economic development. Chronic undernutrition not only results in devastating losses of human life, but also drains a country's productive capacity, thus limiting its chances for economic growth. A lack of access to food results in individuals or families having

low energy reserves and poor health, reducing their capacity for work and income generation. In children, undernourishment contributes to a slowing of physical and mental development, thus jeopardizing the productive capacities of future generations.

While civil strife and environmental factors have been the most recognized causes of famine and malnutrition, research has shown that food insecurity problems exist even in stable, well-endowed countries, including those which produce surplus food for export. In these countries, insufficient household income has been the major cause of food insecurity for rural and urban population sub-groups. In addition, food insecurity has been exacerbated by inadequate marketing systems, ineffective institutions and inappropriate government policies.

Recognition of these problems has led a number of governments to undertake major institutional and macro-structural reforms designed to increase agricultural productivity, household incomes, and access to food. Many of these reform attempts have not succeeded, however; some have even led to urban food riots. The problem has been that much of the food policy debate has taken place with few facts about how ongoing and planned policies affect the constraints and incentives facing the various groups in the economy. The ability of policy makers to implement effective reforms has been hindered by a lack of relevant, empirical information.

The lack of useful empirical information has both a demand and a supply component. On the demand side, too often food policy research has generated information without regard for its relevance or timeliness for policy makers. This has resulted in shelves full of literature with little practical value or policy impact. To have more policy impact, researchers need to "create a demand" for their results by involving policy makers in identifying research needs and by disseminating findings to policy makers in a timely, effective manner.

On the information supply side, the biggest constraint to more effective applied research on food security is the lack of adequate local research capabilities. Externally-funded research in developing countries has frequently been pursued merely to generate knowledge, with minimal effort to train local policy analysts or develop joint research products -- elements critical for the continuation of research activity. Because of their more intimate knowledge of local conditions, and their ability and willingness to provide services at lower cost, local researchers have the potential to provide more relevant and cost-effective research than expatriate consultants. This potential needs to be unlocked by strengthening local research institutions and training local researchers.

FS-I addressed the need for improved local analytic capacity and more policy-relevant and timely research through its "joint product/interim report" approach. The project has also established A.I.D. as a leader in the field of food security research and has influenced the thinking of other donors and research institutions concerned with food security such as the World Bank, the International Food Policy Research Institute (IFPRI), and the FAO. There remains a continuing need for policy analysis capacity-building, however, as this is a long-term process that has only begun in a limited number of developing countries. This need is particularly important given the sweeping economic and political reforms now taking place in many of these countries. Furthermore, while FS-I's research provided much insight into food security problems, it has also raised many "second generation" issues where further research is required. These issues form the basis for FS-II's research agenda.

D. Conformity with A.I.D. Strategy and Regional Objectives

Food security has an important role in A.I.D.'s efforts to assist in improving the quality of life for people in the developing world. This role is reinforced by the Agricultural Development and Trade Act of 1990 which assigns A.I.D. the responsibility for implementing P.L.480 Title II and Title III programs and mandates that the enhancement of food security in developing countries be the overall objective of these programs. It is essential that A.I.D. have access to the best information and analyses possible in responding to its new food aid mandate. Food aid currently accounts for about 20 percent of A.I.D.'s total economic development resources. FS-II research can help ensure that these resources are spent productively by better informing developing country and A.I.D. policy makers regarding food security policy matters.

The importance of designing effective food security strategies within A.I.D. is further underscored in the Food Security Discussion Paper, which is currently being finalized under the auspices of the Bureau of Food and Humanitarian Assistance (FHA). This paper incorporates many of the themes identified by the FS-I project, with a particular focus on the relationship of A.I.D. economic assistance programs to these themes. The discussion paper is intended to serve as an input to the formulation of A.I.D.'s Policy Determination on food security which will identify strategies, policies and standards to guide A.I.D. design and implementation of food security initiatives. In collaboration with CDIE and other bureaus, FHA is also sponsoring the development of a food aid performance monitoring plan with special emphasis on food security accomplishments of P.L. 480 Title II and Title III programs. The FHA Bureau has expressed strong interest in "buying into" FS-II to undertake the country- and region-specific analyses necessary for implementing FHA objectives.

A.I.D. has been placing increased emphasis on the field support role of the R&D Bureau. FS-I demonstrated its usefulness to the Africa Bureau and its field missions in pursuing their food security objectives. This was indicated by the recent bureau rankings of R&D projects in which the Africa Bureau gave FS-I a "High" ranking for its field support and by the extremely high level of "add-ons" to the project's cooperative agreement. FS-II will continue this emphasis on field support as it expands worldwide. Close collaboration with regional bureaus and USAID missions in design and implementation of FS-II will assure its relevance to their needs.

The Agency has also been placing increased emphasis on program impact monitoring as a means for evaluating and prioritizing Agency activities. This emphasis is reflected in the Assessment of Program Impact (API) exercise undertaken by USAIDs in the Africa Bureau, by the PRISM activities being conducted by POL/CDIE and FHA's current efforts to assess the food security impacts of P.L. 480 programs. FS-II addresses this issue directly by integrating the monitoring of people-level impact into its project activities, making the development of impact indicators and monitoring procedures a required output.

The cross-cutting themes of FS-II will support A.I.D.'s initiatives for the Environment, Family and Development and Women in Development (WID). With respect to the environment, the research will look at both how household strategies for attaining food security affect natural resource utilization and management and how environmental conservation strategies affect household food security strategies. The Family Initiative will be supported by FS-II's continued use of the household as a focal point for analysis, including close attention to the differential intrahousehold access to resources and labor allocation. Gender concerns will be addressed by the project's focus on women, both as beneficiaries of the project and as participants in its activities, and by its analytical focus on the intrahousehold dynamics affecting food security strategies.

The Africa Bureau has expressed strong interest in a continuation of the type of applied research activities carried out under FS-I. Food security remains a high priority for the Bureau and is one of the four strategic objectives of the Development Fund for Africa (DFA). The DFA Action Plan stresses the need to overcome chronic food insecurity by increasing incomes and market access for poor households. It also recognizes the need to improve instruments such as food aid, early warning systems and targeted subsidies for dealing with "transitory" food shortfalls resulting from drought, civil disturbance or other causes. The Africa Bureau is looking to FS-II to provide analytical support needed to address its food security objective. To that end, it has agreed to continue to provide financial contributions to the project starting in FY 92. Two Africa projects currently being designed, Policy,

Analysis, Research and Technical Support (PARTS) and Programs for Applied Policy Research in the Sahel (PADRES), each have large food security components and are expected to make substantial add-ons to FS-II.

In the regional bureau rankings of R&D projects, the Bureau for Latin America and the Caribbean (LAC Bureau) indicated its interest in food security research, stating that "redesign to include LAC in the scope of this project would be very useful to the region." In addition, a recent LACTECH report argued that "food security is an important problem in the AID-assisted countries in the LAC region and...should be an explicit part of any strategy for the development of the region." This report contended that many LAC countries have adopted food security policies and programs which "have led to misallocations of resources, slower economic growth and, in some cases, to less rather than more food security," and suggested that these countries "could use assistance in designing food security strategies that do less harm to their economies and are more effective in achieving their objectives." Food aid to the LAC region increased twelve-fold from 1975 to 1988 and several LAC countries are eligible for Title III food aid. This underscores the need for improved food security strategies in the region. FS-II can address this need while contributing to the Bureau's objective to support the achievement of broad-based sustainable economic growth by: (a) encouraging the adoption of economic policies that promote investment, productive employment and export-led economic diversification; (b) encouraging a vigorous response by the private sector to a favorable policy environment; (c) encouraging accelerated opportunities for increased participation in the economy by the historically disadvantaged; and (d) encouraging sustainable natural resource use.

In both Asia and the Near East, several countries have been designated as eligible for P.L. 480 Title III programs. Implementation of such programs implies a need to expand food security research in these regions. The Near East Bureau has identified the roles of agribusiness and fruit and vegetable exports in promoting food security as particular areas of interest. In addition, USAID/Cairo anticipates accessing FS-II to support Egypt's transition from a tightly-managed economy to a free market economy by developing strategies for protecting potentially vulnerable segments of society during the transition phase. To date, no missions within the Asia Bureau have expressed interest in accessing FS-II's services. Consequently, while potential future activity is not ruled out, there are no immediate plans for implementation in this region.

Attached as Annex D is a tabulation of expressions of interest from USAIDs in Sub-Saharan Africa, Latin America and the Caribbean, and the Near East.

While there are no Title III-eligible countries in Eastern Europe, food insecurity is a serious concern for some of these countries, including the Newly Independent States. A.I.D. strategy in this region seeks to assist in transforming centrally-planned economies into market-based economies while maintaining or improving a basic quality of life. A possible area of inquiry related to food security would be the effects on agricultural productivity of small-scale production resulting from land redistribution through an open land market system.

E. Coordination with Related R&D Projects and Other Donors and Research Institutions

FS-II is designed to complement other research efforts both within and outside of A.I.D. Section VII sets forth procedures for encouraging collaboration between the FS-II project officer and Cooperator and the project officers and implementors of related A.I.D. projects to share information about current activities, recent findings and existing capabilities. With this shared information, FS-II personnel can make more cost-effective use of resources by taking advantage of complementarities and avoiding unnecessary duplications of effort. R&D projects closely related to FS-II include the Food Security and Nutrition Monitoring cooperative agreement managed by R&D/Nutrition, the Agricultural Policy Analysis Project in R&D/Agriculture, and the Agricultural Marketing Improvement Strategies and Implementing Policy Change projects both managed by R&D/EID. The relationships and planned coordination between FS-II and these other R&D projects, as well as with activities by other donors having related mandates, are described below.

The Food Security and Nutrition Monitoring Project (IMPACT) collects baseline data and conducts ex-post evaluation and monitoring of the nutritional impact of government policies and programs. While improving the nutritional status of household members is the most important goal of any food security effort, FS-II will focus on analyzing the socio-economic factors which affect national and household food security. FS-II will rely on IMPACT to: (a) identify nutritionally vulnerable population sub-groups; (b) provide information on the determinants and indicators of household members' nutritional status; and (c) monitor the impact of policies and programs on household members' nutritional status.

The Agricultural Policy Analysis Project (APAP) focuses on the impact of economic policies on agriculture and is primarily concerned with the national-level supply and demand aspects of the food security equation. FS-II's emphasis, by contrast, will be to develop strategies for improving effective household demand (ensuring household access to these food supplies). This FS-II focus includes topics which go beyond the agricultural sector such as non-farm income generation, the use of targeted food aid, and

urban food security. FS-II's attention to household-level analysis and intra-household dynamics is also not within the scope of APAP.

Another project which investigates food security-related issues is the Agricultural Marketing Improvement Strategies (AMIS) project. AMIS is scheduled for completion in 1992 and is expected to be followed-on by an agribusiness-focused project (AMIS II) currently being designed. Agribusiness has become an increasingly important source of income growth, as economic liberalization expands in developing countries, and thus an important part of food security strategies. FS-II has a broader focus than AMIS II, however, in that it addresses the wide range of factors affecting broad-based income growth, food system development and food security. Where the project does consider agribusiness specifically, it will not view it independently but rather with respect to its link to household food security.

There is much potential for complementarity between FS-II and the Implementing Policy Change (IPC) project. While FS-II focuses on the formulation and analysis of the impact of adopting specific policies, IPC refines implementation arrangements, especially by addressing management-related concerns. Effective implementation is the critical link necessary for improved policies to translate into people-level benefits. FS-II researchers will incorporate lessons learned from IPC research in order to better understand the implementation implications of suggested policy reforms.

As was done under FS-I, FS-II researchers will maintain close contact with other donors and research institutions concerned with food security through workshops, shared publications and other means. Representatives from the World Bank Food Security Unit, IFPRI and the Cornell University Food and Nutrition Policy Program have served as discussants in FS-I sponsored workshops. Discussions of FS-I research have influenced the World Bank to adopt a household focus in its food security activities. In Africa, the FS-I project worked closely with SADCC, CILSS, and the Club du Sahel, in conducting joint-research activities, developing institutional capacities for food security policy analysis and co-sponsoring annual workshops in which project-generated findings and policy analyses were disseminated, discussed and debated among key policy makers and analysts. FS-II will continue this high priority on networking and collaboration with other organizations.

IV. PROJECT DESCRIPTION

A. Project Goals and Purpose

GOAL: To increase food security in developing countries as a part of broad-based, market-oriented, sustainable economic growth.

Goal achievement can be indicated by:

- reduced levels of both temporary and chronic food deficits at national, regional, household and individual levels;
- reduced incidence of malnutrition and hunger-related deaths and illnesses;
- increased incomes among the poorest members of developing countries; and
- reduced dependence on external food aid.

Important assumptions for goal achievement are that: (a) international and domestic conflicts will not undermine economic development and food security in participating countries; (b) global food production potential will keep pace with population growth and rising income; and (c) participating governments and donors will be able to cope effectively with natural disasters affecting food security.

SUB-GOAL: To ensure adoption by public and private sector decision makers (including A.I.D. and other donors) of effective policies, programs and management processes that promote food security, based on project-generated research and analyses.

Sub-goal achievement will be indicated if public and private sector decision makers adopt development plans, policies, institutional and management reforms, and investment decisions which reflect thorough consideration of project-generated empirical data and analyses. An important assumption is that political pressures (e.g. interest groups) will not prevent participating countries from adopting sound policy and program recommendations growing out of the project research.

PURPOSE: To strengthen the capacity of participating countries and USAIDs to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security.

Successful achievement of the purpose will yield the end-of-project status outlined below. Important assumptions for accomplishing this purpose are that participating countries and regional organizations: (i) participate substantially in FS-II with requisite personnel and other resources over an extended period; (ii) receive the necessary support from A.I.D. regional bureaus and USAIDs to complement R&D core funding; and (iii) provide appropriate incentives for continued food security research, analysis and impact monitoring beyond the life of project activities.

B. Project Activities and Methodology

FS-II will engage in four primary activities:

- * **Applied research**, conducted jointly with participating country analysts, on policy-relevant food security issues, including household level data collection and analysis, country-specific studies and cross-country syntheses of research findings;
- * **Networking and Dissemination** via meetings, interim reports, workshops, seminars and publications;
- * **Capacity-building** through on-the-job training of researchers and analysts within host countries and selective funding of host country graduate degree research; and
- * **Technical Assistance** to assist USAIDs and participating host governments to identify food security issues, design food security research activities and/or demonstrate policy and program applications of the project's research findings.

FS-II will employ the "joint product/interim report" methodology developed in FS-I. This approach involves: (a) joint definition of research problems with host country analysts and policy makers, thus "creating a demand" for the research results; (b) participation of local researchers in the entire research process in order to develop local analytic capacity and local "ownership" of the ensuing policy recommendations; and (c) timely dissemination of research findings via policy-oriented interim reports issued before final results are in. Other means of dissemination include policy dialogue, seminars, regional workshops, monographs and other publications, and sharing of data bases. The FS-II implementors will be responsible for ensuring that analyses and reports are shared with USAIDs and AID/W in ways that missions and bureaus consider effective. Data collection will focus on providing analyses to deal with specific practical food security problems. As in FS-I, cost-effective data collection will be ensured through the use of two instruments -- the research planning matrix (which helps to conceptualize, identify and focus research on the most important variables that directly relate to the activity's objectives) and the task calendar (which helps to identify and schedule the various steps in the research process).

Research program design and implementation will be completed in four phases: a reconnaissance phase; a planning and networking phase; a research and analysis phase; and a dissemination and policy dialogue phase. These phases are not intended to be strictly temporally distinct. Overlapping of research and dissemination is, for example, an essential component of the project's joint product/interim report methodology. Planning and

networking are also expected to be ongoing activities in any research program.

In the **reconnaissance phase**, the MSU Project Director and researchers, with the assistance of the R&D/EID project officer and regional bureau counterparts, will try to identify suitable countries, counterpart institutions and research sites and to generate interest among USAID missions. Several criteria for site selection are listed below. Core funding will be made available for this purpose in Africa in FY 1992 and in other regions beginning in FY 1993 (earlier if FY 1992 core funding becomes available from other regions).

Once appropriate countries have been identified and USAIDs have indicated a desire to support specific food security research areas in those countries, MSU will initiate a **planning and networking phase** in which they meet and discuss with participating country policy makers, analysts and, where appropriate, private sector representatives, to identify areas of mutual interest where information collection and analysis may contribute to improved food security. Once research topics have been agreed upon, MSU researchers in collaboration with participating country research institutions will begin planning and designing activities. As was the case in FS-I, this includes developing research planning matrices, outlining task calendars and designing research questionnaires. A more complete description of these tools and other research planning methods is given in Annex F.

With initial planning completed, the **research and analysis phase** will begin. Research assistants and local enumerators are expected to conduct most of the household data collection and processing with oversight from senior researchers from MSU and counterpart institutions. This approach has been demonstrated to be cost-effective in implementing FS-I by making efficient use of senior researcher time. Specific analytical methods to be used will depend on the nature of the research inquiry. A discussion of the enumerator selection and data collection and analysis methods which were used in FS-I and should continue to be applied in FS-II is given in Annex G.

Once data has been collected, processed and analyzed, project researchers will enter into the **dissemination and policy dialogue phase**. That the dissemination of findings are done in a timely and effective manner is essential to the project's efforts to achieve policy and private sector impact. Timeliness will be encouraged by the dissemination of interim reports issued even before all final results may be in. Care must be taken to communicate results to decision makers, whether in oral or written presentations, in a way that is both easily understood and useful to them in their decision-making. More specific dissemination requirements are outlined in Section IV.D, Output 2. **Technical assistance** to assist USAIDs and participating host governments to develop policy and

program applications of the project's research findings will also be conducted during this phase.

C. End-of-Project Status

At the end of the project it is expected that:

1. The knowledge base on food security issues and their policy implications will be substantially expanded and improved;
2. Project-generated findings will be communicated to host country and A.I.D. decision makers, and the broader development community, in a timely, effective manner;
3. Indicators and monitoring systems will be established for assessing the people-level impacts of food security strategies; and
4. Collaboration with and training of host country participants will result in strengthened local capacity for continued food policy research and analysis.

D. Project Outputs

The FS-II project is designed to produce four major outputs which directly support the achievement of the project's purpose. These outputs are described below:

Output 1: An expanded and improved knowledge base on policy-relevant food security issues.

Priority research topics will be identified and research design strategies developed in collaboration with participating country decision makers and analysts. Empirical data bases will be collected, analyzed and compiled into reports in a joint effort with host country researchers. The quality of food security analyses and reports generated by the project will be assessed through peer reviews and by project evaluations. An improved knowledge base will also be demonstrated by publications including:

(a) a minimum of five monographs, co-authored by host country researchers, over the LOP;

(b) at least ten articles in refereed journals over the LOP;

(c) two cross-country synthesis reports for each of the three topics in the research agenda (one to be produced at the midterm of the project and another near the end of the project) -- each report should explicitly recognize the policy

implications of the project's cross-cutting themes and analytical perspective; and

(d) at least one report discussing the impacts and lessons learned from each research activity undertaken.

Output 2: Timely and effective communication of project-generated findings to decision makers (both public and private sector) in participating countries, and to policy makers and analysts within A.I.D. and among the broader development community.

An improved knowledge base, in and of itself, is not sufficient for achieving improved food security. To have practical value and impact, information must be communicated to public and private sector decision makers with minimal delay using appropriate, effective means. Therefore, FS-II will place significant emphasis on dissemination activities including:

(a) the development of one or more policy-oriented interim reports for each research activity, to be submitted to concerned decision makers before final results are in;

(b) the conduct of annual regional workshops which would include participating country analysts and USAID mission personnel to discuss new research themes and findings;

(c) the conduct of periodic seminars for participation by policy makers and analysts when major policy-relevant findings emerge, and maintenance of frequent informal contacts during the course of research design and implementation;

(d) the development and regular updating of mailing lists (in conjunction with POL/CDIE), which will be used in disseminating concise and clearly written summaries of the project's research results;

(e) the distribution of copies of diskettes with various country data bases to POL/CDIE and to host country research institutions; and

(f) the conduct, over the life-of-project, of one major cross-regional workshop for each research agenda topic, to be attended by officials from A.I.D., host countries and other donors and research organizations concerned with food security.

Output 3: Monitoring procedures and reports to assess the people-level impact of food security strategies and project activities

FS-I clearly demonstrated the impact of its methodology and findings at the policy level. The challenge for FS-II is to go a step further by demonstrating the people-level impact of policies, institutional reforms, investment decisions and management processes encouraged by project-generated analyses. It is recognized that it is not easy to assess the precise people-level impacts of a research project such as FS-II. There are many environmental, social and economic factors which influence food availability and access, and it would be difficult to attribute changes in levels of household food security to any single policy recommendation or institutional reform. Impacts are often indirect and long term and, given the lags inherent in dissemination, policy making and implementation, such impacts may not be evident until after the life of the project. This is particularly true for research activities which address chronic food insecurity problems through long-term, broad-based economic growth strategies. Nevertheless, empirical indications of the effects of policy and institutional changes on the food security of vulnerable households and population sub-groups are necessary for evaluating the project's ultimate effectiveness.

It is important to note that the project will not attempt to measure direct indicators of nutritional status. Such monitoring activities are beyond the scope of FS-II and are better addressed by projects such as IMPACT. In addition, collecting data on direct measures of food utilization and nutritional status as indications of project impact is generally too costly in both time and money to be used on a large scale, and not well-suited for inferring causal links. Instead, the project will use socio-economic indicators as "proxy" indicators of food security.

Examples of possible proxy indicators that could be used to indicate changes in levels of food security in the short term include: household incomes and other entitlements; per capita incomes by regions or districts; availability and affordability of staple foods in local markets; access by women to resources such as credit, land, production inputs or markets; overall unemployment rates; or food price fluctuations across seasons and markets. Examples of long-term indicators could include human and physical capital development among low-income households (e.g. education, land holdings) or the sustainability of resource and asset endowment usage (e.g. deforestation, increasing pressures on fragile lands).

To be useful to decision makers and sustainable beyond the LOP, the indicators and methods used must be cost-effective enough to allow for frequent, periodic monitoring and also closely related to actual food consumption and nutrition levels. Since collecting new data is generally very costly, particularly relative to limited

host country resources, ideally, proxy indicators would be those for which data is already being collected on a regular basis. Where existing data sources or survey samples are inadequate for assessing food security impacts, however, data collection efforts may need to be refined or supplemented, as appropriate. Indicators may also be somewhat site-specific and the importance of collecting gender-disaggregated information should be recognized. The specific indicators and methods to be used in FS-II for measuring impact will be identified in the project workplan near the outset of the project. These may be modified to meet participating country needs during the course of project implementation, in consultation with A.I.D. Consistent with these requirements the project will:

(a) identify appropriate indicators for assessing the people-level impact of food security strategies and project activities;

(b) collect necessary baseline data and outline procedures for follow-up monitoring;

(c) collaborate with other donors, researchers and A.I.D. offices working on food security monitoring and impact assessment such as: the FAO, the World Bank and, within A.I.D., POL/CDIE, AFR/DP, FHA/PPE and R&D/Nutrition;

(d) prepare annual progress reports on the impact of FS-II activities and project-recommended policies and present more in-depth impact studies in Years 4 and 9 to serve as inputs to the project evaluations; and

(e) provide necessary training and equipment to host country personnel to allow continued impact assessment of food security strategies beyond the life of project activities.

Output 4: Strengthened local capacities for food security policy research, analysis and monitoring

Strengthening local analytical capacity is essential for achieving the project purpose. The involvement of host country personnel in every phase of research design and implementation not only helps ensure the relevance and credibility of the research results but also promotes the sustainability of food security research beyond the life of the project. Therefore, the project implementors will:

(a) fully integrate host country analysts in the design and implementation of all research activities;

(b) provide the necessary equipment and on-the-job training to enable participating countries to continue food security

research, analysis and monitoring beyond the life of project activities; and

(c) provide graduate degree training and research opportunities for at least ten students from participating countries over the life of the project.

E. Project Inputs

Achievement of the above outputs and objectives is contingent upon the provision of adequate financial and personnel resources by A.I.D., participating countries and the Cooperator. The estimated required financial inputs are outlined in Sections V and VI.B and the accompanying illustrative budget tables. The project management resources necessary from A.I.D. and MSU are described in Section VI.E.

F. Research Agenda

Overall Research Theme: Ensuring Household Access to Increased Food Supplies

Much of previous food policy research has concentrated on strategies for achieving national food self-sufficiency through increased domestic agricultural output. However, FS-I and other studies have demonstrated that national food self-sufficiency is not always a good indicator of household food security and that self-sufficiency may not be a viable, or even possible, strategy for many countries. This is particularly the case in areas where food crop production is at a comparative disadvantage due to climatic, geographic or other reasons. In such cases, promoting food security would be better achieved by transferring resources away from food production into economic activities in which there is a comparative advantage. With the income generated from these non-food production activities, it may be possible for countries and households to acquire greater quantities of food by purchasing from external sources than could have been obtained through domestic or home production. It is important, therefore, that food policy emphasis continue to shift away from achieving self-sufficiency to strategies for promoting self-reliance through a combination of domestic production and commercial food imports.

While ensuring that adequate supplies of food are available at national and local levels is a necessary first step, the ultimate aim of food security strategies is to ensure that all households and their members have sufficient and reliable access to these food supplies. Strategies for improving household access to food require a three-pronged approach which involves: (i) ensuring adequate availability of low-cost food supplies; (ii) encouraging

sustained and broad-based income growth; and (iii) providing "safety net" measures to guarantee food security for those facing immediate food shortages. The project's three priority research topics outlined below address each of these approaches. In addition, the project's cross-cutting themes emphasize that efforts to achieve long-term food security must be viewed in the context of overall household income-generation and natural resource use strategies, while its analytical perspective recognizes the importance of understanding the intrahousehold dynamics affecting food security strategies.

Priority Research Topics:

Topic 1: Improving Access to Food by Vulnerable Groups

FS-II will have a primary focus on assuring long-term food security through broad-based economic growth and the concurrent development of market-oriented food systems. Nevertheless, chronic food insecurity and under-nutrition will continue to plague many poor households in developing countries even where reasonable rates of overall economic growth are being realized. In addition, household access to food can be temporarily jeopardized by local food shortages due to environmental crises or civil strife or losses of income due to illness, job loss, etc. Therefore, FS-II research will seek to identify appropriate cost-effective strategies for host countries and donors (including A.I.D.) to follow in assisting vulnerable households and population sub-groups to meet their short-term food needs while promoting opportunities for longer-term, broad-based, market-oriented income growth. Illustrative issues under this topic include:

- (1) What are the primary technological, institutional, and policy constraints impeding the efforts of low-income households to achieve food security and income growth?
- (2) What are cost-effective and sustainable means for identifying and targeting food subsidies to the most vulnerable households and population sub-groups?
- (3) How can food aid be used as a tool for dealing with short-term food insecurity while also promoting the food system investments, institutional changes and commercial market development necessary for achieving long-term household food security and income growth?
- (4) What is the relative effectiveness of various mechanisms, such as buffer stocks and early warning systems, for assuring household access to food during temporary crises?

Topic 2: Macro and Sectoral Policies and Complementary Actions to Promote Food Security Through Broad-Based Income Growth

During the 1980s, many developing countries embarked on structural adjustment programs (SAPs) designed to improve resource allocation and stimulate economic growth, thereby strengthening food security over the long term. In the short term, however, SAPs may have adverse effects on food systems and the food security of some households, which may threaten the successful implementation of such reforms. Fiscal austerity often leads to cuts in food subsidies as well as in public expenditures on agricultural research and the maintenance of marketing infrastructure. Devaluation of overvalued currencies leads to higher prices of imported foods and crucial inputs to the food system (fuel, spare parts, fertilizer). In addition, undeveloped private sectors are frequently unprepared to produce a vibrant, competitive environment and to fill the voids created by state decontrol of the market.

In the long run the economy may adjust by emphasizing sectors where the economy now has a stronger comparative advantage. In the immediate term, however, there are two crucial challenges. First, how can governments enact the policy measures and structural reforms necessary for sustainable long-term income growth and food security without unduly threatening the food security of households in the short term? Second, what complementary actions are needed to encourage a vigorous response by the private sector to structural adjustment and market liberalization reforms? Therefore, research under FS-II will focus on identifying the macro and sectoral policies needed to create an economic environment conducive to broad-based economic growth as well as the key complementary actions and investments that governments and donors can take to speed the transition to more liberalized economies, minimize transition costs to the food insecure, and encourage a positive private sector response. Illustrative research questions under this topic include:

- (1) What are the unintended adverse food security impacts of SAPs and market liberalization policies on the more vulnerable population sub-groups and how can these be mitigated or overcome by policy and program modifications and complementary actions?
- (2) What private sector information needs and complementary government actions are necessary to encourage innovation and a vigorous private sector response to a more favorable macro-policy environment?
- (3) What are the changes in trade and exchange rate policies and administrative practices that will facilitate exports and imports of agricultural commodities and inputs in a way that strengthens household food security?

(4) What policies and public sector investments are necessary to stimulate productivity and broader access to productive assets, particularly for poor and historically disadvantaged groups?

Topic 3: Designing More Cost-Effective Food Systems and Related Institutions

Food security is heavily dependent upon the ability of the entire food system to provide access to an adequate, low-cost supply of food. Food systems in developing countries, however, have been characterized by high costs of production, processing, transportation and marketing. High food costs significantly reduce real incomes and food access, especially for poor households. Improving the ability of the food system to deliver a low-cost food supply requires increasing the efficiency at each level of the system and improving the coordination throughout the production-distribution process.

Technological advances have been a major force in reducing food costs. Policies and institutional arrangements have been powerful forces in structuring private sector incentives for cost-reduction within a market-oriented system. FS-II will examine the institutional, infrastructural, technological and policy constraints to reducing food costs, and will work with governments and private sector businesspeople to identify the appropriate investments, innovations and policy measures needed to enhance food system efficiency and to foster broad-based economic growth and food security within particular countries. Illustrative issues under this topic include:

(1) What are the primary physical and institutional constraints to improving the efficiency of food production and distribution systems?

(2) What policy changes, institutional support measures, and legal and regulatory reforms, are needed to improve the functioning of markets and enhance incentives for greater private sector innovation in the food system?

(3) What are the priorities for public sector investments in: a) institutional research to improve productivity in food production, processing and distribution; b) infrastructure such as roads and market facilities; and c) market facilitating services such as market information?

(4) What are the possibilities and methods for developing farmer, trader, processor and distributor institutions that foster greater food system efficiency?

Cross-Cutting Themes:

Theme 1: Farm and Non-Farm Sources of Income to Promote Food Security

While the agricultural sector remains an important source of income growth in many developing countries, food security strategies must be conceived within a broader, dynamic framework for transforming rural, agriculturally-based economies into more diversified and urbanized economies. Even in rural areas, non-farm activities often represent a major source of earnings as farm households try to diversify their income sources in order to reduce risk and expand their productive opportunities. It is important when designing agricultural policies to promote food security that these income diversification strategies of rural families are recognized. Further, broad-based economic growth can be promoted by policies and programs that recognize the potential synergism between farm and non-farm production and consumption activities. This synergism can arise as improved technologies and institutional innovations increase resource productivity. As the process evolves, new demands for consumer goods and inputs create opportunities for new enterprises and potential income streams for members of rural and urban-based households. The challenge is to conduct research that will increase our understanding of this synergistic development under different sets of conditions. FS-II will therefore place increasing emphasis on viewing food security in the context of overall efforts to achieve broad-based income growth. Illustrative issues include:

- (1) What are the projected changes in rural household demands for food and non-food commodities and services as food systems develop and economic growth occurs?
- (2) What are the positive and potentially negative impacts on household food security as rural households shift some or all of their labor from farm to non-farm enterprises?
- (3) How does the organization and functioning of labor markets facilitate or hinder the mobility of labor between farm and non-farm employment and what changes in policies and labor market institutions would improve labor market performance and ensure household food security?

Theme 2: Food Security and Natural Resource Management

FS-I research demonstrated the diversity of food security strategies followed by African households. Most of these strategies will remain viable only if the natural resource base is preserved. Yet many of the proposals to preserve the environment, such as restricting the gathering of wood for fuel, may reduce the poor's income and threaten their household food security, especially in the short run. Furthermore, policies initially

instituted for food security reasons, such as raising grain prices to encourage production, may have negative environmental consequences (e.g., encouraging cropping in fragile areas). Illustrative issues include:

- (1) What are the environmental implications of adopting alternative agricultural and macroeconomic policies designed to improve food security?
- (2) Given farmers' diversified income strategies, under what conditions will farmers be willing to invest scarce resources in measures to increase agricultural sustainability?
- (3) What factors should be considered to ensure that environmental protection policies do not reduce the food security of the poor?

Analytical Perspective: The Household and Intra-Household Dynamics

FS-I demonstrated the importance of using the household as an optic for assessing the impact of changes in technologies, institutions, and policies. Prior to FS-I, many food security issues were analyzed on the basis of hypothetical relationships or highly aggregated data. While the household-level perspective has proved useful, recent FS-I research has demonstrated the need, for selected issues, to understand the intrahousehold dynamics affecting food security strategies. Illustrative issues include:

- (1) How do intra-household dynamics, which are influenced by such factors as gender, age, and one's position in the household, affect resource allocation decisions, consumption patterns and the ways that households adapt to changes in technologies, institutions and policies?
- (2) How do food market liberalization programs differentially affect the income-earning opportunities available to men and women in the household?
- (3) How do households divide responsibilities among family members for dealing with transitory and chronic food insecurity, and how can government policies be designed to make such household coping strategies more effective?

V. COST ESTIMATES

Because the project is expanding worldwide, in order for the Cooperator to achieve the project objectives, financial support from R&D/EID, regional bureaus and USAID missions will need to be substantially increased over that of FS-I. This section offers a brief discussion of expected financial inputs. Tables 1, 2 and 3 provide annual breakdowns of projected core and add-on/buy-in

funding levels. A more complete financial analysis, including a justification for the estimated costs, is given in Section IV.B

R&D Contributions (\$8.0 million). The R&D Bureau's contributions will provide salary support for a core group of research and administrative personnel equivalent to approximately 25 person-years of faculty and senior researcher time, 16 person years of administrative and support staff time, and 20 person years of research assistant time. In addition, R&D contributions will provide partial support for the travel costs associated with developing research programs, for publishing and disseminating research documents, and conducting workshops and seminars.

"Core" Contributions from Regional Bureaus (4.0 million). Regional bureaus have expressed interest in supplementing R&D's contribution to the project by providing core support for research efforts related exclusively to the region providing the funding. The Africa bureau has already obligated \$870,000 for this purpose in FY 1992. While other bureaus have not indicated an availability of funds for this purpose in FY 1992, LAC/DR and EUR/DR have expressed interest in possible future funding. Such funding would be transferred to R&D via OYB transfers and is conservatively estimated to total approximately \$4.0 million over the LOP. This amount would be sufficient to fund about 12 person years of faculty and senior researcher time, 8 person years of administrative and support staff time, and 10 person years of research time in addition to support for necessary travel, supplies, and networking and dissemination activities.

"Add-ons" and "Buy-ins" from Other Offices, Regional Bureaus and USAID Missions (\$20.0 million). Contributions for specific research and technical assistance activities consistent with FS-II's research agenda from the regional bureaus and field missions, as well as from the FHA Bureau and R&D Women in Development (WID) Office, will be used to augment the core support for research, training and dissemination activities. Regional bureaus and field missions are expected to bear the full cost of undertaking country-specific field research and analysis work. Funding for applied research will be provided through add-ons to the cooperative agreement while technical assistance services are expected to be funded through buy-ins to a basic ordering agreement. As the project is still in its design phase, USAIDs and regional bureaus have not yet made specific monetary commitments. Based on expressed levels of interest and the 3:1 add-on/core ratio exhibited in FS-I, however, add-ons from the field and other bureaus are conservatively estimated to total \$20.0 million. These projected funds will support an estimated 140 person-years of research personnel and administrative support time, about \$2.3 million for travel costs, and an additional \$3.0 million for equipment, supplies and other costs. It is anticipated that add-ons and buy-ins will range from a minimum of \$25,000 to a maximum of \$1.0 million per activity.

TABLE 1

ILLUSTRATIVE ACTIVITY BUDGET - FOOD SECURITY II (\$000)

FY		1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	TOTAL
TECHNICAL C*		50	60	60	60	60	60	60	60	60	60	590
ASSIST. A**		75	300	300	300	300	300	300	300	300	300	2775
												3365
APPLIED C		500	500	500	500	500	500	500	500	500	500	5000
RESEARCH A		250	800	800	800	800	800	800	800	800	800	7450
												12450
NETWORK/ C		150	150	150	150	150	150	150	150	150	250	1600
DISSEM. A		25	150	150	150	150	150	150	150	150	150	1375
												2975
CAPACITY C		90	90	90	90	90	90	90	90	90	90	900
BUILDING A		100	300	300	300	300	300	300	300	300	300	2900
												3700
EVAL/ C		0	50	0	150	0	50	0	50	100	50	450
AUDIT A		0	0	0	0	0	0	0	0	0	0	0
												450
SUB- C		790	850	800	950	800	850	800	850	900	950	8540
TOTAL A		450	1550	1550	1550	1550	1550	1550	1550	1550	1550	14400
												22940
CONTING. C		80	85	80	95	80	85	80	85	90	95	855
[10%] A		45	155	155	155	155	155	155	155	155	155	1440
												2295
INFLATION C		0	47	90	165	190	258	300	381	473	576	2480
[5% comp.] A		0	85	175	269	367	471	580	695	815	940	4397
												6877
TOTAL C		870	982	970	1210	1070	1193	1180	1316	1463	1621	11875
Core 1		0	500	722	900	796	888	878	979	1088	1206	7957
Core 2		870	482	248	310	274	305	302	337	375	415	3918
	A	495	1790	1880	1974	2072	2176	2285	2400	2520	2645	20237
GRAND TOTAL [C+A]		1365	2772	2850	3184	3142	3369	3465	3716	3983	4266	32112

*Core

**Add-ons/Buy-ins

Core 1: Core funds from R&D

Core 2: OYB transfers from regional bureaus

TABLE 2

ILLUSTRATIVE INPUT BUDGET - FOOD SECURITY II (\$000)

FY		1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	TOTAL
SALARY/ BENEFITS	C*	450	450	450	450	450	450	450	450	450	500	4550
	A**	250	750	750	750	750	750	750	750	750	750	<u>7000</u>
												11550
[Person Months]	C	[108]	[108]	[108]	[108]	[108]	[108]	[108]	[108]	[108]	[120]	[1092]
	A	[60]	[180]	[180]	[180]	[180]	[180]	[180]	[180]	[180]	[180]	<u>[1680]</u>
												[2772]
TRAVEL/ PER DIEM	C	40	40	40	40	40	40	40	40	40	50	410
	A	60	245	245	245	245	245	245	245	245	245	<u>2265</u>
												2675
EQUIPMENT/ OTHER COSTS	C	60	70	70	70	70	70	70	70	70	80	700
	A	50	245	245	245	245	245	245	245	245	245	<u>2255</u>
												2955
OVERHEAD	C	240	240	240	240	240	240	240	240	240	270	2430
	A	90	310	310	310	310	310	310	310	310	310	<u>2880</u>
												5310
EVAL/ AUDIT	C	0	50	0	150	0	50	0	50	100	50	450
	A	0	0	0	0	0	0	0	0	0	0	<u>0</u>
												450
SUB- TOTAL	C	790	850	800	950	800	850	800	850	900	950	8540
	A	450	1550	1550	1550	1550	1550	1550	1550	1550	1550	<u>14400</u>
												22940
CONTING. [10%]	C	80	85	80	95	80	85	80	85	90	95	855
	A	45	155	155	155	155	155	155	155	155	155	<u>1440</u>
												2295
INFLATION [5% comp.]	C	0	47	90	165	190	258	300	381	473	576	2480
	A	0	85	175	269	367	471	580	695	815	940	<u>4397</u>
												6877
TOTAL	C	870	982	970	1210	1070	1193	1180	1316	1463	1621	11875
Core 1		0	500	722	900	796	888	878	979	1088	1206	7957
Core 2		870	482	248	310	274	305	302	337	375	415	3918
	A	495	1790	1880	1974	2072	2176	2285	2400	2520	2645	20237
GRAND TOTAL [C+A]		1365	2772	2850	3184	3142	3369	3465	3716	3983	4266	32112

*Core

**Add-ons/Buy-ins

Core 1: Core funds from R&D

Core 2: OYB transfers from regional bureaus

TABLE 3**ILLUSTRATIVE TOPICAL BUDGET BY REGION - FOOD SECURITY II (\$000)**

	<u>1992</u>	<u>1993</u>	<u>1994</u>	<u>1995</u>	<u>1996</u>	<u>1997</u>	<u>1998</u>	<u>1999</u>	<u>2000</u>	<u>2001</u>	<u>TOTAL</u>
<u>AFRICA</u>											
TOPIC 1:	434	470	470	470	470	470	470	470	470	490	4684
TOPIC 2:	496	470	470	470	470	470	470	470	470	490	4746
TOPIC 3:	310	353	353	353	353	353	353	353	353	368	<u>3498</u>
Sub-total:	1240	1293	1293	1293	1293	1293	1293	1293	1293	1348	12928
<u>LAC</u>											
TOPIC 1:	0	235	235	235	235	235	235	235	235	245	2125
TOPIC 2:	0	353	353	353	353	353	353	353	353	368	3188
TOPIC 3:	0	118	118	118	118	118	118	118	118	123	<u>1063</u>
Sub-total:	0	705	705	705	705	705	705	705	705	735	6375
<u>NEAR EAST</u>											
TOPIC 1:	0	71	71	71	71	71	71	71	71	74	638
TOPIC 2:	0	71	71	71	71	71	71	71	71	74	638
TOPIC 3:	0	71	71	71	71	71	71	71	71	74	<u>638</u>
Sub-total:	0	212	212	212	212	212	212	212	212	221	1913
<u>EUROPE</u>											
TOPIC 1:	0	47	47	47	47	47	47	47	47	49	425
TOPIC 2:	0	47	47	47	47	47	47	47	47	49	425
TOPIC 3:	0	47	47	47	47	47	47	47	47	49	<u>425</u>
Sub-total:	0	141	141	141	141	141	141	141	141	147	1275
<u>ALL REGIONS</u>											
TOPIC 1:	434	823	823	823	823	823	823	823	823	858	7872
TOPIC 2:	496	940	940	940	940	940	940	940	940	980	8996
TOPIC 3:	310	588	588	588	588	588	588	588	588	613	<u>5623</u>
Sub-total:	1240	2350	2350	2350	2350	2350	2350	2350	2350	2450	22490
EVAL/ AUDIT	0	50	0	150	0	50	0	50	100	50	450
CONTING. [10%]	124	240	235	250	235	240	235	240	245	250	2294
INFLATION [5% comp.]	0	132	265	434	557	729	880	1076	1288	1516	6877
<u>GRAND</u>											
TOTAL	1364	2772	2850	3184	3142	3369	3465	3716	3983	4266	32111

VI. PROJECT ANALYSES

A. Technical Analysis

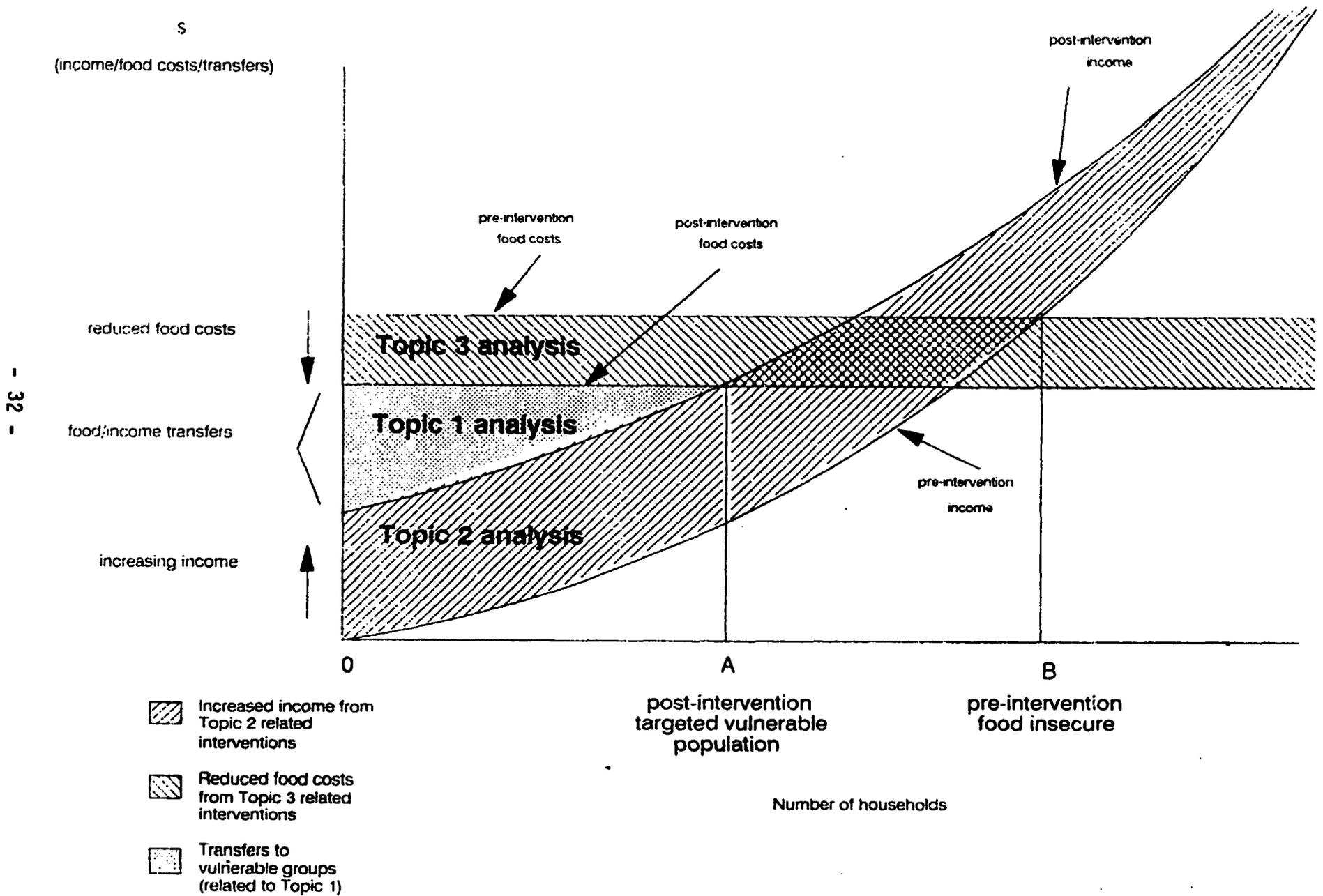
The purpose of the technical analysis is to assess the relevance of project activities and the technical feasibility to carry them out. The highly successful implementation of FS-I provides strong evidence in favor of the project's relevance and feasibility. The proposed substantive and geographic expansions of FS-II, however, produce a need for further technical analysis. Specifically, the three primary issues to be addressed in the technical analysis of FS-II are:

1. Are the project's goal, purpose and research agenda relevant to the current needs of developing countries and to A.I.D. strategic objectives?
2. Are the project's activities and methodology the most appropriate for effectively achieving the project goal and purpose?
3. Does the proposed cooperating institution, Michigan State University, have the technical capacity to successfully implement the FS-II project?

As stated in section III.C, no concern facing the poorest members of developing countries is more fundamental and important than attaining food security. The FAO estimates that over 20 million people die each year from hunger-related causes and that this number has grown in recent years. Food insecurity and famine not only result in devastating losses of human life, but also drain a country's productive capacity, thus limiting its chances for economic growth. While modern agricultural production technology has allowed aggregate global food supply to continue to exceed aggregate global needs, socio-economic development in many developing countries has not been sufficient to guarantee all households and population sub-groups the means to access these food supplies.

While environmental factors and political conflicts often trigger widespread famine and malnutrition, the major cause of food insecurity for rural and urban population sub-groups has been **insufficient household income**. This inability for many households to generate enough income to obtain their dietary needs has often been exacerbated by inadequate marketing systems, ineffective institutions and inappropriate government policies. Attempts to correct these marketing, institutional and policy inadequacies, however, have been hindered by a lack of relevant, empirical information. By addressing this need for empirical analyses to inform the process of undertaking institutional, policy and market system reforms, FS-II's objectives are highly relevant to developing country needs.

Figure 1: INTERVENTIONS TO INCREASE HOUSEHOLD FOOD ACCESS



Strategies for improving access to food for vulnerable households and population sub-groups require a three-pronged approach involving: (i) developing effective market-oriented food systems to ensure adequate availability of low-cost food supplies; (ii) creating an appropriate policy environment and providing necessary public investments to promote sustainable broad-based income growth, thereby increasing effective demand for low income consumers; and (iii) providing cost-effective safety net measures for those consumers facing immediate food shortages who are not adequately addressed by the above measures.

Figure 1 illustrates, in a very simplified way, how FS-II's priority research topics combine to address these approaches. Successful policy interventions directed toward broad-based economic growth resulting from Topic 2 research can be expected to yield increased incomes, particularly for low-income households. At the same time, successful efforts to develop more cost-effective food systems resulting from Topic 3 research should yield lower food costs. This combination of Topic 2- and Topic 3-related interventions will result, on average, in improved purchasing power and, in this illustration, reduce the number of food insecure households from OB to OA. While it is theoretically possible, eventually, for virtually all households to be able to generate enough income to achieve and maintain their food security, this is not a likely result for most developing countries, particularly in the near term. Therefore, further interventions are needed to target benefits to those households and population sub-groups that remain food insecure despite the overall raised incomes and reduced food costs. Designing these interventions will be addressed by Topic 1 research.

For interventions related to the priority topics to yield long-term food security they must be sustainable. The project's cross-cutting themes are thus highly relevant to understanding food security issues by recognizing that in order to achieve sustainable, long-term development: (a) rural, agriculturally-based economies must transform into more diversified and urbanized economies; and (b) preservation of the natural resource base is essential for the sustainability of income generation and food security.

The relevance of FS-II within A.I.D. is indicated by: (i) the food security mandate in the recent P.L. 480 legislation; (ii) the accompanying efforts by the FHA Bureau to support a policy determination on food security; and (iii) by the inclusion of food security as one of the four strategic objectives in the Development Fund for Africa, and by the strong interest in FS-II expressed by USAID missions (see section III.D for further discussion). The topics and themes also reflect the Agency's priorities in promoting private sector development, economic and marketing reforms, sustainable environmental practices, women in development and the more effective use of humanitarian aid resources.

The project's focus on long-term research activities with only limited technical assistance is appropriate. Problems of food insecurity are complex and significant strengthening of local capacities requires long-term involvement. The "joint product/interim report" methodology proved itself in FS-I to be an effective means for: (i) ensuring the relevance and credibility of research results and creating local "ownership" of the findings; (ii) disseminating information and analyses in a timely fashion; and (iii) strengthening the capability of local personnel to analyze food security policy issues. The "research planning matrix" was also an effective tool for determining the minimal volume of data needed to address particular research questions effectively.

Findings from a related R&D project, Agricultural Policy Analysis Project II (APAP II) have reinforced the importance of integrating policy makers and local analysts into applied policy research activities. Three reasons given by an APAP II Technotes report (vol.3,no.1) for the failure of USAID agricultural policy analysis projects in many countries to institutionalize policy analysis units and to sustain research activities beyond the life of projects were: (i) conflicts between donor motivations and the interests of host country agricultural policy leaders; (ii) a lack of demand for the policy studies; and (iii) the failure to adequately disseminate or discuss the results. The TECHNOTES reported that "policy reform programs are (more) likely to succeed in environments with well-trained host agency staff, strong support from influential policy makers, (and) an internal demand for policy analysis."

The qualifications of the Michigan State University (MSU) group that carried out the FS-I project in Africa were strongly emphasized by the external team which conducted the final project evaluation. The evaluation stated that "the project is successfully addressing its objectives...in an efficient and cost-effective manner" and recommended that the follow-on project be implemented by MSU. The evaluation team noted, however, that the geographic and substantive expansion of the project may require MSU, whose comparative advantages lie in agricultural economics and in Africa, to access additional expertise from other institutions. These views were endorsed by the FS-II PID senior-level review committee which recommended that FS-II be awarded as a non-competitive cooperative agreement to MSU with the provision that MSU collaborate with one or more other institutions with additional expertise and more extensive experience outside of Africa.

B. Financial Analysis

A.I.D. Handbook 3 states that a "financial analysis is used to measure 'private profitability' (i.e. whether or not a project is profitable from the point of view of the project owners

or actors - farmers, private firms, public sector entities, etc.)" and that a "financial analysis is a necessary component of the design of any project in which financial viability is a consideration." Clearly the first consideration, private profitability, is not an expected or intended outcome of the project. Those paying the costs for the project, primarily A.I.D. bureaus and missions, and those receiving the benefits are not the same. While A.I.D. may benefit from a reduced food aid burden, or in other intangible ways (e.g. improved political relations), from the project, most of the benefits which do accrue as a result of FS-II will be social in nature and the primary beneficiaries will not be those making the investment -- A.I.D. -- but will rather be the vulnerable households and population sub-groups which are afflicted by food insecurity in the participating developing countries. Thus, since the project is neither intended, nor could reasonably expect, to yield a private net return for A.I.D., this analysis will focus instead on the second issue of whether the stream of projected expenses can actually be financed and are reasonable.

Specifically, this financial analysis will give a brief discussion of: the estimated breakdown of costs according to types of activities, expenditure line items, and thematic and geographic areas; the reasonableness of and justifications for the total estimated project costs; and the likelihood that bureau and mission interest and support will be sufficient to ensure successful achievement of the project objectives.

An Illustrative Activity Budget is given in Section III, Table 1. About 50 percent of funding is estimated to be spent on applied research activities. Technical assistance activity will be much less and almost entirely funded through mission buy-ins. Analytic and institutional capacity building accounts for about 20 percent of the budget, primarily financed by buy-ins. The project's emphasis on providing more timely and effective dissemination as well as on developing regional and cross-regional comparisons and synthesis reports will require significant R&D support for networking and dissemination activities (over 20 percent of core funding) as well as significant buy-in support. Peer reviews have been budgeted for every other year at an estimated cost of \$50,000 per review. The midterm and final evaluations in years 4 and 9 are estimated at \$75,000 each and financial reviews in the same years at \$25,000.

An Illustrative Expenditure Budget is given in Table 2. About 50 percent of the budget is expected to go towards salaries and benefits for researchers (i.e. faculty, consultants, graduate assistants) and administrative support personnel. The estimated weighted average of salaries/benefits used for this table is \$50,000 per person per year. At this compensation rate, core funds will support a level of effort of 91 person-years over the LOP. Add-on and buy-in funds are expected to support over 200 person-

months of effort in most years. Over 90 percent of travel costs, including all travel associated with country-specific field research activities, will be paid by mission add-on or buy-in funds. The estimated overhead rate for university-based activities is 43 percent and for activities outside the university is 25 percent.

An Illustrative Topical Budget by Region is given in Table 3. This budget is derived primarily from the responses received from the mission interest survey. Because many activities may overlap among the topics or apply to more than one region, these numbers are meant more to give an indication of areas of interest than to estimate actual dollar amounts. Activities related to the Africa region are estimated to account for 55 percent of the budget. Latin America and the Caribbean (LAC) is expected to be the second-most active region, accounting for 30 percent of the budget. The Near East and Europe regions have been estimated at 9 percent and 6 percent of the budget, respectively. Mission interest in the three proposed topics is relatively uniform -- 35 percent is estimated for Topic 1, 40 percent for Topic 2, and 25 percent for Topic 3. Since the cross-cutting themes are intended to overlap heavily with these topics, they are not distinguished from these topics in the budget.

Because the project is expanding worldwide, there is clearly a need to increase A.I.D. budgetary support for FS-II substantially over that allocated to FS-I in order that the level and quality of work conducted in Africa not be diminished as the project expands into other regions. Over the 8-year life of FS-I, A.I.D. has obligated nearly \$15.0 million (about \$1.9 mill/year) to the project, of which approximately \$3.8 million (about \$0.5 mill/year) came from R&D funds. Given inflation, geographic expansion and the increasing importance of food security as an Agency objective, an increase in funding to an estimated \$32 million (\$3.2 mill/year), with \$8.0 million (\$0.8 mill/year) coming directly from R&D funds, is appropriate for ensuring the project's success.

The question remaining is whether, given existing and expected funding constraints, it is reasonable to expect that the funding necessary for achieving the project objectives will be provided. Regarding R&D contributions, as expressed in the Senior-level PID review, FS-II is a priority project for R&D/EID and the office will, if necessary, cut funding to other projects to ensure this project has adequate resources. In addition, as stated in Section III, regional bureaus, particularly Africa, LAC and Europe, have expressed interest in possibly providing future core funding to the project. (See memo from EUR/DR in Annex D). Given that Africa plans to obligate \$870,000 for this purpose in FY 1992, the \$4.0 million LOP estimate for regional bureau core support is quite reasonable.

Add-ons and buy-ins to FS-II have been estimated at \$20 million over the LOP (or \$2.0 mill/year). This is a conservative estimate relative to the 3:1 core/add-on ratio exhibited in FS-I. Since the project is not yet authorized, USAID missions have not yet made any specific funding comments. However, expressions of interest in FS-II in response to a cable sent by R&D/EID in November, 1991 indicate a strong level of support to justify the add-on/buy-in estimate. Twenty-four of the thirty-one missions responding expressed interest in participating. Several of these missions offered financial estimates of their potential levels of participation, including Egypt, Mozambique, Mali and Niger which anticipate high levels of activity (over \$200,000/year). Based on the strong expressions of support for FS-II and the history of FS-I, an estimate of \$20 million for add-ons/buy-ins over the LOP is reasonable.

C. Economic Analysis

The purpose of this economic analysis is to determine whether the project, as designed, is a good investment of A.I.D.'s resources. Two questions to be asked are:

1. Do the expected stream of benefits more than justify the anticipated cost?
2. Is the project designed to ensure cost-effective implementation?

The costs of FS-II may be more easily quantified than its anticipated benefits. There is no doubt, however, that the proposed investment is relatively modest, particularly in relation to the substantial amount of Agency resources now being devoted to food aid and agricultural programs -- programs whose efficiency and effectiveness might be significantly enhanced as a result of the proposed research.

Assuring that people have adequate access to food is not only a humanitarian priority, it also generates economic rewards. By strengthening the capacities of participating countries to formulate and adopt policies and programs which improve access to food for vulnerable households and population sub-groups, economic benefits may include:

Increased productive capacities and income growth in developing countries. Food insecurity and attendant problems of chronic undernutrition drain a country's productive capacity by resulting in individuals and families having low energy reserves and poor health, reducing their capacity for work and income generation. In children, undernourishment contributes to a slowing of physical and mental development, thus jeopardizing the productive capacities of future generations. Assuring timely,

reliable and adequate access to food allows families and individuals to devote resources (time, money) to investments in human and capital development which are necessary for achieving sustainable and long term gains in productivity and incomes. The project's emphasis on addressing food insecurity through market-oriented development will also assist private sector development by encouraging the adoption of improved policies, institutional arrangements, production and marketing practices, and management processes.

Adoption of more sustainable resource use practices.

Food insecurity leads to short time horizons (i.e. high discount rates) for producers and consumers. The struggle to meet short-term survival needs may lead food insecure households to adopt practices that are unsustainable in the long term, such as soil-degrading agricultural activities. Thus, assuring reliable access to adequate food supplies (and other immediate needs) may encourage the adoption of conservation and sustainable practices that promote long-term economic development.

Improved efficiency in food production, processing, transportation and marketing systems. Research aimed at improving the way the public and private sectors operate may bring significant efficiency benefits by lowering the high operating and transaction costs which plague many developing economies and by reducing revenue burdens on the public sector. Examples of such benefits from the FS-I project include: (i) the development of the Market Information System in Mali which helps to reduce price differentials across regions through better-informed marketing; and (ii) the recent market liberalization reforms enacted in Zimbabwe which are expected to improve marketing efficiency while reducing deficits in the parastatal Grain Marketing Board.

More efficient allocation and utilization of host country and donor resources. Many governments and donors devote considerable resources to alleviating problems of food insecurity and undernutrition through subsidies, transfers and food aid programs. In A.I.D., for instance, food aid accounts for about 20% of the Agency's total economic development resources. Food security research can both increase the efficiency with which these resources are used and help to reduce the overall need for such short-term food assistance to low-income consumers by promoting broad-based economic development. Reducing the burden of food transfers and other short-term measures can free up resources for investments in more long-term sustainable development programs. In Mozambique, for example, FS-I research is currently working on designing a market-based commercial food aid program that could more effectively reach low-income consumers while fostering the development of a dynamic and efficient private production and trading sector capable of ensuring the food security of the populace for the foreseeable future.

These benefits, however, are likely to be widespread, largely indirect, and continue long after the life of the project, thus making them difficult to quantify in a rigorous manner. Measurement of benefits is further complicated by the fact that there are many environmental, social and economic factors which influence food availability and access and it would be difficult to attribute changes in levels of household food security to particular policy changes, institutional reforms, etc. Even where specific policy or institutional changes can be substantially linked to food security benefits, however, attributing such benefits to FS-II, as opposed to the combined impact of a number of projects supported by A.I.D., other donors, or host countries, is also difficult to do. Moreover, many humanitarian benefits expected to result from the project cannot, in good conscience, be assigned an economic value. This includes the value of a child living, rather than dying of starvation, cannot be encompassed by any economic measurement.

For these reasons it is neither useful, nor highly defensible, to develop a rigorous economic rate of return analysis for the project. Therefore, this analysis will focus instead on determining whether the methodological and management approaches to be employed by the project are the most efficient means for achieving these benefits.

FS-II has been carefully designed to make cost-effective use of resources. Efficiency will be enhanced by the project's joint product/interim report methodology. While the integration of policy makers into research design, as well as the interim reporting and dissemination requirements, might slow research activities or, in some cases, increase short-term costs, these considerations are outweighed by the long-term advantages of this approach. The participation and interest of local policy makers and analysts are essential for ensuring that project activities are relevant and have real impact. This approach minimizes the chances that the project will produce findings that merely occupy shelf space and can mean more improved policies per development dollar spent. Collaborating with host country institutions and strengthening their analytic capacities also promotes the sustainability of the activities and benefits beyond the life of the project. The merits of the joint product/interim report model were supported by the FS-I final evaluation which called it "a real step forward in organizing and disseminating applied research" and confirmed that "the project is successfully addressing its objectives....in an efficient and cost-effective manner."

An R&D-managed project is the least-cost approach for addressing the Agency's food security research needs. Two alternative implementation arrangements considered during PID design were: (i) to continue an "Africa only" food security project co-managed with R&D, as is the case in FS-I; or (ii) to have a regional food security project with no R&D involvement.

However, because food insecurity is a problem in many countries around the world, and because the new P.L 480 mandate will affect missions Agency-wide, a worldwide centrally-funded project would be the most cost-effective project mechanism. While solutions to food insecurity are necessarily country-specific, many facets of this problem are shared by countries across and within regions, and the FS-I methodologies for addressing food security can be effectively applied in countries worldwide. Central management is therefore important to facilitate synergism and cross-regional comparisons. The project can build on lessons learned over the years and across regions, and avoid duplications of effort and "reinventing of the wheel" by individual missions or regions. Furthermore, MSU has utilized the cooperative agreement instrument as a cost-effective means for undertaking research by using graduate students (who are less expensive) to carry out field work with extensive backstopping support from senior faculty researchers.

D. Social Soundness Analysis

A.I.D.'s Social Soundness Analysis (Handbook 3, Appendix 3-F) calls for an assessment of three critical issues: "(1) the compatibility of the project with the sociocultural environment in which it is to be introduced (its sociocultural feasibility); (2) the likelihood that the new practices or institutions introduced among the initial project target population will be diffused among other groups (i.e., the spread effect); and (3) the social impact or distribution of benefits and burdens among different groups, both within the initial project population and beyond."

Socio-Cultural Feasibility: For the project to succeed in its efforts to formulate policy recommendations and private sector strategies which have high chances of being adopted, FS-II researchers must take careful consideration of the socio-cultural implications of such policy suggestions. Socio-cultural feasibility will be enhanced through FS-II's joint product approach in which host country analysts and policy makers participate fully in research design and implementation and in policy analysis and formulation. Because of their more intimate knowledge of local culture and social conditions, host country analysts may bring insights and perspectives essential to understanding the socio-cultural implications and feasibility of policy recommendations. In FS-I, for example, the final evaluation notes that the design of the Market Information System (MIS) in Mali was significantly enhanced by the participation of Malian researchers. Similar participation by Zimbabwean, Rwandan and Senegalese analysts likewise contributed to the successful impact of FS-I in their respective countries.

Experience under FS-I has shown that the quality of research is often enhanced when the socio-cultural implications of the information gathered are taken into account. Specifically, the

project's use of the household as an analytical optic has greatly improved the quality of policy recommendations. In Mali, for instance, researchers discovered that significant quantities of stored grain were missed in measuring on-farm storage when only male heads of household, and not female producers, were queried. In Senegal, as another example, surveys of women within households revealed that the time cost to process grain was found to be an important factor in determining the demand for coarse grains, an observation not noted in surveys of men. Such findings demonstrate the importance of intra-household data collection and analysis for understanding food security issues. However, in some cases, placing a greater emphasis on understanding intra-household dynamics and the impact of changes in technologies, institutions and policies within households, may be constrained by socio-cultural factors which inhibit data collection. In some cultures, for example, the strict adherence of rural families to the separation of women from male strangers may necessitate the use of female enumerators for surveying women within households.

Furthermore, the receptiveness of host country policy makers to policy suggestions, the degree of acceptance of new policies among the general public, and the effectiveness of attempts to implement the policies, may be significantly affected by social practices and cultural attitudes. For instance, policies designed to improve intra-household food security by increasing women's access to resources such as land and credit may be in conflict with established cultural roles and divisions between men and women. Hence, food security cannot simply be achieved through conventional economic prescriptions without taking account of the complexity of inter-related cultural factors.

Another example would be the suggested use of yellow maize as a means of self-targeting food aid in southern Africa. FS-I research in Mozambique has demonstrated that yellow maize acts as an inferior good (in the economic sense). That is, people with insufficient incomes to meet their food needs are willing to consume subsidized yellow maize but those with higher incomes would prefer to purchase white maize at higher cost. This preference for white maize is due not to differences in taste, convenience of use or nutritional value but rather to social attitudes toward yellow maize. Although typically used for human consumption in the United States, yellow maize is regarded as animal feed and unfit for human consumption in much of southern Africa and is consumed only when the cost of white maize is prohibitive. Because of this cultural attitude, subsidized yellow maize may serve as a cost-effective self-targeting means for distributing food aid to low-income Mozambiquan consumers. However, in other southern African countries where problems of food insecurity may be less severe, or cultural aversion more pronounced, negative attitudes towards yellow maize may make its use as food aid less feasible. Zimbabwe, for example, has been reluctant to accept yellow maize as food aid after previous attempts led to political discontent. This example

illustrates the importance of understanding the socio-cultural contexts in which project activities take place.

The Spread Effect: Broad-based, market-oriented economic growth must be directed toward achieving food security for all sectors of society. It is essential, therefore, for benefits of the research activities to spread widely beyond the immediate target population. The immediate beneficiaries, of course, will be the approximately 150 participating research personnel in about 15 countries who receive training, as well as the decision makers in these countries who benefit from using project-generated analyses in designing their food security strategies. Assuming that new information and analyses are incorporated into policy-making, and that revised policies and programs lead to improved food security, the ultimate beneficiaries of the project will be those individuals in low-income rural and urban households in developing countries who are most vulnerable to food insecurity. Ensuring that benefits are spread widely beyond the initial target populations (i.e., research institutions and policy analysts) is of primary concern to the project. This is encouraged through FS-II's emphasis on generating policy- and program-relevant research information and by monitoring impact down to the household level. Benefits from FS-II's research can even spread beyond participating countries through effective dissemination of findings to analysts in non-participating countries, throughout A.I.D., and among the development community as a whole.

Social Impact/Costs and Benefits: By conducting policy-relevant research, providing timely and effective dissemination of findings, and strengthening local research capacities, FS-II will improve the ability of participating countries to develop effective food security strategies, thereby contributing to the goal of increased food security as a part of broad-based, market-oriented sustainable economic growth.

The Cooperator will be required to monitor and demonstrate the extent to which the project's activities result in positive social impact. Impact can be measured quite directly in the case of policy makers and research institutions and staff. People-level impact will be more indirect, and often long term, and therefore more difficult to measure. Assessing people-level impact will require establishing a wide range of indicators to: (i) reflect the many factors impinging on food security as uncovered in prior and current research; (ii) trace the process of defining, adopting and implementing new policies and programs growing out of the research; and (iii) determine their effect at the household level. This type of assessment will be carried out as described in Section VI.C.

Although improving the efficiency of food production and distribution systems can be expected to improve access to food for all people, the primary target beneficiaries of the project are

those low-income households and population sub-groups most threatened by food insecurity. It is inevitable, however, that changes in policies and programs resulting from this project will also create losers, since virtually all market or policy failures benefit someone. For example, policies to liberalize markets or develop market information systems could have adverse effects on the producers or traders -- probably a minority -- who may have benefitted from the accrual of economic rents resulting from so-called "market failures". If these are politically powerful groups with vested interests in maintaining the status quo, those promoting policy and market reforms -- including FS-II researchers -- will need to focus on the politics of overcoming resistance to the adoption and implementation of improved food security strategies.

Particular attention will be given to women, both as beneficiaries of the project and as participants in its activities. The critical role women play in household food security strategies, and the unique social and economic constraints they frequently face in pursuing these strategies, have received too little recognition from food policy analysts. Not only do women grow most of the food in the developing world, they are also primarily responsible for post-harvest processing, marketing and family nutrition. Despite this, women have less access to and control over key productive resources such as land, capital, extension services, technology, and credit than their male counterparts, and have historically been excluded from most farmers's groups and cooperatives.

FS-II will address the special role of women in household food security strategies as well as the differential impacts that policies and programs may have on men and women. Concern for WID issues is directly integrated into the project through its analytical focus on intra-household dynamics. To ensure that women's perspectives and concerns are addressed, gender-disaggregated data must be collected not only at the household level but within households as well. As noted above, in many cases this may be facilitated by the use of female enumerators. Every effort will also be made to involve female researchers in the project activities and to ensure that resources available for research assistantships are made equally available to them.

E. Administrative Analysis

The purpose of this analysis is to outline what kind of administrative arrangements and capabilities are needed to effectively carry out FS-II's project activities. The analysis will discuss: (i) the selection of the cooperating institution; (ii) the assistance instrument to be used; and (iii) the project management procedures to be followed. Assessing the administrative capabilities of A.I.D. and MSU to manage FS-II is made easier by the fact that this is a follow-on project.

1. Selection of Cooperating Institution

The Senior-level PID Review Committee determined that the FS-II project would be best implemented through a cooperative agreement awarded non-competitively to Michigan State University (MSU), with the provision that MSU submit a proposal identifying another collaborating institution(s) with complementary geographic and substantive expertise (see Information Memorandum, Annex E). This determination is consistent both with the recommendations of the final evaluation for FS-I and with Chapter 2, Section 2B.2.4. of A.I.D. Handbook 13 which states that competition is not required for "follow-on assistance awards intended to continue or further develop an existing assistance relationship." Non-competitive awarding of FS-II to MSU is advisable because of:

- * MSU's success in implementing the FS-I project;
- * its substantial commitment to, and investment of university resources in food security research, including a strong core team of tenured faculty;
- * its effectiveness in developing institutional ties with host country governments and research institutions, utilizing its joint product/interim report methodology; and
- * the substantial investment which A.I.D. has already made in developing MSU's institutional capability to carry out food security research.

2. Assistance Instrument

The most appropriate procurement instrument, based on the experience of FS-I, would be to negotiate a cooperative agreement with MSU. The objective of the cooperative agreement is to further strengthen MSU's program of research on food security issues in order to enable A.I.D. to achieve FS-II's project purpose. MSU will work collaboratively with the R&D Bureau, regional bureaus in AID/W, field missions, participating host country agencies and regional research centers, and other interested donors or development institutions. It will mobilize and apply its resources, and where appropriate those of subcontractor institutions, to generate and disseminate knowledge which can be used to guide the formulation of host countries' and donors' technical recommendations, policies and programs related to food security. It will likewise use its expertise and resources to develop the capability of host countries and regional policy research organizations to undertake food security research, draw policy- and program-relevant conclusions and recommendations, and monitor the results in terms of policy adoption, implementation, and people-level impact. The cooperative agreement will be negotiated for an initial period of five years, and will be

renewable subject to the outcome of a project evaluation which will be conducted late in the fourth year of the Agreement.

Success of the project requires that appropriate mechanisms are in place to enable USAID missions and regional bureaus to participate in project activities. Given the dual concerns of being responsive to mission needs while maintaining the integrity of the research agenda, an ideal arrangement would be to continue to allow add-ons from the missions to the cooperative agreement, as was done under FS-I. Such add-ons will allow mission participation in applied research activities which support the project's research agenda. The ability to accept mission resources as add-ons is essential for providing country case study data as well as opportunities for long-term involvement and capacity strengthening. While close collaboration with USAIDs and bureaus in designing activities is expected, add-ons to the cooperative agreement must be initiated by research proposals submitted by the Cooperators to ensure that research activities remain focused and relevant to the project's research objectives. This arrangement worked very successfully in FS-I and should be continued.

In addition, it is anticipated that a non-competitive Basic Ordering Agreement (BOA) will be negotiated with MSU to: (i) enable the project to assist missions and participating countries to apply FS-II-generated research recommendations in the form of technical assistance; (ii) assist missions to diagnose food security problems; and (iii) enable missions to access MSU personnel in designing appropriate food security research programs.

3. Project Management

Role of A.I.D.: The implementation of the FS-II project will be subject to substantive and management oversight by a project officer from the R&D Bureau's Office of Economic and Institutional Development (R&D/EID/RAD). The project officer will allocate approximately 50 percent of her/his time to FS-II, which is consistent with R&D/EID's current staffing capabilities. He/she will help identify research issues, chair project committee meetings, and seek to assure satisfactory implementation of the agenda and progress towards the achievement of the project's objectives. The project officer's management and oversight function involves the provision of overall project direction and:

- * concurrence with the project's annual workplans and revisions;
- * agreement with selection of research sites and specific research agendas;
- * clearance of field visits through A.I.D. missions;

- * coordination of project activities with A.I.D. project officers involved with similar or related activities; and
- * approval of and collaboration with MSU in research dissemination activities.

This oversight will assure adequate representation of A.I.D.'s and MSU's respective interests in the project, appropriate fit of the project's research program with developing countries' interests and with A.I.D. policies, and efficient use of complementary resources available from FS-II and related activities.

In addition, the project officer will be responsible for carrying out regular project tasks such as voucher approval, budget preparation, and PIO/T preparation and clearance. The project officer will also be responsible for establishing and chairing a project committee, through which the regional and central bureaus concerned can provide substantive input into the direction of FS-II's activities. One of the most important functions of the project committee is to review and recommend appropriate R&D/EID/RAD action (i.e., approval or disapproval) of proposed annual workplans for the project.

USAID missions will also be involved in managing FS-II's in-country field activities. As in FS-I, however, logistical and administrative support from field missions will be kept to a minimum. Field activities and responsibilities will be based on memoranda of understanding reached between MSU, the missions and the participating host country agencies. Add-ons and buy-ins from USAID missions must be consistent with FS-II's objectives and research agenda.

Cooperator: MSU will be the primary party responsible for execution of the activities of the project, as outlined in this project paper, and as elaborated upon in the terms of reference for the cooperative agreement. Communications between MSU and A.I.D. bureaus and field missions will take place through or be closely monitored by the R&D/EID/RAD project officer. MSU will be expected to keep the project officer fully advised of the substantial and financial status of all its FS-II field activities, and of all important communications with A.I.D. field missions.

Project management by both A.I.D. and MSU was evaluated very favorably under FS-I. Regarding MSU, FS-I's final evaluation noted that "MSU's management of the project has consistently received good marks from participating USAID missions for: (i) identifying excellent...research personnel; (ii) requiring minimal logistical and administrative support; and (iii) providing intensive and outstanding technical backstop support to field researchers. Given

the success of FS-I's management, FS-II would be expected to continue the same general management approach.

The evaluation also praised MSU's administrative support staff observing that they are "experienced and quite knowledgeable of A.I.D.'s procurement rules and reporting requirements. The project's monthly financial tracking and reporting system is one of the best in (R&D/EID). The skills and experience of MSU's administrative staff have minimized management burdens on the MSU director and the (R&D) project manager."

The geographic expansion of the project does entail some additional management complexities both for A.I.D. and for MSU. Trying to remain responsive to the differing needs and interests of three or four regional bureaus will present a challenge. The need for MSU to link up with another institution/s to complement its geographic and substantive expertise will also present an additional project management challenge. MSU has shown in FS-I, however, its ability to collaborate with other institutions to acquire complementary skills. For instance, MSU's sub-agreement with the University of Arizona to provide computer training (in Portuguese) for Mozambican researchers contributed to the success of its highly-praised work in Mozambique.

Annual Workplans: Prior to the release of annual core funding allotments for the project, an annual workplan submitted by MSU and approved by R&D/EID/RAD will be required specifying the tasks proposed for the coming year, the level of effort for the various targeted outputs and the mix of personnel and disciplines needed to accomplish each task. The annual workplan is intended to explain the overall allocation patterns against expected project outputs, and to provide a running assessment of the status on each of the research topics and themes, and of their relevance to evolving A.I.D. priorities and strategies. Experience from the management of other R&D/EID projects has shown that making the release of R&D core funds contingent on R&D/EID approval of the workplan is a highly effective way of ensuring that the Cooperator's activities are consistent with the needs of R&D/EID and of participating bureaus and field missions. The workplan reviews have also served as a venue for communicating A.I.D. interests and priorities to the project implementors and have generated a sense of ownership in the project among offices outside of R&D/EID.

The workplan should not exceed 20 pages in length (although necessary appendices are permitted) and will contain, at a minimum:

- * a brief status report on work done during the previous year, including a concise discussion of the policy implications of research findings;
- * a budget projection for the coming fiscal year;

- * a schedule of planned activities by category and anticipated level of effort;
- * a justification for proposed research, including a discussion of research objectives, hypothesis, expected outcome and methodology;
- * an explanation of progress attained against stated objectives, problems encountered and adjustments made or required; and
- * a schedule of planned outputs.

Coordination with Other Activities: In order to take advantage of possible complementarities and to avoid duplications of effort, it will be incumbent upon MSU and the R&D/EID/RAD project officer to ensure that all proposed activities are screened for possible coordination with other activities carried out by A.I.D. (R&D, FHA and regional bureaus) or by other donors and institutions. Coordination may be facilitated by sharing research findings and papers, joint participation in workshops and seminars, or by other informal means of communication. MSU will be asked to detail, for inclusion in the cooperative agreement, its own procedures for such coordination. The project officer, in turn, will assist in coordination by conducting regular meetings with MSU and project officers and implementors of related projects to review their respective projects and discuss possible opportunities for cooperation or risks of unnecessary overlap. In cases where the FS-II project officer and his/her counterpart on another central or regional project see an advantage for a mission to meld the projects' resources through coordinated buy-ins, the mission will be contacted with a proposal to this effect. If such coordination is deemed suitable on a general basis, a joint cable may be sent to all the missions concerned.

F. Environmental Analysis

FS-II involves applied research, information dissemination and capacity-building activities which will have no direct impacts on land use, water quality, the atmosphere, natural resources or cultural traditions. There is therefore a negative determination on the need for an Initial Environmental Examination (IEE) under Part 216.2(c) of 22 CFR (see Annex C). The project will, in fact, through its cross-cutting theme of "Food Security and Natural Resource Management", seek to identify strategies which enhance the environment and increase the sustainability of the resource base while promoting broad-based economic growth.

VII. IMPLEMENTATION ARRANGEMENTS

A. Procurement Mechanisms

As noted above, FS-II will be implemented through a cooperative agreement awarded non-competitively to MSU with the expectation that they will involve other institution(s) with complementary geographic and substantive expertise in implementing specific project-supported research activities. Further, MSU will be encouraged, in accordance with Section 579 of AID's Appropriations Act of 1990, to involve a Gray Amendment-qualified firm or university, unless it is determined that no suitable Gray Amendment institution with the required expertise in food security issues is available.

A five-year cooperative agreement will be negotiated with MSU following authorization of the Project Paper. While the bulk of core funding, after FY 1992, is expected to come from R&D/EID's budget, additional core support is anticipated from regional bureaus to support research efforts related exclusively to the regions providing the funding. This supplemental regional core funding will be transferred via an OYB transfer and administered by R&D/EID. OYB transfer documentation will be accompanied by memoranda of understanding (MOU) between MSU, R&D/EID and the regional bureau offices providing the funding, which includes general outlines of the research areas to be studied. While they will allow MSU the flexibility to use its expertise in determining the appropriate activities to undertake as the research unfolds, these MOUs are important to assure the bureaus that their funding will be spent on activities which support their strategic objectives and information needs.

Funding to support specific applied research activities consistent with the project's research agenda will be provided through add-ons to the cooperative agreement as was successfully done in FS-I. Proposals for research programs will be prepared by MSU and attached to the PIO/Ts submitted to FA/OP. Memoranda of Understanding will also be developed between MSU, participating country institutions, and the USAID missions providing the funding. Funding for technical assistance services to USAID missions related to applications of research findings should be funded through buy-ins to the BOA with MSU, provided that a non-competitive BOA will be awarded to MSU.

B. Implementation Plan and Schedule

This section gives a brief overview of the procedures by which research programs will be developed, as well as likely areas for initial project implementation based on indications from regional bureaus and field missions. A tentative schedule for project activities over the life of the project is also included.

The first annual workplan for the project, which will be developed shortly after a cooperative agreement with MSU is negotiated, will provide more detailed information on planned activities for the first year of the project.

As noted in Section IV.B, research program design and implementation will be completed in four phases: a reconnaissance phase; a planning and networking phase; a research and analysis phase; and a dissemination and policy dialogue phase. These phases are not intended to be strictly temporally distinct. Overlapping of research and dissemination is, for example, an essential component of the project's joint product/interim report methodology. Planning and networking are also expected to be ongoing activities in any research program.

In the reconnaissance phase, the MSU Project Director and researchers, with the assistance of the R&D/EID project officer and regional bureau counterparts, will try to identify suitable countries, counterpart institutions and research sites and to generate interest among USAID missions. Several criteria for site selection are listed below. Core funding will be made available for this purpose in Africa in FY 1992 and in other regions beginning in FY 1993 (earlier if FY 1992 core funding becomes available from other regions).

Once appropriate countries have been identified and USAIDs have indicated a desire to support specific food security research areas in those countries, MSU will initiate a **planning and networking phase** in which they meet and discuss with participating country policy makers, analysts and, where appropriate, private sector representatives, to identify areas of mutual interest where information collection and analysis may contribute to improved food security. Once research topics have been agreed upon, MSU researchers in collaboration with participating country research institutions will begin planning and designing activities. As was the case in FS-I, this includes developing research planning matrices, outlining task calendars and designing research questionnaires. A more complete description of these tools and other research planning methods is given in Annex F.

With initial planning completed, the **research and analysis phase** will begin. Research assistants and local enumerators are expected to conduct most of the household data collection and processing with oversight from senior researchers from MSU and counterpart institutions. This approach has been demonstrated to be cost-effective in implementing FS-I by making efficient use of senior researcher time. Specific analytical methods to be used will depend on the nature of the research inquiry. A discussion of the enumerator selection and data collection and analysis methods which were used in FS-I and should continue to be applied in FS-II is given in Annex G.

Once data has been collected, processed and analyzed, project researchers will enter into the dissemination and policy dialogue phase. That the dissemination of findings are done in a timely and effective manner is essential to the project's efforts to achieve policy and private sector impact. Timeliness will be encouraged by the dissemination of interim reports issued even before all final results may be in. Care must be taken to communicate results to decision makers, whether in oral or written presentations, in a way that is both easily understood and useful to them in their decision-making. More specific dissemination requirements are outlined in Section IV.D, Output 2. Technical assistance to assist USAIDs and participating host governments to develop policy and program applications of the project's research findings will also be conducted during this phase.

The final evaluation for FS-I recommended that FS-II continue to focus on sub-Saharan Africa but that it also expand to other regions because (a) food security issues are relevant to all regions; and (b) an expansion allows for cross-regional comparative analyses. Given the limited resources available, however, criteria must be developed for identifying which countries are most appropriate for inclusion in the project's activities. Several important criteria are as follows:

- * Severity of food insecurity problems.
- * Expressed interest of host country officials, USAIDs and regional bureaus.
- * Demonstrated ability and willingness of governments to implement necessary reforms.
- * Potential for organizing a collaborative research team.
- * Research/assistance needs consistent with FS-II's project agenda.

A summary of FS-II's proposed activities and analytical agenda was sent by cable to USAID missions in November, 1991. Missions were asked to respond by indicating their areas of interest in the project and potential levels of participation. The mission responses received are compiled and summarized in Annex D. Further contacts will be made with interested missions and regional research organizations such as the Sahel Institute (INSAH) to discuss plans for participation. The following is a brief discussion of likely areas of initial implementation based on information from these responses and other sources. These proposed areas of initial implementation are based on considerations of the first two country selection criteria identified above. Whether the other three criteria are applicable to these countries will need to be determined by discussions held with host countries and USAIDs during project implementation.

1. Africa Region

No R&D/EID funds were budgeted for FS-II in FY 1992. In order to ensure a smooth transition of activities from FS-I to FS-II, however, the Africa bureau has agreed to provide FY 1992 funding. If no other funds become available in this year, the cooperator will initially focus activities on Africa, while developing a strategy for expansion into other regions in FY 1993.

Eleven African missions have indicated their interest in FS-II. These are Cameroon, Guinea, Kenya (REDSO/ESA), Lesotho, Madagascar, Malawi, Mali, Mozambique, Niger, Senegal and Uganda. Among these, Mozambique and Mali are the most likely to participate at the outset. Further discussions with USAIDs, host countries and the Africa bureau should determine which other countries will participate.

In the Sahel, FS-I is currently conducting research to reinforce the role of market information systems in improving household access to food. Food security research is expected to continue in the Sahel region under FS-II through the Programs for Applied Policy Research in the Sahel (PADRES) project designed by AFR/SWA/REGL. PADRES will focus on three areas of regional policy development -- agricultural research, food security and natural resource management. The project designers have expressed interest in having the food security component be implemented through a buy-in arrangement with FS-II. The cooperator would work with the Program for Institutional Reinforcement to Sahelian Food Security (PRISAS), a pilot program developed during FS-I at INSAH, which is based in Bamako, Mali.

In Mali, which has benefitted considerably from FS-I research, USAID/Bamako is especially interested operational issues such as finding better ways to target food aid to ensure food security of at risk households in drought areas.

In Mozambique, applied research is currently being done under FS-I to assist USAID and the government of Mozambique design and implement a research and policy dialogue program to promote food security through increased agricultural production and marketing. The mission reports that all of the topics and themes proposed for FS-II are of high interest and that priority among them will be based on results of the research and analyses currently underway.

USAID Rwanda recently expressed interest in supporting research that explores the linkages between economic growth and food access, as well as a study on the sustainability of various food security strategies.

2. LAC Region

Project activities in the LAC region are not expected to begin until FY 1993 unless the LAC Bureau is able to provide FY 1992 core funding. Eight of the nine LAC missions expressing interest in FS-II identified Topic 2, "Macro/Sectoral Policies and Complementary Actions to Safeguard Food Security While Promoting Broad-Based Income Growth," as a priority activity. Missions are also very interested in Topic 1, "Improving Access to Food by Vulnerable Groups" and Theme 2, "Food Security and Natural Resource Management." The strongest expressions of interest came from USAIDs in Barbados, Bolivia, Honduras and Peru. Other interested missions include Belize, Ecuador, Guatemala, Jamaica and Nicaragua. Contacts will be followed up with each of these missions.

USAID/Barbados reports that "the satisfaction of food needs...will remain as a priority issue....This issue must be the focus of our bilateral and AID/W supported policy projects, and viewed under an integrated and logical analytical framework as proposed in (FS-II)." The mission's "principal justification for accessing (FS-II) would be to complement the capabilities of mission's proposed Eastern Caribbean Agricultural Policy Project which is expected to deal with food system policy issues over the period 1992 through 1997."

USAID/Honduras is currently implementing an agricultural sector development strategy that targets reduced malnutrition and increased food security as primary goals. Relevant questions which the mission feels could be addressed by FS-II include: (1) What quantifiable impact does economic growth in the Honduran context have on rural malnutrition? (2) What is the short-term impact of agricultural price increases on the urban poor? and (3) What type and scale of direct feeding or food security programs should be established to offset negative effects of readjustment?

USAID/Peru has been preparing a food security strategy expected to be ready early in 1992. The mission is interested in FS-II's objectives and approach and finds all the proposed topics and themes to be relevant to Peru. The mission will be able to more specifically identify possible areas of FS-II activity once it has completed its strategy formulation.

USAID/Bolivia is primarily interested in Topic 2 and Theme 2. Its potential level of interest in Topic 2 is for short-term assistance costing about \$50,000 and potential interest in Theme 2 is for medium-term assistance costing about \$100,000.

3. Near East Region

Three Near East missions have indicated interest in FS-II's activities; Egypt, Morocco and Tunisia. Of these, Egypt

has expressed the strongest interest, stating that "promotion of food security is of very high priority in Egypt (and)...that (FS-II's) services will be in demand over the next several years." Because of USAID/Egypt's priority on food security, and its greater availability of funds, it is the most likely Near East mission to participate in FS-II in FY 1993. The mission is concerned with the short-term food security implications for vulnerable low income groups of higher food costs resulting from the country's rapid shift from a tightly-managed economy to a free market economy. To this end, the mission has undertaken a study in 1992 to: (1) identify vulnerable low-income groups; (2) make a preliminary analysis of the impact of increased prices of basic foodstuffs on the health and welfare of this group; and (3) develop recommendations for a systematic approach to dealing with the vulnerable groups without interfering with market efficiency, considering possibilities such as income support, food stamps and food for work programs. USAID/Egypt wants to explore ways that FS-II could be used to assist them in this study. They are also interested in studying the roles of price and supply stabilization schemes, employment policies, privatization of agro-industries, land and water management, and public investment, as they relate to food security.

4. Eastern Europe

Cables were not sent out to missions in the Eastern Europe Bureau. However, the division chief of EUR/DR/FS has written a memo indicating interest in the project and possible areas where assistance might be sought (see Annex D). Although it is too early to specify plans for implementation in Eastern Europe, EUR/DR/FS anticipates a need for policy analysis and advice on food security issues in light of the sweeping political and economic reforms, as well as advisor capacity-building in the host countries. Two important areas of analysis would be to (a) encourage a vigorous response by the private sector to a more favorable policy environment, and (b) encourage sustainable resource use. Recently EUR/DR/FS has reconfirmed its interest in obligating funds in FY 1992 to support FS-II research but uncertainty regarding the availability of funds prevents a firm commitment at this time.

5. Asia Region

No mission in the Asian Region has indicated, at this time, that they anticipate buying into FS-II's activities. Therefore there are no immediate plans for expanding FS-II into Asia. However, the possibility of including Asia at a later time, if there is bureau and mission interest, is left open.

6. Implementation Schedule

A tentative schedule for project implementation is as follows:

Years 1 - 2

- Initiate activities in Sub-Saharan Africa. Identify initial research topics and sites. Conduct pre-research implementation visits to participating countries to: (1) identify research problems in collaboration with local policy makers and analysts; (2) locate suitable counterpart host country research institutions; and (3) carry out financial and project planning for country research programs (CRPs); and (4) conclude agreements with USAIDs and memoranda of understanding between MSU and host agencies.
- Develop baseline set of activities to identify populations vulnerable to food insecurity, to monitor the effectiveness of food security strategies and to assess the people-level impact of project activities. These indicators should be approved by the R&D/EID project officer.
- Develop research planning matrices and task calendars jointly with host country analysts.
- Complete project planning and implement field research activities jointly with host country specialists in first CRPs.
- Prepare strategy for expansion of project activities into regions outside of Africa beginning in FY 1993.

Years 2 - 4

- Expand project geographically and thematically as appropriate. Introduce project activities into other regions as well as other African countries. Conduct pre-research implementation visits to these subsequent CRPs and carry out research and dissemination activities.
- Begin conducting region-specific thematic seminars on project findings.

Year 4

- Conduct mid-term project evaluation, financial review, and in-depth study of project impact

Year 5

- Conduct cross-regional workshop to discuss and disseminate major project findings and cross-regional comparisons.

Re-evaluate project objectives, analytical priorities, research and dissemination methods and geographic coverage based on feedback from evaluation, workshop and other sources and develop research strategies for the second half of the project accordingly.

Years 5 - 9

- Launch second half of project. Based on the re-evaluation of objectives, priorities and methods, continue project activities outlined above in selected countries served during the previous five years and in new countries.

Year 9

- Conduct final project evaluation, financial review and in-depth study of project impact.

Year 10

- Complete drafting and publication of research papers, review findings, prepare final synthesis report, evaluate people-level impacts of project and identify policy recommendations, lessons learned and suggestions for further research.

- Conduct cross-regional workshop on major findings and cross-regional comparisons.

- Complete other dissemination requirements such as transfer of data bases to CDIE.

- Close down project activities.

C. Monitoring and Evaluation

A system of monitoring and evaluation will be implemented to track and assess the progress of FS-II in terms of the efficiency and effectiveness with which project resources are used. **Efficiency factors** to be assessed will cover the financial and administrative management of project resources, including the promptness and completeness with which MSU and A.I.D. managers respond to host country needs and requests. **Effectiveness** will be assessed in terms of:

- the professional quality and usefulness of the research undertaken, of the technical assistance and training rendered, and of the host country capacity developed for food security research, analysis, policy formulation and impact monitoring (output and purpose levels); and

- the impact of the research on policy adoption and implementation and ultimately on the people whose food

security the project is designed to improve (sub-goal and goal levels).

The monitoring and evaluation system is comprised of the following elements, which will involve the participation of A.I.D., MSU, host country and external personnel:

Continuous Monitoring: The R&D/EID/RAD project officer will continuously monitor project activities. The project officer will keep the R&D Bureau and the FS-II project committee informed of progress in each area of activities, problems which develop, and corrective actions being taken to resolve them.

Annual Workplans: As previously described, the Cooperator's annual workplans will provide information on the progress made in implementing the project during the past year, problems encountered and solutions proposed or taken, and planned activities for the coming year.

Impact Indicators and Progress Reports: The Cooperator will develop a set of progress and impact indicators (as prescribed in section IV.D, Output 3), including baseline data, and a plan and schedule for gathering relevant progress data to monitor the adoption, implementation and people-level impact of project-generated policy and program recommendations. Accordingly, the Cooperator will issue annual progress reports illustrating the policy and people-level impacts of FS-II activities. Initially, indications of accomplishment at these sub-goal and goal levels may be very limited. As time progresses, however, assessments of project impact are expected to be more extensive.

Peer Review: Annex B, "Peer Review Plan," describes project peer review mechanisms in detail. Ongoing peer review of project research will be provided through (a) networking and dissemination (review of interim research reports, policy discussions, workshops, and publication of final reports in refereed journals), and (b) a peer review committee established through the National Academy of Sciences which will meet every two years to review the cumulative research output of the project for quality and relevance.

External Evaluations - The project will be formally evaluated twice, during the fourth and ninth years of implementation. The evaluations will be conducted by a team composed of representatives from the participating regional bureaus and at least one non-A.I.D. specialist with demonstrated experience in an appropriate discipline related to food security. The R&D/EID/RAD project officer and MSU representatives will serve as resource persons for the evaluation team. The evaluations will assess: (a) progress in accomplishing the goal, sub-goal and purpose of the project; (b) the extent to which the outputs have been accomplished, the quality of outputs produced, and the contribution of the outputs to the accomplishment of the project's higher-level objectives; and (c)

the appropriateness and adequacy of project inputs. A major focus of the evaluations will be the intermediate and people-level impact of the research, as described above. In-depth impact assessments should be completed by the Cooperator prior to the evaluations and will be verified by the evaluation teams and included in their reports.

The evaluations will also assess whether major management and technical problems exist, and propose solutions to improve project implementation. The first evaluation will be critical in determining any major design changes in project implementation during the last half of the life of the project. The final evaluation will also examine the need for, and the future direction of, any A.I.D. assistance in addressing food security issues after the project ends.

Final Report - The Cooperator will be asked to prepare a final report which summarizes the project's major accomplishments and research findings over the life of the FS-II project. Accomplishments that have influenced institutional and policy-related changes in participating countries, and research findings which have added to and advanced the body of knowledge on food security, will be highlighted in the final report. An initial version of this report should be coordinated in Year 9 with the final in-depth study of project impact, and before the final external project evaluation is undertaken, so that the MSU report can provide inputs into the evaluation process. The report may be updated and finalized in Year 10.

ANNEX A

**LOGICAL FRAMEWORK
FOOD SECURITY II**

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>GOAL: To increase food security in developing countries as a part of broad-based, market-oriented, sustainable economic growth.</p>	<p>MEASURES OF GOAL ACHIEVEMENT: Reduced levels of both temporary and chronic food deficits at national, regional, household and individual levels.</p> <p>Reduced incidence of malnutrition and hunger-related deaths and illnesses.</p> <p>Increased incomes among the poorest members of developing countries.</p> <p>Reduced dependence on external food aid.</p>	<p>Household consumption surveys.</p> <p>Economic and health statistics compiled by host governments, research institutions and donors.</p> <p>Food aid statistics.</p>	<p>International and domestic conflicts do not undermine economic development and food security.</p> <p>Global food production potential is able to keep pace with population growth and rising incomes.</p> <p>Participating governments and donors are able to cope effectively with natural disasters affecting food security.</p>
<p>SUB-GOAL: To ensure adoption by public and private sector decision makers (including A.I.D. and other donor agencies) of effective policies, programs and management processes that promote food security based on project-generated research and analyses.</p>	<p>Policies are adopted which reflect thorough analysis of empirical data and consideration of alternative options.</p>	<p>Country development plans and programs, institutional and management reforms, investment decisions.</p>	<p>Political pressures do not prevent participating countries from adopting sound policy and program recommendations growing out of the project research.</p>

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>PURPOSE: To strengthen the capacity of participating countries and USAID missions to analyze food security issues and to formulate policies, institutional reforms, investment plans and management processes that promote food security.</p>	<p>END OF PROJECT STATUS: The knowledge base on food security issues and policy implications is substantially expanded and improved.</p> <p>Project-generated findings will be communicated to host country and A.I.D. decision makers, and the broader development community, in a timely, effective manner.</p> <p>Indicators and monitoring systems established in each participating country for assessing the people-level impact of food security strategies.</p> <p>Collaboration with and training of host country participants results in strengthened local capacities for continued food policy research and analysis.</p>	<p>Project research papers and publications.</p> <p>Participating country and USAID policy and strategy papers.</p> <p>Project monitoring reports and evaluations.</p> <p>Site visits.</p> <p>Interviews with host country, research center, A.I.D. and other donor personnel concerned.</p>	<p>Participating countries and regional organizations:</p> <p>(a) participate substantially in FS-II with requisite personnel and other resources over an extended period;</p> <p>(b) receive the necessary support from A.I.D. regional bureaus and USAIDS to complement R&D core funding; and</p> <p>(c) provide appropriate incentives for continued food security research, analysis and impact monitoring beyond the life of project activities.</p>

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>OUTPUTS:</p> <p>1. An expanded and improved knowledge base on policy-relevant food security issues.</p> <p>2. Timely and effective communication of project-generated findings to decision makers (both public and private sector) in participating countries, and to policy makers and analysts within A.I.D., and among the broader development community.</p> <p>3. Monitoring procedures and reports to assess people-level impacts of food security strategies.</p> <p>4. Strengthened local capacities for continued food policy research and analysis.</p>	<p>MAGNITUDE OF OUTPUTS:</p> <p>For each research activity, data are collected, analyzed and compiled into reports including discussions of project impact and lessons learned.</p> <p>At least five monographs, co-authored by host country researchers over the LOP.</p> <p>At least ten articles published in refereed journals over LOP.</p> <p>Two cross-country synthesis reports for each of the three topics in the research agenda.</p> <p>For each research activity topic, at least one policy-oriented interim report issued to concerned decision makers.</p> <p>Annual regional workshops, periodic seminars and one major cross-regional workshop per research agenda topic are held.</p> <p>Updated mailing lists developed, and research reports and data bases (diskettes) for each research activity disseminated among analysts and decision makers from host countries, AID and other donor institutions.</p> <p>Impact indicators and monitoring procedures identified for each project country, necessary baseline data collected, and sufficient training and equipment provided to host country personnel to enable continued impact assessment.</p> <p>Annual progress reports on FS-II lessons learned and people-level impact and more in-depth impact studies in years 4 and 9.</p> <p>Host country analysts involved in all research design and implementation activities.</p> <p>On-the-job training for at least 100 host country participants.</p> <p>Graduate degree training for at least ten host country students.</p>	<p>Annual workplans.</p> <p>Project records.</p> <p>Project papers and publications.</p> <p>Peer review reports.</p> <p>Reports on policy dialogues, seminars and workshops.</p> <p>Impact assessment reports.</p> <p>Field mission questionnaires and reports.</p> <p>Interviews with policy makers.</p> <p>Site visits.</p> <p>Project evaluations.</p>	<p>Participating countries and USAIDs recognize need for information and analysis regarding food security issues and policy implications.</p> <p>Host countries and USAIDs are willing to invest the necessary resources to participate in project research activities.</p> <p>Host country leaders are receptive to use of well-grounded research in establishing or modifying policies and programs affecting food security.</p>

61

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>INPUTS:</p> <p>1. Technical Assistance</p> <p>2. Applied Research</p> <p>3. Networking and Dissemination</p> <p>4. Training and Institution Capacity-Building</p> <p>5. Evaluations and Financial Reviews</p> <p>6. Contingency</p> <p>7. Inflation</p>	<p>IMPLEMENTATION TARGET(\$000):</p> <p>Core: 590 Add-on: 2,775 Total: 3,982</p> <p>Core: 5,000 Add-on: 7,450 Total: 12,450</p> <p>Core: 1,600 Add-on: 1,375 Total: 2,975</p> <p>Core: 900 Add-on: 2,800 Total: 3,700</p> <p>Core: 450 Add-on: 0 Total: 450</p> <p>Core: 854 Add-on: 1,440 Total: 2,294</p> <p>Core: 2,480 Add-on: 4,397 Total: 6,877</p> <hr/> <p>Grand Totals</p> <p>Core: 11,874 Add-on: 20,237 Total: 32,111</p>	<p>Project documents</p> <p>Vouchers</p> <p>Financial reviews</p> <p>Cooperator reports</p>	<p>USAIDS and regional bureaus continue to buy into the project at a 3:1 add-on to core ratio as was evidenced in FS-1.</p>

Annex B

PEER REVIEW PLAN

Title: Food Security II (FS-II)

Project Number: 936-5459

Technical Office: R&D/EID/RAD

Date Initial Obligation: FY 1992

Date PACD: FY 2002

Project Purpose: To strengthen the capacity of participating countries and USAID missions to analyze food security issues and formulate, institutional reforms, investment plans and management processes that promote food security.

I. Research Program or Topic

FS-II is an applied policy research and capacity-building project aimed at improved food security. Through a cooperative agreement with Michigan State University (MSU), researchers from MSU and sub-contracting institution/s will collaborate with developing-country specialists in country-specific research on the following themes and topics:

Overall theme: Ensuring household access to increased food supplies

Topics:

1. Improving access to food by vulnerable groups.
2. Macro and sectoral policies and complementary actions to promote food security through broad-based income growth.
3. Designing more cost-effective food systems and related institutions.

Cross-cutting themes:

1. Farm and non-farm sources of income to promote food security.
2. Food security and natural resource management.

Analytical Perspective: The Household and Intra-Household Dynamics

Each of these themes and topics is described in general terms in Section IV.F of the FS-II project paper. Specific

research activities will depend upon research plans developed with participating countries or regional research organizations. Initial expressions of field topical interest are cited in Annex 3 of the project paper.

FS-II will engage in four primary activities:

- * **Applied research on policy-relevant food security issues, including household-level data collection and analysis, country-specific studies and cross-country syntheses of research findings.**

- * **Networking and dissemination via meetings, interim reports, workshops, seminars and publications.**

- * **Capacity-building through on-the-job training of researchers and analysts within host countries and through selective funding of host country graduate degree research.**

- * **Technical assistance to USAIDs and participating host governments to identify food security issues, design research activities on those issues, and/or demonstrate policy and program applications of the project's research findings.**

FS-II will employ the **joint product/interim report methodology** developed in FS-I. This approach involves:

- joint definition of research problems with host country analysts and policy makers, thereby "creating a demand" for the research results;
- participation of local researchers in the entire research process in order to develop local analytic capacity and local "ownership" of the ensuing policy recommendations; and
- timely dissemination of research findings via policy-oriented interim reports issued before final results are in.

II. Peer Review Mechanisms used to Approve Research Awards

Michigan State University was selected by the FS-II PID review committee to implement this project based on its successful performance under FS-I in Africa. As detailed in the 1991 final evaluation of FS-I and as summarized in Sections III.B and VII.A of the project paper, MSU has an excellent record of achievement in, and professional and institutional capacity to conduct, collaborative food security research and analysis.

As MSU expands beyond Africa to undertake food security research in other regions of the world under FS-II, the university is expected to sub-contract with other research

institutions with complementary substantive and geographic expertise. A.I.D.'s in-house capacity in R&D and the regional bureaus is deemed sufficient to examine and approve such proposed sub-contracts, obviating the need for outside peer review. However, the research work of any sub-contractor, as well as of MSU itself, performed under this project will be subject to ongoing peer review as described in the next section.

III. Ongoing Peer Review Mechanisms

The research to be carried out under this project must be of the highest quality because it is intended for prompt use in developing or modifying food security policies and programs in countries which face major problems of access to food among large sub-groups of their populations. Flawed research, if accepted for policy and program use, could have serious economic, social and political consequences. The selection of a highly qualified institution with a solid track record to implement the project was the first step in assuring the necessary research quality. The second step is ongoing peer review of the research output. This will be provided in the following ways:

- Networking and dissemination: Project research activities will include a variety of accuracy and reality checks through discussions with policy makers, dissemination and review of interim reports, and workshops and seminars attended by the researchers, policy makers, outside experts, and A.I.D. technicians. All research activities will conclude with a published paper; a minimum of ten of these papers will be published in refereed journals.

- Impact monitoring: Project research will be validated in part through monitoring of its impact on policy adoption and implementation, and, over a longer term, its impact on the target population. Impact monitoring will be carried out as part of the research process itself and assessed in project evaluations in Years 4 and 9 of the project.

- Peer Review Committee: The cumulative research output of the project will be reviewed for quality and appropriateness every two years by an independent committee comprised of (a) approximately four experts in the various specialties involved in FS-II research and (b) at least one specialist in research methodology. A.I.D./R&D/Research and the National Academy of Science's Board of Science and Technology for International Development (BOSTID) have indicated to the PP design team their willingness to organize a peer review committee for FS-II under one of the cooperative agreements established between them to provide external technical advice to A.I.D. (Although the current cooperative agreements with BOSTID are scheduled to expire in FY 95, they are expected to be renewed or replaced by a similar mechanism for the years beyond). FS-II core funds

will be used to finance buy-ins for the peer review services. Reasonable expenses, but no salaries or honoraria, will be covered. To the extent possible, the same peer review members should serve during each biennial session to provide continuity. No member should be connected with the execution of the project research or have any other link to the implementing institutions that may represent a conflict of interest. Members of each biennial committee will be selected by NAS after informally conferring with A.I.D., including the project officer.

As a backdrop to the research output, the peer review committee will consider the overall research agenda and any status or progress reports and evaluations that are available at the time of each review. The project officer and MSU project director will brief the committee at the outset of its deliberations on the status of the project, and receive a debriefing from the committee on its findings, conclusions and recommendations. The committee will also present these results in a written report to A.I.D.

ANNEX C

CATEGORICAL EXCLUSION
TO THE PROCEDURES FOR AN
INITIAL ENVIRONMENTAL EXAMINATION

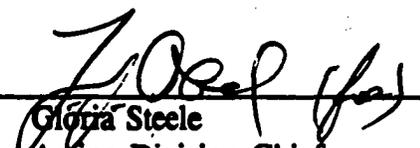
A.I.D. is required to ensure that the environmental consequences of A.I.D.-financed activities are identified and considered prior to a final decision to proceed and that, where necessary, appropriate environmental safeguards are adopted. The Initial Environmental Examination (IEE) is the first review of the reasonably foreseeable effects of a proposed project on the environment.

Under Part 216.2(c) of 22 CFR, IEEs are generally not required when the project to be funded is "research activities which may have an effect on the physical and natural environment but will not have a significant effect as a result of limited scope, carefully controlled nature and effective monitoring," or "Analyses, studies, academic or research workshops and meetings."

The proposed project will improve understanding of key development issues confronting developing countries that are seeking to provide food security for their citizens. It will also increase understanding of how A.I.D.-supported and other programs and projects can be structured or improved to enhance food security. Since the project involves research, analysis, monitoring and evaluation, synthesis, and packaging and dissemination of information, it qualifies for a categorical exclusion under both of these sections. An Initial Environmental Examination is, therefore, not required.

Concurrence: 
Eric Chetwynd
Office Director
R&D/EID

Approve : 
Disapprove : _____
Date : 2/20/92

Clearance:  Date: 2/10/92
Gloria Steele
Acting Division Chief
R&D/EID/RAD

**FOOD SECURITY II
PROJECT IDENTIFICATION DOCUMENT**

ANNEX D

- I. Summary of USAID Mission Interests
- II. Draft of Cable Sent to Missions Soliciting Interest in FS-II
- III. Individual Mission Responses Received as of January 10, 1992
- IV. Memorandum from EUR/DR/FS Division Chief Indicating Areas of Interest in FS-II's Proposed Activities

SURVEY OF USAID MISSION INTERESTS

COUNTRY	INTEREST		AREAS OF INTEREST					NOT INDICATED
	Y	N	TOPIC1	TOPIC2	TOPIC3	THEME1	THEME2	
AFRICA								

CAMEROON	X		X	X	X	X	X	
GUINEA	X		X	X	X	X	X	
GUINEA BISSAU	X							X
KENYA/REDSO/ESA	X		X	X	X	X	X	
LESOTHO	X					X		
MADAGASCAR	X							X
MALAWI	X			X		X		
MALI	X		X	X	X	X		
MOZAMBIQUE	X		X	X	X	X	X	
NIGER	X		X		X	X	X	
SENEGAL	X		X	X			X	
UGANDA	X		X	X		X		
LAC REGION								

BARBADOS	X			X		X		
BELIZE	X						X	
BOLIVIA	X			X			X	
DOMINICAN REPUBLIC		X						
EQUADOR	X		X	X	X	X	X	
GUATEMALA	X		X	X		X		
HONDURAS	X		X	X				
JAMAICA	X			X			X	
NICARAGUA	X		X	X				
PERU			X	X	X	X	X	
NEAR EAST								

EGYPT	X		X	X	X			
MOROCCO	X							X
TUNISIA	X		X	X	X			
ASIA								

INDIA		X						
INDONESIA		X						
NEPAL		X						
PAKISTAN		X						
PHILIPPINES		X						
SRI LANKA		X						
TOTAL								
	22	7	15	18	10	13	11	1

NOTES:

TOPIC 1: IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS

TOPIC 2: MACRO/SECTORAL POLICIES AND COMPLEMENTARY ACTIONS TO SAFEGUARD FOOD SECURITY WHILE PROMOTING BROAD-BASED INCOME GROWTH

TOPIC 3: DESIGNING MORE COST-EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS

THEME 1: FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE FOOD SECURITY

THEME 2: FOOD SECURITY AND NATURAL RESOURCE MANAGEMENT

-69-



UNCLASSIFIED

OUTGOING TELEGRAM

AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

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INFO AFEA-04 AFSA-03 AFFW-03 AFCW-03 AFDP-06 REOG-01 AFTR-06
SAST-01 PPCE-01 PDPR-01 PPEA-01 FVA-01 FYPP-01 ES-01
SYM-01 STAG-02 SEOP-01 SEOS-02 FFP-00 SERP-01 RELO-01
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DRAFTED BY: AID/R&D/EID/RAD:PDISKIN:PD
APPROVED BY: AID/R&D/EID:ECNETWYND
AID/RD/EID/RAD:GDSTEELE AID/AFR/ARTS/FARA:ASHITH (SUBS)
AID/AFR/ARTS:POBRIENPLACE (SUBS) AID/RD/EID:DJONNSTON: (IMFO)
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FM SECSTATE WASHDC
TO USAID MISSIONS IN AFRICA PRIORITY

UNCLAS STATE 373372

ADM AID

E.O. 12356: N/A

TAGS:

SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID PROJECT:
FOOD SECURITY II

1. THE R&D BUREAU, OFFICE OF ECONOMIC AND INSTITUTIONAL DEVELOPMENT, RESOURCE ACCESS AND DEVELOPMENT DIVISION (RD/EID/RAD) (FORMERLY ST/RD/RAD) IS CURRENTLY DESIGNING A PLANNED NEW WORLDWIDE APPLIED RESEARCH AND TECHNICAL SUPPORT PROJECT ENTITLED, FOOD SECURITY II (FS-II), WHICH IS A FOLLOWON TO ITS FOOD SECURITY IN AFRICA (FS-I) PROJECT SCHEDULED FOR COMPLETION IN NOVEMBER, 1992.

2. USAID SUGGESTIONS FOR THE DESIGN OF THE PROJECT AND INDICATIONS OF AREAS OF INTEREST AND POTENTIAL LEVELS OF PARTICIPATION ARE CRITICAL TO ASSURING THAT THE PROJECT ACTIVITIES EFFECTIVELY CONTRIBUTE TO AID OBJECTIVES AND SATISFY FIELD SUPPORT NEEDS.

3. FOOD SECURITY IS THE ABILITY OF A COUNTRY OR REGION TO ASSURE, ON A CONTINUOUS BASIS, THAT ITS FOOD SYSTEM PROVIDES THE TOTAL POPULATION ACCESS TO A TIMELY, RELIABLE, AND NUTRITIONALLY ADEQUATE SUPPLY OF FOOD.

4. BACKGROUND

THE ORIGINAL FS-I RESEARCH, IMPLEMENTED BY MICHIGAN STATE UNIVERSITY, FOCUSED ON FOUR THEMES RELATED TO FOOD SECURITY: INTERNATIONAL TRADE; PUBLIC AND PRIVATE SECTOR ROLES; AGRICULTURAL TECHNOLOGY; AND LINKAGES AMONG FOOD PRODUCTION, MARKETING, AND CONSUMPTION.

THIS 7-YEAR, 3 MONTH PROJECT HAD A CUMULATIVE BUY-IN TOTAL OF APPROXIMATELY DOLS 10.4 MILLION WITH A BUY-IN TO CORE RATIO OF ABOUT 3:1. EXAMPLES OF RECENT BUYINS TO FS-I INCLUDE: (1) DOLS 300,000 FOR RESEARCH TO REINFORCE THE ROLE OF MARKET INFORMATION SYSTEMS IN IMPROVING ACCESS TO FOOD IN MALI; (2) DOLS 800,000 FOR APPLIED RESEARCH TO ASSIST USAID AND THE GOVERNMENT OF MOZAMBIQUE DESIGN AND IMPLEMENT A RESEARCH AND POLICY DIALOGUE PROGRAM TO PROMOTE FOOD SECURITY THROUGH INCREASED AGRICULTURAL PRODUCTION AND MARKETING; AND (3) DOLS 30,000 FOR AN ANALYSIS OF THE CAUSES AND CONSEQUENCES OF INTRA-YEAR AND INTERYEAR FOOD MARKET INSTABILITY.

THE FINAL EVALUATION FOR FS-I REPORTED THAT QUOTE THE PROJECT HAS BEEN HIGHLY SUCCESSFUL IN COMBINING APPLIED RESEARCH; NETWORKING OF RESEARCHERS, DONORS AND POLICY MAKERS; AND TRAINING IN-COUNTRY RESEARCHERS AND USERS OF RESEARCH TO ACHIEVE THE GOAL OF IMPROVING FOOD SECURITY BY IMPROVING GOVERNMENT AND DONOR POLICIES ENDQUOTE.

ONE OF THE REASONS FOR FS-I'S SUCCESSFUL POLICY IMPACT WAS ITS USE OF THE JOINT PRODUCT/INTERIM REPORT METHODOLOGY WHICH INTEGRATED AFRICAN POLICY MAKERS INTO THE PROCESS OF DEFINING RESEARCH PROBLEMS IN ORDER TO CREATE A DEMAND FOR THE RESEARCH RESULTS; INVOLVED AFRICAN RESEARCHERS IN THE ENTIRE RESEARCH PROCESS IN ORDER TO STRENGTHEN LOCAL ANALYTIC CAPACITY; AND ENSURED THE TIMELY AVAILABILITY OF RESEARCH RESULTS TO GOVERNMENTS AND USAIDS BY ISSUING INTERIM REPORTS AND WORKING PAPERS BEFORE THE FINAL RESULTS WERE IN.

BECAUSE OF FS-I'S SUCCESS AND THE CONTINUING NEED FOR FOOD SECURITY RESEARCH, THE FINAL EVALUATION STRONGLY URGED THAT A.I.D. SUPPORT A 10-YEAR FOLLOWON FOOD SECURITY ACTIVITY THAT WOULD EMPLOY THE SUCCESSFUL METHODOLOGY OF THE ORIGINAL PROJECT WHILE EXPANDING ITS ACTIVITIES THEMATICALLY AND GEOGRAPHICALLY, MAKING IT AVAILABLE TO MISSIONS AGENCY-WIDE. THE NEED FOR SUCH A WORLDWIDE PROJECT HAS BEEN REINFORCED BY THE RECENT P.L. 400 LEGISLATION MANDATING THAT FOOD SECURITY BE A MAIN OBJECTIVE OF TITLE II AND TITLE III FOOD AID PROGRAMS.

5. PROJECT SUMMARY

THE OBJECTIVE OF FSII IS TO ENABLE A.I.D. RECIPIENT COUNTRIES TO BETTER ANALYZE FOOD SECURITY ISSUES AND FORMULATE POLICIES, INSTITUTIONAL REFORMS, INVESTMENT PLANS AND MANAGEMENT PROCESSES THAT WILL PROMOTE FOOD SECURITY AS A PART OF BROADBASED, MARKETORIENTED STRATEGIES FOR ACHIEVING SUSTAINABLE ECONOMIC GROWTH.

THE PROJECT WILL CARRY OUT THE FOLLOWING ACTIVITIES:

(A) APPLIED RESEARCH INCLUDING HOUSEHOLD-LEVEL DATA COLLECTION, COUNTRYSPECIFIC STUDIES, AND CROSSCOUNTRY SYNTHESSES OF RESEARCH FINDINGS.

(B) TECHNICAL ASSISTANCE TO IDENTIFY FOOD SECURITY ISSUES; RESEARCH AND DEVELOP SOLUTIONS TO FOOD SECURITY PROBLEMS; AND DESIGN AND/OR DEMONSTRATE POLICY APPLICATIONS OF THE PROJECT'S RESEARCH FINDINGS.

(C) INFORMATION DISSEMINATION AND NETWORKING VIA MEETINGS, INTERIM REPORTS, WORKSHOPS, PUBLICATIONS AND SHARING OF DATA BASES.

(D) INSTITUTION STRENGTHENING INITIATIVES TO SUPPORT THOSE HOST COUNTRY INSTITUTIONS WHICH ARE POSITIONED TO HAVE AN EFFECT ON POLICY FORMULATION, INCLUDING DIRECT INVOLVEMENT OF HOST COUNTRY INSTITUTIONS IN DESIGNING AND IMPLEMENTING FOOD SECURITY-RELATED RESEARCH, PROVISION OF RESEARCH ASSISTANTSHIPS, AND PARTICIPATION OF HOST COUNTRY ANALYSTS AND POLICY MAKERS IN PROJECT-SPONSORED SHORT-TERM TRAINING COURSES, WORKSHOPS AND CONFERENCES.

6. RESEARCH AGENDA

THE PROJECT'S OVERALL RESEARCH THEME WILL FOCUS ON STRATEGIES FOR ENSURING HOUSEHOLD ACCESS TO INCREASED FOOD SUPPLIES THROUGH A COMBINATION OF SUPPLY-SIDE EFFORTS TO IMPROVE FOOD SYSTEM PRODUCTIVITY AND EFFICIENCY TO MAKE

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70

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OUTGOING
TELEGRAM

PAGE 02 OF 02 STATE 373372 132913Z 0544 023560 AID5323

MORE FOOD AVAILABLE AT LOWER COST, AND DEMAND-SIDE APPROACHES TO IMPROVE THE ACCESS OF LOW-INCOME CONSUMERS TO FOOD SUPPLIES THROUGH MEASURES TO STIMULATE BROAD-BASED INCOME GROWTH.

(A) UNDER THIS OVERALL THEME, THREE PRIMARY RESEARCH TOPICS HAVE BEEN IDENTIFIED:

(A1) IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS. THIS WILL INVOLVE EFFORTS TO IDENTIFY HOUSEHOLDS AND POPULATION SUB-GROUPS WHICH ARE VULNERABLE TO FOOD INSECURITY, AND TO DEVELOP APPROPRIATE STRATEGIES FOR MOST COUNTRIES AND

DONORS TO FOLLOW IN ASSISTING THESE GROUPS MEET THEIR NUTRITIONAL NEEDS. THIS TOPIC WILL INCLUDE ISSUES SUCH AS HOW TO USE FOOD AID, TARGETTED CONSUMER SUBSIDIES AND BUFFER FOOD STOCKS TO DEAL WITH SHORT-TERM FOOD INSECURITY IN WAYS THAT ARE COST-EFFECTIVE AND DO NOT UNDERMINE THE MARKET INCENTIVES NECESSARY FOR ACHIEVING LONGTERM FOOD SECURITY AND INCOME GROWTH.

(A2) MACRO POLICIES AND PUBLIC INVESTMENTS TO PROMOTE BROAD-BASED INCOME GROWTH AND FOOD SECURITY. THIS TOPIC WILL GIVE PARTICULAR ATTENTION TO THE IMPACT OF ECONOMIC

LIBERALIZATION REFORMS ON FOOD COSTS AND ACCESS TO FOOD FOR LOW-INCOME CONSUMERS AS WELL AS IDENTIFYING CHANGES IN TRADE AND EXCHANGE RATE POLICIES THAT CAN FACILITATE EXPORTS AND IMPORTS OF AGRICULTURAL COMMODITIES AND INPUTS IN A WAY THAT STRENGTHENS HOUSEHOLD FOOD SECURITY.

(A3) DESIGNING MORE COST-EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS. THIS TOPIC WILL EXAMINE THE INSTITUTIONAL, INFRASTRUCTURAL, TECHNOLOGICAL AND POLICY CONSTRAINTS TO REDUCING FOOD COSTS AND WILL IDENTIFY THE APPROPRIATE INVESTMENTS, INNOVATIONS AND POLICY MEASURES NEEDED TO ENHANCE FOOD SYSTEM EFFICIENCY AND FOSTER BROAD-BASED ECONOMIC GROWTH AND FOOD SECURITY WITHIN PARTICULAR COUNTRIES.

(B) FS-11 RESEARCH WILL ALSO FOCUS ON THE FOLLOWING TWO CROSS-CUTTING THEMES:

(B1) FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE FOOD SECURITY. THIS THEME EMPHASIZES THE IMPORTANCE OF VIEWING FOOD SECURITY IN THE CONTEXT OF OVERALL EFFORTS TO ACHIEVE BROADBASED INCOME GROWTH, INCLUDING STRATEGIES TO DIVERSIFY RURAL INCOME SOURCES THROUGH OFF-FARM EMPLOYMENT AND IDENTIFYING POTENTIAL SYNERGISMS BETWEEN FARM AND NON-FARM PRODUCTION AND CONSUMPTION ACTIVITIES.

(B2) FOOD SECURITY AND SUSTAINABLE NATURAL RESOURCE USE. THIS THEME CONSIDERS THE MUTUAL EFFECTS THAT STRATEGIES TO ACHIEVE FOOD SECURITY AND STRATEGIES TO PRESERVE THE ENVIRONMENT HAVE ON EACH OTHER AND WAYS TO ENCOURAGE FARM SYSTEM PRACTICES THAT ASSURE SHORT-TERM FOOD SECURITY

WITHOUT DESTROYING THE NATURAL RESOURCE BASE NEEDED FOR LONG-TERM FOOD SECURITY.

(C) FS-11 RESEARCH WILL BE VIEWED THROUGH THE ANALYTICAL PERSPECTIVE OF INTRAHOUSEHOLD DYNAMICS. MANY PREVIOUS RESEARCH STUDIES ON FOOD SECURITY ISSUES HAVE BEEN BASED ON HYPOTHETICAL RELATIONSHIPS OR HIGHLY AGGREGATED DATA.

FS1 RESEARCH, HOWEVER, DEMONSTRATED THE IMPORTANCE OF USING THE HOUSEHOLD UNIT AS AN OPTIC FOR ASSESSING THE IMPACT OF CHANGES IN TECHNOLOGIES, INSTITUTIONS, AND POLICIES ON HOUSEHOLD-LEVEL FOOD CONSUMPTION. FS-11 WILL GO EVEN FURTHER, FOR SELECTED ISSUES, TO COLLECT

STATE 373372 132913Z 0544 023560 AID5323

DISAGGREGATED DATA WITHIN THE HOUSEHOLD. THE RESEARCH WILL EXAMINE HOW INTRA-HOUSEHOLD DYNAMICS, WHICH ARE INFLUENCED BY SUCH FACTORS AS GENDER, AGE, AND ONE'S POSITION IN THE HOUSEHOLD, AFFECT CONSUMPTION PATTERNS AND THE WAYS THAT HOUSEHOLDS ADAPT TO CHANGING CONSTRAINTS AND OPPORTUNITIES RESULTING FROM MODIFICATIONS IN TECHNOLOGIES, INSTITUTIONS AND POLICIES.

7. MISSION ACTION REQUESTED.

RD/EID REALIZES THAT USAIDS CANNOT COMMIT THEMSELVES TO PARTICIPATE IN A STILL TO BE APPROVED PROJECT. HOWEVER, TO ENSURE THAT RD BUREAU PROJECTS ARE DESIGNED TO MOST EFFECTIVELY MEET FIELD MISSION AND REGIONAL BUREAU NEEDS, THE PROJECT DEVELOPMENT PROCESS REQUIRES THAT PROPOSED NEW PROJECTS SEEK OUT SUGGESTIONS AND RECOMMENDATIONS FROM THE FIELD IN ORDER TO IDENTIFY POTENTIAL AREAS OF INTEREST BY MISSIONS AND QUANTIFY, TO THE EXTENT POSSIBLE, ESTIMATES

OF POTENTIAL LEVEL OF MISSION PARTICIPATION. RD/EID VIEWS MISSION INPUT TO BE INVALUABLE IN STRENGTHENING DESIGN AND IMPLEMENTATION OF PROPOSED PROJECT.

8. THEREFORE, RD/EID REQUESTS THAT USAIDS REVIEW PARAS 5 AND 6 ABOVE AND:

(A) NOTE WHETHER THE PROJECT'S OBJECTIVE, OVERALL THEME AND PLANNED ACTIVITIES ARE OF POTENTIAL INTEREST;

(B) NOTE WHICH TOPICS AND CROSS-CUTTING THEMES ARE OF POTENTIAL INTEREST;

(C) SUGGEST AREAS OF INTEREST RELATED TO FOOD SECURITY RESEARCH AND TECHNICAL ASSISTANCE WHICH HAVE NOT BEEN ADDRESSED IN PARAS 5 AND 6;

(D) WHERE POSSIBLE, NOTE FOR EACH AREA WHETHER POTENTIAL LEVEL OF INTEREST IS SHORTTERM (1-6 MONTHS), MEDIUM-TERM (7-12 MONTHS), LONG-TERM (OVER ONE YEAR), OR INTERMITTENT (13 MONTHS AT A TIME FOR A PERIOD OF ONE OR MORE YEARS) AND WHETHER POTENTIAL LEVEL OF ACTIVITY IS LOW (UNDER DOLS 50,000), MODERATE (DOLS 50,000-200,000), OR HIGH (OVER DOLS 200,000);

(E) WHERE POSSIBLE, PROVIDE SPECIFIC REFERENCE TO PRESENT RELEVANT USAID ACTIVITIES; AND

(F) INCLUDE ANY ADDITIONAL SUGGESTIONS YOU WISH TO MAKE.

9. RD/EID GREATLY APPRECIATES USAID ASSISTANCE AND WILL ENSURE THAT FS11 IS RESPONSIVE TO USAID FIELD SUPPORT NEEDS IN THIS IMPORTANT AREA. PLEASE DIRECT RESPONSES ASAP TO PATRICK DISKIN. RD/EID/RAC. EAGLEBURGER

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71



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AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

PAGE 01 YAOUND 10330 021453Z 4304 031100 A100061 YAOUND 10330 021453Z 4304 031100 A100061 ACTION A10-00 NAGY

ACTION OFFICE FVPP-01 INFO APCV-03 BIFA-01 SAST-01 POAR-05 FVA-01 APSP-02 APFP-02 STNR-01 STDR-01 STAG-02 AP10-01 APEN-01 FFP-09 AMAD-01 ARAF-03 STFA-01 /036 AD 02/1027Z

INFO LOG-00 AF-00 AGR-00 /007M -----02404A 021010Z /30

R 021453Z DEC 01 FM AMEMBASSY YAOUNDE TO SECSTATE WASHDC 7000

UNCLAS YAOUNDE 10330

AIDAC

FOR RD/EID/RAD, PATRICK DISKIN

E.O. 12958: N/A SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID PROJECT: FOOD SECURITY II

REF: STATE 373372

FOLLOWING RESPONSE IS KEYED TO PARAGRAPH 8, REFTEL, AS REQUESTED, BUT DOES NOT SUGGEST MISSION COMMITMENT TO PARTICIPATE IN FUTURE PROJECT

A. MISSION NOTES THAT THE PROJECT'S OBJECTIVES, OVERALL THEME AND MUCH OF THE PLANNED ACTIVITIES ARE OF POTENTIAL INTEREST TO OUR CURRENT AND PLANNED PROGRAM PORTFOLIO.

B. FOOD SECURITY AND SUSTAINABLE NATURAL RESOURCE USE, FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE FOOD

SECURITY, MACRO POLICIES AND PUBLIC INVESTMENTS TO PROMOTE BROAD-BASED INCOME GROWTH AND FOOD SECURITY, DESIGNING MORE COST EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS, AND IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS ARE ALL TOPICS AND THEMES OF POTENTIAL INTEREST.

C. SEE F. BELOW

D. DEPENDENT UPON PROJECT FINAL DESIGN AND EVOLUTION OF MISSION PROGRAM AND STAFFING LEVELS, SHORT TO MEDIUM TERM POTENTIAL LEVEL OF INTEREST AND LOW TO MODERATE POTENTIAL LEVEL OF ACTIVITY COULD INCLUDE (1) FOOD SECURITY AND SUSTAINABLE NATURAL RESOURCE USE, (2) DESIGN OF MORE COST EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS, (3) MACRO POLICIES AND PUBLIC INVESTMENTS TO PROMOTE BROAD-BASED INCOME GROWTH AND FOOD SECURITY AND (4), THE GENERAL AREAS OF PARAGRAPH 5(A) THROUGH (D), REFTEL.

E. ITEM (1) ABOVE COULD COMPLIMENT A PLANNED NRM INTERVENTION. ITEMS (2) AND (3) RELATE TO MISSION'S ROOTS AND TUBERS RESEARCH PROJECT (ROTREP) AND PROGRAM FOR THE REFORM OF THE AGRICULTURAL MARKETING SECTOR (PARMS), AND ITEM (4) TO THE MISSION'S CAMEROON AGRICULTURE POLICY AND PLANNING PROJECT (CAPP).

F. PROJECT PROPOSAL APPEARS TO INCLUDE ALL RELEVANT AREAS OF FOOD SECURITY RESEARCH BUT ALSO APPEARS TO FOCUS ON PUBLIC SECTOR (OFFICIALS AND INSTITUTIONS). CONTINUED LIBERALIZATION OF AFRICAN ECONOMIES SUGGESTS A GREATER ROLE AND PARTICIPATION FOR THE PRIVATE SECTOR (FORMAL AND INFORMAL), INCLUDING NGO/PVO AND LOCAL ORGANIZATIONS.

FINAL DESIGN OF PROJECT SHOULD RECOGNIZE, FACILITATE AND SEEK WAYS TO BE OF MORE BENEFIT TO THIS EMERGING SECTOR.

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72

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PAGE 01 MASERU 0306R 230732Z
ACTION AID-00

6046 040241 AID6062

MASERU 0306R 230732Z

6046 040241 AID6062

PARTICULARLY USEFUL TO MOST USAIDS.

ACTION OFFICE STRD-01
INFO AFSA-03 SAST-01 POAR-05 POID-01 FVA-01 FVPP-01 STMR-01
FFP-09 AHAD-01 AAAF-03 /027 AB 23/0733Z

INFO LOG-00 AF-00 /002M

-----DA4634 230732Z /36

R 230729Z DEC 91
FM AMEMBASSY MASERU
TO SECSTATE WASHDC 0376

UNCLAS MASERU 0306R

AIDAC

FOR RD EID:RAC, P. DISKIN

E.O. 12958 A/A
SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD:EID
PROJECT: FOOD SECURITY II

REF: STATE 273372

1. USAID/LESOTHO HAS REVIEWED REF. CABLE, AND
SUBMITS THE FOLLOWING COMMENTS.

2. WE ARE GENERALLY SUPPORTIVE OF THE TYPE OF
RESEARCH CONDUCTED UNDER FS-1 AND PROPOSED UNDER FS-
11, AND WE ARE AWARE OF THE HIGH QUALITY RESEARCH AND
CAPACITY BUILDING DONE UNDER FS-1. WE BELIEVE THAT
THE JOINT PRODUCT/INTERIM REPORT METHODOLOGY WAS
PARTICULARLY EFFECTIVE IN MAKING THE RESEARCH RESULTS

"ACTIONABLE" TO HOST GOVERNMENTS AND DONORS. WE
DEFINITELY SUPPORT THE DESIGN OF A FOLLOW-ON PROJECT.

3. WITH RESPECT TO FS-11, THE THEMES STRIKE US AS
BEING OVERLY BROAD. IT COULD BE ARGUED THAT THE
RESEARCH THEMES UNDER FS-1 WERE OVERLY BROAD, AND THE
CABLE REFERS TO A THEMATIC AND GEOGRAPHIC EXPANSION
UNDER FS-11. THE PROJECT DESIGN PROCESS SHOULD BOTH
NARROW THE RANGE OF THEMES, AND MORE SHARPLY DEFINE
THE RESEARCH AGENDA UNDER EACH THEME, IN OUR VIEW.

4. WE ALSO CANNOT HELP BUT WONDER ABOUT THE
GEOGRAPHIC EXTENSION OF THE PROJECT. SPECIFICALLY,
IS THE DECISION TO GO WORLDWIDE DRIVEN BY REAL WORLD
CONCERNS THAT THE PREVIOUS FOCUS ONLY ON AFRICA HAS
TOO LIMITED, OR BY INTERNAL AGENCY CONCERNS? ONE
DANGER OF HAVING TOO BROAD A GEOGRAPHIC FOCUS IS THAT
IT MAY BECOME IMPOSSIBLE TO DO ANY SIGNIFICANT CROSS-
COUNTRY SYNTHESIS OF RESEARCH RESULTS. IT IS
DIFFICULT ENOUGH TO DRAW CROSS-COUNTRY CONCLUSIONS TO
INFORM POLICY MAKERS BETWEEN SAY SENEGAL AND
MOZAMBIQUE; IT IS LIKELY TO BE IMPOSSIBLE BETWEEN
COUNTRIES IN EASTERN EUROPE, AFRICA OR ASIA. IF THE
DECISION TO GO WORLDWIDE IS NOT OPEN FOR
RECONSIDERATION, THEN YOU MAY WANT TO DOWNPLAY OR
ELIMINATE THE "CROSS-COUNTRY SYNTHESIS OF RESEARCH
FINDINGS" ACTIVITY.

5. IN ORDER TO ENSURE RELEVANCY TO THE AGENDA OF
USAIDS, WE ALSO URGE THAT THE RESEARCH UNDER FS-11 BE
AS "ACTIONABLE" AND NON-ACADEMIC AS POSSIBLE. TO

CITE ONE EXAMPLE, IT IS NOT CLEAR TO US HOW RESEARCH
ON THE RELATIONSHIP BETWEEN CONSUMPTION PATTERNS AND
ONE'S POSITION IN THE HOUSEHOLD IS GOING TO BE

6. WITH RESPECT TO THE USAID/LESOTHO PROGRAM, WE ARE
PARTICULARLY INTERESTED IN THEME (01), FARM AND NON-
FARM SOURCES OF INCOME TO PROMOTE FOOD SECURITY.
DEPENDING ON HOW THIS THEME IS DEVELOPED, AND UPON
SEVERAL VARIABLES ON OUR SIDE, THERE MAY BE SOME
POSSIBILITY OF A SMALL BUY-IN FOR SHORT TERM OR
INTERMITTENT RESEARCH IN FY 93 OR FY 94, RELATED TO
METHODOLOGIES FOR UNDERSTANDING THE ROLE OF AND
PROMOTING ON AND OFF-FARM ENTERPRISES. WAGENSEIL

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76



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PAGE 01 LILONG 05669 191416Z 0643 025677 AID9714
ACTION AID-00

ACTION OFFICE FVPP-01
INFO AFSA-03 AFTR-06 BIFA-01 SAST-01 GC-01 GCAF-02 FVA-01
ES-01 OFDA-02 STN-01 STFA-01 STHR-01 STRD-01 STAG-02
FFP-09 AMAD-01 AAAF-03 /038 AG 19/1420Z

INFO LOG-00 AF-00 AGRE-00 /002W
-----ADBE06 191423Z /30

P 191415Z NOV 91
FM AMEMBASSY LILONGWE
TO SECSTATE WASHDC PRIORITY 5118

UNCLAS LILONGWE 05669

AIDAC

FOR PATRICK DISKIN, RD/EID/RAD

E. O. 12356 : N/ A
SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID
PROJECT: FOOD SECURITY II

REF: STATE 373372

1. PROJECT'S OBJECTIVE, OVERALL THEME, AND PLANNED ACTIVITIES ARE OF POTENTIAL INTEREST.
2. TOPICS AND CROSS-CUTTING THEMES OF POTENTIAL INTEREST INCLUDE (A) AN EXAMINATION OF AGRICULTURAL POLICY WHICH IMPACTS ON FOOD SECURITY, I. E. LIBERALIZATION OF INPUT AND OUTPUT MARKETS AS WELL AS FARMER PRODUCTION AND MARKETING CHOICES; AND (2) FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE FOOD SECURITY.
3. MALAWI'S RECENTLY OBLIGATED \$30 MILLION AGRICULTURAL SECTOR ASSISTANCE PROGRAM (ASAP) IS DESIGNED TO INCREASE AGRICULTURAL PRODUCTIVITY, EMPLOYMENT, AND INCOME THROUGH INCREASED ACCESS TO AGRICULTURAL INPUTS, OUTPUT MARKETS, AND CASH CROP PRODUCTION ALTERNATIVES. INCLUDED IN THE PROJECT ELEMENT OF ASAP IS PROVISION FOR ONE LONG-TERM (5 YEAR) AND SHORT-TERM ASSISTANCE TO THE FOOD SECURITY AND NUTRITION UNIT (FSNU) OF THE DEPARTMENT OF ECONOMIC PLANNING AND DEVELOPMENT LOCATED IN THE OFFICE OF THE PRESIDENT AND CABINET. IN ADDITION, ASAP WILL ALSO SUPPORT FOOD SECURITY AND NUTRITION MONITORING IN THE MINISTRY OF AGRICULTURE. DURING THE MID 1980'S, THERE WAS AN INCREASING RECOGNITION OF SIGNIFICANT NUTRITIONAL PROBLEMS AND A GROWING FOOD SHORTAGE AT THE HOUSEHOLD LEVEL IN MALAWI. THE FSNU WAS ESTABLISHED IN 1986 TO ADDRESS THESE CONCERNS AND TO INCORPORATE THE ANALYSIS OF DATA COLLECTED BY LINE MINISTRIES INTO POLICY FORMULATION AND ADJUSTMENT. FSNU SERVES POLICY MAKERS BY STRENGTHENING THE CAPACITY TO ASSESS IMPACTS OF POLICY ON HOUSEHOLD FOOD SECURITY AND MORE EFFECTIVELY DIRECT RESOURCES TO ARREST THE DOWNWARD SPIRAL OF DECLINING PER CAPITA FOOD PRODUCTION IN MALAWI.
4. TO THE EXTENT TO WHICH THE FS II PROJECT DIRECTLY RELATES TO THE OBJECTIVES AND STRATEGY OF ASAP, WE WILL BE INTERESTED IN POSSIBLE PARTICIPATION. PISTOR

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78



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PAGE 01 BAHAKO 08689 261507Z 0231 020118 AID6059 ACTION AIL-00

BAHAKO 08689 261507Z 0231 020118 AID6059

OF AT RISK HOUSEHOLDS IN DROUGHT AREAS. THIS IS A KEY FOOD SECURITY CONCERN FOR THE FUTURE. IS FS 11 PLANNING TO ADDRESS THIS PARTICULAR CONCERN?

ACTION OFFICE FVPP-01 INFO AFFV-03 BIFA-01 SAST-01 POAR-05 GC-01 GCAF-02 FVA-01 OFDA-02 STNE-04 STNR-01 STDD-01 STAG-02 SEOP-01 SETN-01 SEOS-02 FFP-09 SERP-01 SECS-02 ANAD-01 ARAF-03 STFA-01 /046 AD 26/2033Z

INFO LOG-00 AF-00 AGRE-00 /002M -----007007 261606Z /30

R 27/427Z NOV 01 FM AMEMBASSY BAHAKO TO SECSTATE WASHDC 2470

UNCLAS BAHAKO 08689

AIDAC

FOR R&D/EID/RAD (FORMERLY S&T), PATRICK DISKIN

E.O. 12356: N/A SUBJECT: FOOD SECURITY 11

REF: STATE 373372

IN RESPONSE TO RECENT REFTEL REGARDING UPCOMING FOOD SECURITY 11 CENTRALLY FUNDED R&D PROJECT, USAID/MALI HAS THE FOLLOWING COMMENTS RE: QUESTIONS POSED IN PARA 8 OF REFTEL:

A. YES, THE PROJECT'S OBJECTIVE, THEME, AND ACTIVITIES ARE OF INTEREST IN GENERAL TO USAID/MALI.

B. ALL THREE RESEARCH TOPICS ARE IMPORTANT ASPECTS OF USAID PROGRAMS. THE CROSS-CUTTING THEME ON FARM AND

NON-FARM INCOME SOURCES IS OF GENERAL INTEREST, BUT LESS EASY TO SEE OPERATIONALLY HOW IT WOULD BE OF SPECIFIC USE TO ONGOING USAID PROGRAMS IN COUNTRY. THE CROSS-CUTTING THEME ON INTRA-HOUSEHOLD DYNAMICS COULD BE QUITE IMPORTANT IN HELPING USAID TO BETTER FOCUS OUR EFFORTS TO PROMOTE WOMEN'S ECONOMIC ACTIVITIES.

C. ADDITIONAL SUGGESTED AREA OF INTEREST: OUR UNDERSTANDING OF FS 11 IS THAT IT BROUGHT TO LIGHT CRITICALLY IMPORTANT EMPIRICAL INFORMATION ON FOOD SECURITY (E.G. THE IMPORTANCE OF FOOD DEFICIT FARMING HOUSEHOLDS, SOME OF THE NEGATIVE EFFECTS OF HIGHER PRICES, ROLE OF ALTERNATIVE INCOME SOURCES). THE WAY THE REFTEL DESCRIBES FS 11, IT APPEARS TO BE SUBSTANTIALLY MORE OPERATIONAL IN ITS FOCUS. THIS MATCHES TO SOME EXTENT THE EVOLUTION OF SOME OF THE FOOD SECURITY ACTIVITIES WHICH USAID/MALI SUPPORTS.

FOR EXAMPLE, A KEY OPERATIONAL QUESTION IS WHETHER OR NOT IT IS POSSIBLE TO BETTER TARGET FOOD AID TO THOSE WHO NEED IT. ARE THERE BETTER TARGETTING MECHANISMS? CAN THE SELF-SELECTION OF CAREFULLY DESIGNED FOOD FOR WORK PROGRAMS WORK IN THE MALIAN CONTEXT? DOES SUCH SELF-SELECTION IN WIDELY-RESPECTED FOOD FOR WORK PROGRAMS (E.G. BOTSWANA AND THE MAHARASTRA EMPLOYMENT GUARANTEE SCHEME IN INDIA) IN FACT EXIST, OR ARE EVEN THOSE PROGRAMS IMPLEMENTED IN A WAY THAT THE POOREST ARE NOT INDEED BENEFITTING, AND THE BENEFITS ARE RATIONED TO THOSE WITH MORE RESOURCES? FREE FOOD DISTRIBUTION IS AN ADMINISTRATIVE BURDEN PLAGUED WITH INEFFICIENCY AND THE POTENTIAL FOR POLITICAL PATRONAGE AND CORRUPTION. THE OPERATIONAL CONCERN WE FACE IS

WHETHER THERE ARE BETTER WAYS TO ENSURE FOOD SECURITY

D. USAID INTEREST IN SEVERAL OF THE PROPOSED PROJECT ACTIVITIES IS HIGH. WE CANNOT INDICATE WHETHER USAID LEVEL OF INTEREST IN THE GENERAL RESEARCH TOPICS ABOVE WOULD TRANSLATE INTO QUOTE BUY-INS UNQUOTE TO THE PROPOSED FS 11 PROJECT. IT IS LIKELY THAT THE MISSION WILL BE USING SOME RESOURCES FOR OUTSIDE ASSISTANCE IN A VARIETY OF FOOD SECURITY AREAS OVER THE NEXT FEW YEARS, AND IT IS CLEAR THAT UNDER FS 11 WE HAVE RECEIVED AND CONTINUE TO RECEIVE A HIGH STANDARD OF APPLIED RESEARCH AND TECHNICAL ASSISTANCE WHICH ARE IMPORTANT ELEMENTS IN THE SUCCESS OF SEVERAL USAID ACTIVITIES. IT IS NOT POSSIBLE AT THIS TIME TO SAY, HOWEVER, WHAT IF ANY POTENTIAL LEVEL OF USAID BUY-IN TO THE PROPOSED CONTRACT WOULD BE.

E. RELEVANT USAID ACTIVITIES INCLUDE: TITLE III PROGRAM IN SUPPORT OF GRAIN MARKET REFORM PROGRAM SUB-ELEMENT OF THAT PROGRAM IN SUPPORT OF MALIAN NATIONAL FOOD SECURITY STOCK AND EARLY WARNING SYSTEM TARGETTING FREE DISTRIBUTIONS ON NEEDIEST RURAL AREAS, FOOD AND AGRICULTURE POLICY SUPPORT PROJECT, STRENGTHENING RESEARCH PLANNING AND RESEARCH ON COMMODITIES PROJECT. GELBER

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79



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PAGE 01 MAPUTO 04788 101120Z 0377 034641 AID6686 ACTION AID-00

ACTION OFFICE FVPP-01 INFO AFSA-03 BIFA-01 POSP-01 SAST-01 POAR-05 GC-01 GCAF-02 FVA-01 APSP-02 APFP-02 OFDA-02 STHR-01 STRD-01 STAG-02 SEOP-01 SETN-01 SEOS-02 APEM-01 FFP-00 SERP-01 SECS-02 AMAD-01 AAAP-03 STFA-01 /048 AB 10/11302

INFO LOG-00 AF-00 AGRE-00 /002W 0563A1 101120Z /30

R 101116Z DEC 91 FM AMEMBASSY MAPUTO TO SECSTATE WASHDC 0322

UNCLAS MAPUTO 04788

AIDAC

AID/W FOR PATRICK DISKIN, RD/EID/RAD

E.O 12356: N/A SUBJECT: FOOD SECURITY - MISSION COMMENTS

REF: STATE 373372

- 1. MISSION APOLOGIZES FOR DELAY IN RESPONDING TO REFTEL. 2. MISSION RESPONSES TO QUESTIONS IN REFTEL PARA 8 ARE AS FOLLOWS:

A. MISSION IS EXTREMELY INTERESTED IN THE PROJECT AS OUTLINED. WE ARE PLEASED TO SEE PROJECT MORE EXPLICITLY TRYING TO ADDRESS THE DEMAND-SIDE ACCESS ISSUES, I. E., INCOME CONSTRAINTS TO FOOD PURCHASES.

B. ALL OF THE TOPICS AND THEMES DISCUSSED ARE OF HIGH INTEREST. PRIORITY AMONG THEM WILL BE BASED ON RESULTS OF RESEARCH AND ANALYSES NOW UNDERWAY HERE.

C. NOTHING NEW TO SUGGEST AT THIS TIME.

D. MISSION'S INTEREST IS IN LONG-TERM AND/OR INTERMITTENT ASSISTANCE. ANTICIPATE HIGH LEVEL OF ACTIVITY, I. E., OVER DOLS 200,000.

E. PRIVATE SECTOR SUPPORT PROGRAM; TITLE III COMMERCIAL FOOD AID; PERI-URBAN RESEARCH; AG. MARKETING RESEARCH; LAND TENURE SECURITY RESEARCH; AND ONGOING POLICY DIALOGUE IN SUPPORT OF REFORMS IN FOOD AND AGRICULTURE. FRIEDMAN

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PAGE 01 NIAMEY 09088 211532Z 4923 027603 AID2033
ACTION AID-00 (ACTION TRANSFERRED 11-22-91 LLW)

NIAMEY 09088 211532Z 4923 027603 AID2033
THERE IS, AS NOTED, SIGNIFICANT POTENTIAL FOR PRODUCTIVE

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INFO FVPP-01 RELO-01 /003 A2 LW 22/2005Z

INTERCHANGE.

ACTION OFFICE FVPP-01
INFO AFFW-03 PPHF-01 BIFA-01 OL-01 SAST-01 GC-01 GCAF-02
FVA-01 APSP-02 APFP-02 OFDA-02 STHE-04 STFA-01 STNR-01
STRD-01 STAG-02 APID-01 APEH-01 FFP-09 AHAD-01 AAAF-03
/042 AD 21/1927Z

3. AN AREA OF INTEREST WHICH DOES NOT APPEAR TO BE
ADDRESSED IN PARAS 5 AND 6 IS VICTIMS' PERCEPTION OF
FAMINE AND THEIR COPING TECHNIQUES IN ADDITION TO FOOD
AID (WHICH IS NOT SUFFICIENT FOR MAINTENANCE).

INFO LOG-00 AF-00 AGRE-00 CIAE-00 DODE-00 EG-00 /003W
-----AECB08 211611Z /30

4. MISSION DISASTER RELIEF COORDINATOR CHARLES KELLY
PLANS TO BE IN AID/W IN LATE NOVEMBER/EARLY DECEMBER AND
WILL CONTACT RD/EID/RAD PATRICK DISKIN FOR FURTHER
INFORMATION WITH RESPECT TO FINDINGS UNDER PHASE I
PROJECT. MISSION AG ECONOMIST GREGG BAKER WILL ALSO
CONTACT DISKIN DURING HIS AID/W TDY BETWEEN 12 AND 22
JAN 1992. WARD

R 211529Z NOV 91
FM AMEMBASSY NIAMEY
TO SECSTATE WASHDC 3577

UNCLAS NIAMEY 09088

AID4C

E.O. 12356: N/A

TAGS: N/A

SUBJECT: USAID INPUT INTO RD/EID PROJECT:

FOOD SECURITY II

1. USAID IS POTENTIALLY INTERESTED IN VARIOUS ASPECTS
OF PROPOSED PROJECT. WE ARE CURRENTLY DEVELOPING A
DISASTER PREPAREDNESS AND MITIGATION (DPM) PROJECT WHICH
WILL BUILD ON OUR PAST FAMINE EARLY WARNING EFFORTS, AND
PROVIDE AN ARRAY OF APPROPRIATE MECHANISMS TO ADDRESS
LOCALIZED SHORTAGES OF FOOD WHICH ARE TYPICAL OF
DISASTER REQUIREMENTS WHICH THE MISSION HAS HAD TO
ADDRESS IN RECENT YEARS. MISSION IS IN PROCESS OF
DEFINING VARIOUS SOCIOLOGICAL STUDIES RELATED TO FOOD
SECURITY. WE ARE ALSO HEAVILY ENGAGED IN NATURAL
RESOURCES MANAGEMENT PROGRAMMING WHICH OFFER
COMPLEMENTARY LINKAGES.

2. TOPICS WHICH ARE RELEVANT TO USAID OBJECTIVES, AS
DEFINED BY PAST AND PROJECTED ACTIVITIES ARE LISTED
BELOW ALONG WITH OUR VERY TENTATIVE ESTIMATES OF
POTENTIAL LEVEL OF INTEREST AND ACTIVITY:

- A.1 (IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS)
(INTERMITTENT/HIGH);
- A.2 (DESIGNING COST-EFFECTIVE FOOD SYSTEMS AND RELATED
INSTITUTIONS) (MEDIUM/MODERATE);
- B.1 (FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE
FOOD SECURITY (MEDIUM/MODERATE)
- B.2 (FOOD SECURITY AND SUSTAINABLE NATURAL RESOURCE
USE) (INTERMITTENT/HIGH)

- C. USAID/NIGER RECOGNIZES THE IMPORTANT CHALLENGE IN
FOOD SECURITY RELATED TO KNOWLEDGE-BUILDING THROUGH
RESEARCH AND ANALYSIS. IN THIS REGARD USAID/NIGER HAS
SUPPORTED AN IFPRI STUDY THAT EXAMINED THE NATURE AND
DETERMINANTS OF HOUSEHOLD STRATEGIES AND THEIR INFLUENCE
ON THE EFFECTS OF POLICY CHANGES ON SUPPLY, PRODUCTION,
AND INVESTMENT, AND ON DEMAND. IT WILL GIVE US USEFUL
INSIGHTS INTO RURAL HOUSEHOLD INCOME LEVELS AND
COMPOSITION (AGRICULTURE AND NON-AGRICULTURAL),
CONSUMPTION OF FOOD AND NON-FOOD ITEMS, CROP PRODUCTION
AND STORAGE, INPUT USE, AND CROP AND LIVESTOCK
PURCHASES, SALES, AND TRANSFERS. IFPRI RECENTLY
COMPLETED THE FIELD WORK PHASE WHICH SPANNED MORE THAN
TWO YEARS. THE STUDY IS NOW IN THE ANALYSIS AND WRITING
PHASE WHICH WILL CONTINUE TO JUNE 1992.

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81

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PAGE 01 DAKAR 13792 211432Z 4408 027573 AID1032
ACTION AID-00 (ACTION TRANSFERRED 11-22-91 LW)

DAKAR 13792 211432Z 4408 027573 AID1032

ACTION OFFICE STRD-01
INFO FVPP-01 RELO-01 /003 A2 LW 22/1922Z

(C) IMPACT ON AGRICULTURAL DEVELOPMENT (TECHNOLOGY)
MARKETS FROM FOOD ASSISTANCE;

ACTION OFFICE FVPP-01
INFO AFFV-03 OL-01 SAST-01 GC-01 GCAF-02 FVA-01 SCI-01 OFDA-02

(D) FOOD COMMODITY VS CASH DISBURSEMENTS AND THE TRADE
OFFS;

STFA-01 STRH-01 STRD-01 STAG-02 STFM-02 STEN-01 SEOP-01
SEOS-02 FFP-03 SERP-01 SECS-02 AMAD-01 ARAF-03
/040 AD 21/1834Z

(E) ROLE OF FOOD AID IN THE MISSION'S CPSP STRATEGIC
OBJECTIVES;

INFO LOG-00 AF-00 AGRE-00 CIAE-00 DODE-00 ED-00 /003V
-----AEC3CE 211455Z /38

(F) IMPACT OF LONG GRAIN RICE SALES ON LOCAL MARKETS (AS
IN SENEGAL);

R 211431Z NOV 91
FM AMEMBASSY DAKAR
TO SECSTATE WASHDC 6988

(G) HOUSEHOLD LEVEL (PEOPLE-LEVEL) IMPACT INDICATORS FOR
FOOD SECURITY RELATED INTERVENTIONS. HOW DOES THE API
FARM SURVEY RELATE TO FOOD AID IMPACT AT THE HOUSEHOLD
LEVEL?

UNCLAS DAKAR 13792

AIDAC

FOR PATRICK DISKIN, RD/EID/RAD

6. WITHOUT SEEING THE FINAL PROJECT PROPOSAL IT IS
DIFFICULT AT THIS TIME TO ASSESS THE MISSION'S LEVEL OF
INTEREST OR FUTURE FUNDING REQUIREMENTS. WE LOOK FORWARD
TO AN OPPORTUNITY TO REVIEW THE NEW RD/EID FOOD SECURITY
II PROJECT PAPER. SHIRLEY

E.O. 12356: N/A
SUBJECT: RD/EID FOOD SECURITY II PROJECT

REF: (A) STATE 373372

1. MISSION FOUND THE PROPOSED FOOD SECURITY (FS) II
PROJECT'S OVERALL THEME AND OBJECTIVE TO BE ACCEPTABLE.
WE ARE PARTICULARLY SUPPORTIVE OF USING THE HOUSEHOLD
UNIT AS THE FOCAL POINT FOR FOOD SECURITY-RELATED
RESEARCH. IN DESIGNING THE PROPOSAL, WE HOPE THAT YOU
WILL CONSIDER THE FOLLOWING:

2. THE ISSUE OF BALANCE: FS I CONCENTRATED ON TOO FEW
COUNTRIES. THE FOLLOW-ON PROJECT SHOULD BE ENCOURAGED TO
ENLARGE THE STUDY AREAS BOTH GEOGRAPHICALLY AND
TECHNICALLY. THIS IS PARTICULARLY IMPORTANT GIVEN THE

1990 FARM BILL LEGISLATION WHICH ALLOWS VIRTUALLY ALL
SUB-SAHARAN AFRICAN COUNTRIES TO QUALIFY UNDER THE NEW
FOOD AID GRANT AUTHORITY.

3. SHORT TERM TECHNICAL ASSISTANCE (TA): USING THE
VALUABLE EXPERIENCE GAINED IN FS I, I.E. TRAINED MICHIGAN
STATE UNIVERSITY STAFF, THE FOLLOW-ON PROJECT SHOULD NOW
BE ABLE TO PROVIDE SHORT TERM ASSISTANCE TO MISSIONS
INTERESTED IN FOOD SECURITY PLANNING SUCH AS IDENTIFYING
POLICY ISSUES, FUTURE POLICY RELEVANT TO RESEARCH NEEDS,
AND INFORMATION DISSEMINATION. ASSISTANCE COULD ALSO GO
TOWARDS PROJECTS THAT SEEK TO ADDRESS TOPICAL POLICY
QUESTIONS. FS II SHOULD ATTEMPT TO ESTABLISH LINKAGES TO
COUNTRIES AND MISSIONS REGARDING INFORMATION
DISSEMINATION (I.E. TECHNOLOGY SHARING/TRANSFER).

4. THE MISSION BELIEVES THE PROJECT SHOULD PAY
PARTICULAR ATTENTION TO THE ISSUE OF FOOD AID VERSUS THE
ENVIRONMENT, E.G. WHAT WILL BE THE LONG TERM EFFECTS OF
FOOD AID (OR FOOD SECURITY) UPON ENVIRONMENTAL
SUSTAINABILITY. PARA 6, SECTION 02 OF REFTEL IS
PARTICULARLY IMPORTANT.

5. OTHER RESEARCH AREAS THAT FS II COULD FOCUS ON
INCLUDE:

- (A) FOOD SECURITY IMPLICATIONS OF EXCHANGE RATE CHANGES;
- (B) ANALYSIS OF TRADE PERFORMANCE;

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82

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PAGE 01 KAMPAL 05716 161116Z
ACTION AID-00

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KAMPAL 05716 161116Z

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ACTION OFFICE STRD-01
INFO AFEA-04 BIFA-01 POSP-01 SAST-01 POAR-05 GC-01 GCAF-02
FVA-01 FVPP-01 APSP-02 APFP-02 STN-01 STHE-04 STNR-01
STAG-02 APID-01 SEOP-01 SETN-01 SEOS-02 APEM-01 FFP-03
SERP-01 SECS-02 AMAD-01 AAAF-03 STFA-01
/053 AD 16/1119Z

THE KNOWLEDGE AND SKILLS NECESSARY TO DEVELOP SOUND RESEARCH PROJECTS AND CARRY OUT INTERVENTIONS AT THE HOUSEHOLD LEVEL. ALL RESEARCH UNDERTAKEN IN UGANDA WOULD HAVE TO INVOLVE THESE YOUNG PROFESSIONALS AND RESULT IN STRENGTHENING THEIR CAPABILITIES.

INFO LOG-00 AF-00 AGRE-00 CIAE-00 DOOE-00 ED-00 /003V
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5. WE ARE UNABLE AT THIS TIME TO IDENTIFY POTENTIAL LEVEL OF INTEREST. MUCH WILL DEPEND ON HOW OUR TITLE III PROPOSAL IS RECEIVED IN AID/W AND THE DIRECTION AND EXTENT OF NUTRITION INITIATIVES NOW BEING CONSIDERED BY THE MISSION.

R 161113Z DEC 91
FM AMEMBASSY KAMPALA
TO SECSTATE WASHDC 1322
AMEMBASSY NAIROBI

CARSON

UNCLAS KAMPALA 05716

AIDAC

RD/EID/RAD FOR PATRICK DISKEN INFO RD/W, S. ANTHONY;
AFR/ABTS, H. SURIN
NAIROBI FOR REDSO/ESA/FFP AND HPN

E.O. 12356: N/A
SUBJECT: UGANDA RESPONSE TO RD/EID PROJECT: FOOD SECURITY II

1. USAID/UGANDA HAS REVIEWED SUBJECT CABLE WITH GREAT INTEREST. WE ARE IN THE MIDST OF DESIGNING A MULTI YEAR TITLE III PROPOSAL AND SOME OF THE RESEARCH TOPICS ARE THE VERY ISSUES WE ARE TRYING TO DEFINE FOR THE PROPOSAL.

2. UGANDA, LIKE MANY OF ITS EAST AFRICAN NEIGHBORS, HAS CONSIDERABLE FOOD INSECURITY AT THE HOUSEHOLD LEVEL. FOOD PRODUCTION IS ADEQUATE TO MEET LOCAL DEMAND AS WELL AS PROVIDE LIMITED AMOUNTS FOR EXPORT, BUT EVIDENCE FROM

THE DHS SHOWS HIGH LEVELS OF UNDER NUTRITION AND STUNTING IN CHILDREN UNDER 5. AN ANALYSIS OF A RECENTLY COMPLETED HOUSEHOLD BUDGET SURVEY SHOWS THAT LOW AND MIDDLE INCOME GROUPS LACK THE RESOURCES NECESSARY FOR AN ADEQUATE BALANCED DIET.

3. BASED ON THESE CONCERNS AND OUR INTEREST IN EFFECTIVELY USING TITLE III RESOURCES FOR IMPROVED FOOD SECURITY, WE FIND THE FOLLOWING RESEARCH TOPICS PARTICULARLY PERTINENT.

- A1) IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS.
- A2) MACRO POLICIES AND PUBLIC INVESTMENT TO PROMOTE BROAD BASED INCOME GROWTH AND FOOD SECURITY PARTICULARLY THOSE RELATING TO CHANGES IN TRADE AND EXCHANGE RATE POLICIES.
- B1) FARM AND NON-FARM SOURCES OF INCOME TO PROMOTE FOOD SECURITY PARTICULARLY STRATEGIES TO DIVERSIFY RURAL INCOME SOURCES THROUGH OFF-FARM EMPLOYMENT.

4. TWO BROAD STRATEGIES WITHIN THE PROPOSED PROJECT ARE PARTICULARLY RELEVANT IN THE UGANDAN CONTEXT: INSTITUTION STRENGTHENING AND THE ANALYTICAL PERSPECTIVE OF INTRA HOUSEHOLD DYNAMICS. THERE ARE KEY PEOPLE WITHIN MAKERERE UNIVERSITY AND THE MINISTRIES OF HEALTH AND AGRICULTURE WHO HAVE AN INTEREST IN AND UNDERSTANDING OF FOOD SECURITY ISSUES, BUT THERE ARE VERY FEW MID-LEVEL CADRES AND YOUNGER PROFESSIONALS WITH

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83

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PAGE 01 BRIDGE 06700 272139Z
ACTION AID-00

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ACTION OFFICE FWP-01
INFO LACA-00 AMA-01 POOP-01 EAST-01 POAR-05 OC-01 OCLA-01
FVA-01 STOR-01 STOR-01 FFP-00 AMAD-01
/027 AD 27/2336Z

4. PLEASE KEEP MISSION INFORMED OF PROJECT
DEVELOPMENT AND MECHANISMS FOR ASSESSING PROJECT
ACTIVITIES INCLUDING BUY-IN ARRANGEMENTS WHEN
FEASIBLE. DUGHES

INFO LOS-00 AGR-00 ARA-00 CIAE-00 OODE-00 EG-00 /003V
-----013105 272340Z /36

R 272110Z NOV 81
FM AMEMBASSY BRIDGETOWN
TO SECSTATE WASHDC 6120

UNCLAS BRIDGETOWN 06700

AIDAC

PASS TO PATRICK BISHIN, RD/EID/RAD

E.O. 12336

TAGS: N.A.

SUBJECT: NEW ST/RD/EID PROJECT: FOOD SECURITY II

REF. STATE 373371

1. REFTEL REQUESTED MISSION COMMENT ON SUBJECT
PROJECT, THE OBJECTIVE OF WHICH IS TO DEAL WITH FOOD
SECURITY ISSUES AS PART OF MARKET ORIENTED STRATEGIES
FOR ECONOMIC GROWTH. GENERAL RESPONSE IS THAT GIVEN
THE PRIORITY THAT SATISFACTION OF FOOD NEEDS, I.E.
FOOD SECURITY, RECEIVES AT NATIONAL AND REGIONAL
LEVELS, MISSION IS INDEED INTERESTED.

2. RDO/C SERVES A NUMBER OF CLIENT COUNTRIES WHICH
FALL INTO THE MIDDLE INCOME CATEGORY OF DEVELOPING

COUNTRIES, YET STILL ARE RELATIVELY POOR. DESPITE
GOOD ECONOMIC GROWTH IN RECENT YEARS, THE OUTLOOK IS
NOT SANQUINE FOR A VARIETY OF REASONS. GROWTH IN
THESE TRADE DEPENDENT ISLAND NATIONS WILL BECOME
EXCEEDINGLY DIFFICULT IN THE FUTURE GIVEN THE
POTENTIAL EROSION OF PROTECTED MARKETS OR COMPARATIVE
ADVANTAGES FOR PRIMARY AGRICULTURAL EXPORTS AND
TOURISM, THE PREDOMINANT FOREIGN EXCHANGE EARNING
SECTORS. OUTLOOK FOR GROWTH IN OTHER SECTORS, SUCH
AS INDUSTRY, SERVICES, AND GOVERNMENT ALSO IS NOT
BRIGHT. IMPLICATIONS FOR GROWTH OF OFF-FARM
EMPLOYMENT, INCOMES AND FOOD CONSUMPTION LEVELS
THEREFORE ARE OF GREAT CONCERN. OF COURSE, THE
SATISFACTION OF FOOD NEEDS, SUBSTANTIAL AMOUNTS OF
WHICH NOW MUST BE IMPORTED TO SATISFY EVER LARGER
NON-FARM POPULATIONS, WILL REMAIN AS A PRIORITY ISSUE
FOR SOME TIME TO COME. THIS ISSUE MUST BE THE FOCUS
OF OUR BILATERAL AND AID/W SUPPORTED POLICY PROJECTS,
AND VIEWED UNDER AN INTEGRATED AND LOGICAL ANALYTICAL
FRAMEWORK AS PROPOSED IN REFTEL.

3. MISSION IS INTERESTED IN ACCESSING THE PROPOSED
PROJECT TO CONTRIBUTE TO THE RESOLUTION OF FOOD
SECURITY RELATED ISSUES IN THE REGION. POTENTIAL
LEVEL OF INTEREST, BASED ON SCALE PRESENTED IN
REFTEL, IS QUOTE INTERMITTENT UNQUOTE, 1 TO 3 MONTHS
FOR A PERIOD OF ONE OR MORE YEARS. THE ESTIMATED
LEVEL OF MISSION SUPPORTED ACTIVITY IS LOW, UNDER
\$50,000. PRINCIPAL JUSTIFICATION FOR ACCESSING
PROJECT WOULD BE TO COMPLEMENT THE CAPABILITIES OF
MISSION'S PROPOSED EASTERN CARIBBEAN AGRICULTURAL

POLICY PROJECT WHICH IS EXPECTED TO DEAL WITH FOOD
SYSTEM POLICY ISSUES OVER THE PERIOD 1992 THROUGH

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84

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PAGE 01 SANTO 11400 111432Z 0374 035370 AID7861
ACTION AID-00

ACTION OFFICE STRD-01
INFO LACA-03 AALA-01 POSP-01 SAST-01 POAR-05 FVA-01 FVPP-01
APSP-02 APFP-02 STPO-01 STHR-01 STAG-02 APIB-01 APEM-01
FFP-09 AMAD-01 STFA-01 /035 AB 11/1952Z

INFO LOG-00 ARA-00 CIAE-00 DODE-00 EB-00 /003W
-----B5EEAA 111436Z /30

P 111430Z DEC 91
FM AMEMBASSY SANTO DOMINGO
TO SECSTATE WASHDC RIORITY 9200

UNCLAS SANTO DOMINGO 011400

AIDAC

FOR RD/EID/RAD, PATRICK DISKIN

E. O. 12356: N/A

SUBJECT: NEW RD/EID PROJECT, FOOD SECURITY II

REF: STATE 373371

SUMMARY: MISSION APPRECIATES CONCEPT AND PROGRAM INITIATIVE, HOWEVER SUBJECT REPTEL ASSISTANCE IS NOT A PRIORITY AREA FOR USAID/DOMINICAN REPUBLIC.

1. "MISSION SUPPORT FOR SIMILAR EFFORTS DURING LAST TEN YEARS HAS PROVIDED LITTLE EVIDENCE OF LOCAL CAPABILITY TO CAPITALIZE UPON SUCH INVESTMENTS. FOR EXAMPLE, AMONG OTHER ACTIVITIES, SUBSTANTIAL SUPPORT WAS PROVIDED FOR

EXPERT RESEARCH ON HOUSEHOLD FOOD CONSUMPTION/NUTRITION STUDIES; ON NEGATIVE IMPACTS OF PARASTATAL FOOD DISTRIBUTION/MARKETING/PRICE STABILIZATION INTERVENTIONS; ON DEVELOPMENT, INSTALLATION, AND HANDS-ON TRAINING FOR COMPUTER GENERATED ANNUAL FOOD NEEDS ASSESSMENTS; ON RESTRUCTURING OF PLANT, ANIMAL AND FOOD PROTECTION/QUARANTINE/INSPECTION AGENCIES, ETC.

2. A FAIR AND BALANCED EVALUATION OF THESE EFFORTS WOULD INDICATE VERY LIMITED SUCCESS IN EMBEDDING FOLLOW-ON CAPABILITY DURING RECENT YEARS NOR EFFECTIVE DEMAND FOR SUCH EFFORTS, AND WE ENVISION SCANT POSSIBILITY IN NEAR TO MEDIUM FUTURE THAT SUCH INVESTMENTS WOULD BE OPPORTUNE OR BENEFICIAL GIVEN OUR RESOURCE LEVELS AND THE CURRENT LOCAL INSTITUTIONAL MATRIX/CONDITION.

3. OUR NEW COSS ACKNOWLEDGES THESE CONDITIONS, DIRECTING RESOURCES IN SUPPORT OF LOCAL INITIATIVES WHICH SIMULTANEOUSLY ADDRESS AGENCY AND LAC BUREAU OBJECTIVES.
TAYLOR

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87

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PAGE 01 QUITO 00014 021925Z 4003 043291 AID1602
ACTION AID-00

ACTION OFFICE STRD-01
INFO BIFA-01 LASA-03 AALA-01 POSP-01 SAST-01 POAR-05 FVA-01
FVPP-01 STHR-01 STAG-02 FFP-00 AMAD-01 FADP-02 STFA-01
/031 AS 02/2205Z

INFO LOG-00 AGRE-00 ARA-00 /002W
-----BDSB2D 021925Z /30

R 021922Z JAN 82
FM AMEMBASSY QUITO
TO SECSTATE WASHDC 2043

UNCLAS QUITO 00014

AIDAC

FOR RD/EID/RAD, PATRICK DISKIN

E. O. 12356: N/A
SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID
PROJECT: FOOD SECURITY II

REF: STATE 373371/91

1. RESPONSES TO SECTION 8 OF REF CABLE:

- A. YES
- B. ALL
- C. N/A
- D. PREMATURE TO INDICATE
- E. N/A
- F. N/A

2. WITH REGARD TO POLICY ISSUES, THE MAIN AREA OF FS

II, THE MISSION HAS A POLICY DIALOGUE SUPPORT AND
AGRICULTURE SECTOR REORIENTATION PROJECTS. WE HAVE
POTENTIAL ACCESS TO IQC'S, LAC/TEC, AND APAP. THUS,
LIKELIHOOD OF AID/QUITO INVOLVEMENT SEEMS LIMITED.
LAMBERT

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88

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PAGE 01 TEGUCI 18428 00 OF 02 2023102 1592 039647 AID5413
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ACTION OFFICE STRD-01
INFO OL-01 LACE-01 AALA-01 POSP-01 SAST-01 POAR-05 GC-01
GCLA-01 FVA-01 FVPP-01 APSP-02 APPP-02 STN-01 STRR-01
APIB-01 APEN-01 FFP-00 AMAD-01 AAKA-01 STFA-01
/035 AB 21/0055Z

INFO LOG-00 .ARA-00 CIAE-00 DOOE-00 EG-00 /003M
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R 2023132 DEC 91
FM AMEMBASSY TEGUCIGALPA
TO SECSTATE WASHDC 1285

UNCLAS TEGUCIGALPA 18426

AIDAC

AID FOR RD/EID/RAD TO PATRICK DISKIN

E.O. 12356: N/A
SUBJECT: USAID/HONDURAS COMMENTS ON FOOD SECURITY II
PROJECT

REF: STATE 373371

1. THE PURPOSE OF THIS CABLE IS TO PROVIDE MISSION COMMENTS AS REQUESTED IN PARA 7 AND 8 OF REFTEL. MISSION UNDERSTANDS THAT SUBJECT PROJECT'S PURPOSE IS TO ENABLE AID RECIPIENT COUNTRIES TO ANALYZE FOOD SECURITY ISSUES AND FORMULATE POLICIES THAT WILL PROMOTE FOOD SECURITY AS PART OF BROAD BASED ECONOMIC GROWTH. THE PROJECT WILL ACHIEVE THIS THROUGH APPLIED RESEARCH, TECHNICAL ASSISTANCE, INFORMATION DISSEMINATION AND INSTITUTIONAL STRENGTHENING. THE RESEARCH AGENDA WILL ADDRESS SUPPLY AND DEMAND ISSUES --- ON THE SUPPLY SIDE, IMPROVING FOOD

SYSTEM PRODUCTIVITY AND DEMAND SIDE, IMPROVING ACCESS OF LOW-INCOME CONSUMERS TO FOOD SUPPLIES THROUGH BRAD BASED ECONOMIC GROWTH --- AND WILL FOCUS ON THREE PRIMARY RESEARCH TOPICS: A) IMPROVING VULNERABLE GROUPS ACCESS TO FOOD; B DEVELOPING APPROPRIATE MACRO POLICIES AND PUBLIC INVESTMENTS TO PROOTE BROAD-BASED ECONOMIC GROWTH; AND C) DEVELOPING MORE COST-EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS.

2. QUESTIONS RAISED IN PARA 8 OF REFTEL ARE LISTED WITH MISSION RESPONSE.

- A) ARE THE PROJECT'S OBJECTIVE, OVERALL THEME AND PLANNED ACTIVITIES OF POTENTIAL INTEREST TO THE MISSION?

RESPONSE: YES. MISSION IS CURRENTLY IMPLEMENTING AN AGRICULTURAL SECTOR DEVELOPMENT STRATEGY THAT TARGETS REDUCE MALNUTRITION AND INCREASED FOOD SECURITY AS PRIMARY GOALS. WE ARE ASSISTING THE GOVERNMENT OF HONDURAS (GOW) TO FORMULATE AND IMPLEMENT POLICY REFORMS TO PROMOTE AGRICULTURAL GROWTH, HIGHER REAL AGRICULTURAL PRICES AND RURAL INCOMES, AND INCREASED RURAL HOUSEHOLD PURCHASING POWER. RECENT STUDIES, SUCH AS INTERNATIONAL FOOD POLICY RESEARCH INSTITUTE'S (IFPRI) QUOTE INCOME SOURCES OF MALNOURISHED PEOPLE IN RURAL AREAS: MICROLEVEL INFORMATION AND POLICY IMPLICATIONS UNQUOTE INDICATE THAT INCREASING FAMILY PURCHASING POWER IS A KEY FACTOR IN DECREASING THE INCIDENCE OF MALNUTRITION. IN 1990, REAL AGRICULTURAL PRICES INCREASED BY 13 PERCENT WITH APPROXIMATELY TWO-THIRDS OF THAT INCREASE PASSED ON TO THE PRODUCER. A QUESTION THE MISSION HAS TO ANSWER IS

WHAT QUANTIFIABLE IMPACT DOES THIS TYPE OF GROWTH HAVE ON

RURAL MALNUTRITION? ALSO, AS AGRICULTURAL PRICES INCREASE WHAT IS THE SHORT-TERM IMPACT ON THE URBAN POOR? WHAT TYPE AND SCALE OF DIRECT FEEDING OR FOOD SECURITY PROGRAMS SHOULD BE ESTABLISHED TO OFFSET NEGATIVE EFFECTS OF READJUSTMENT?

- B) WHICH SPECIFIC TOPICS AND CROSS-CUTTING THEMES ARE OF POTENTIAL INTEREST?

RESPONSE: MISSION IS EFFECTIVELY ADDRESSING DEMAND SIDE ISSUES OF FORMULATING AND IMPLEMENTING ECONOMIC GROWTH POLICIES. HOWEVER, SUBJECT PROJECT COULD ASSIST IN ESTABLISHING FOOD SECURITY AND NUTRITIONAL BASELINE INFORMATION, AND IN DEVELOPING A PRACTICAL MONITORING SYSTEM TO VALIDATE THE IMPACT OF ECONOMIC GROWTH ON MALNUTRITION. THE PROJECT COULD ALSO ASSIST IN ADDRESSING THE SUPPLY SIDE ISSUE OF HOW TO IMPROVE ACCESS OF VULNERABLE GROUPS TO ADEQUATE FOOD SUPPLIES DURING ECONOMIC READJUSTMENT. HOW TO BEST IDENTIFY THESE GROUPS? HOW TO DEVELOP APPROPRIATE STRATEGIES TO ADDRESS THEIR SHORT-TERM NUTRITIONAL NEEDS? FINALLY, THE PROJECT COULD ASSIST IN THE DEVELOPMENT OF A MISSION NUTRITION STRATEGY FOCUSING ON THE ACTIONS NECESSARY TO ENSURE LONG-TERM FOOD SECURITY.

- C) ARE THERE AREAS OF INTEREST RELATED TO FOOD SECURITY RESEARCH AND TECHNICAL ASSISTANCE THAT ARE NOT INCLUDED IN REFTEL DESCRIPTION OF PROJECT?

RESPONSE: ALL THE AREAS OF MISSION INTEREST WERE COVERED IN REFTEL DESCRIPTION OF THE PROJECT.

- D) WHAT IS MISSION'S LEVEL OF INTEREST? WHAT RELEVANT USAID ACTIVITIES WOULD PROJECT'S ASSISTANCE BE RELEVANT TO?

RESPONSE: DEPENDING ON FUNDING LEVELS, MISSION WOULD CONSIDER SHORT-TERM BUY-IN'S UNDER THE SUBJECT PROJECT TO ADDRESS OUR SPECIFIC FOOD SECURITY CONCERNS. SUPPORT WILL PROBABLY BE NEEDED FOR ASSISTANCE WITH THE FOOD SECURITY ISSUES DESCRIBED IN OUR AGRICULTURAL DEVELOPMENT PROGRAM AND OUR HUMAN RESOURCES PROGRAM.

- E) ARE THERE ADDITIONAL COMMENTS?

RESPONSE: DESIGN OF FS II SHOULD INCLUDE CLOSE COORDINATION WITH ORGANIZATIONS SUCH IFPRI REGARDING THE DEVELOPMENT OF A FOOD POLICY RESEARCH AGENDA. SOME OF THESE GROUPS HAVE DONE EXCELLENT WORK AND FS II MAY WANT TO HELP BRIDGE THE GAP BETWEEN THESE INSTITUTIONS AND USAID MISSIONS. ARCOS

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90



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ACTION AID-00

ACTION OFFICE FVPP-01
INFO BIFA-01 LACA-03 AALA-01 SAST-01 POAR-05 GC-01 GCLA-01
FVA-01 APSP-02 STHR-01 STRD-01 STFN-02 STEN-01 FFP-09
AMAD-01 /032 AB 03/0000Z

INFO LOG-00 ARA-00 /002W
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R 022105Z DEC 91
FM AMEMBASSY KINGSTON
TO SECSTATE WASHDC 3334

UNCLAS KINGSTON 13990

AIDAC

FOR PATRICK DISKIN, RD/EID/RAD

E. O. 12356: N/A
SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID
PROJECT: FOOD SECURITY II

REF: STATE 373371

1. THE PURPOSE OF THIS CABLE IS TO RESPOND TO THE
QUESTION AND INFORMATION NEEDS RAISED IN REFTEL,
PARAGRAPH 8.

A. GENERALLY, THE PROJECT'S OBJECTIVES AND THEMES
SEEM USEFUL.

B. THE SUBJECTS OF THE EFFECT OF ECONOMIC
LIBERALIZATION ON FOOD COSTS AND ACCESS TO FOOD FOR
LOW INCOME CONSUMERS ARE OF PARTICULAR INTEREST IN

JAMAICA.

C. WE ALSO FIND THE CONCEPT OF SUSTAINABLE NATURAL
RESOURCES USE VERY IMPORTANT IN THE DEVELOPMENT OF
OUR OVERALL MISSION STRATEGY REGARDING ENVIRONMENTAL
PROTECTION IN BOTH RURAL AND URBAN SETTINGS.

2. ACCORDINGLY, PLEASE KEEP THE MISSION APPRAISED AS
THE PROJECT DEVELOPS AND SPECIFIC ACTIVITIES ARE
UNDERTAKEN.
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PAGE 01 LIMA 16992 050008Z 1501 032618 AID2673
ACTION AID-00

ACTION OFFICE FVPP-01
INFO LASA-03 AALA-01 SAST-01 POAR-05 FVA-01 STHR-01 STRD-01
FFP-00 AMAD-01 /024 A0 05/0118Z

INFO LOG-00 ARA-00 /002W
-----030156 050008Z /30

R 042237Z DEC 01
FM AMEMBASSY LIMA
TO SECSTATE WASHDC 3000

UNCLAS LIMA 16992

AIDAC

FOR P. DISKIN, RD/EID/RAD

E. O. 12356: N/A
SUBJECT: REQUEST FOR INPUT INTO NEW FOOD SECURITY II
P R O J E C T

REF: STATE 373371

1. USAID/PERU IS PREPARING A FOOD SECURITY STRATEGY WHICH SHOULD BE READY IN MID-FEBRUARY 1972. IN THE COURSE OF THE DEVELOPMENT OF THIS STRATEGY, IT IS QUITE LIKELY THAT AREAS OF INTEREST WILL BE IDENTIFIED THAT REQUIRE FURTHER STUDY AND THAT SOME OF THESE AREAS MAY FALL WITHIN THE AMBIT OF THE PROPOSED PROJECT. HOWEVER, AT THIS TIME MISSION CANNOT PROVIDE ANY QUANTIFIED LEVEL OF PARTICIPATION.

2. THE MISSION IS INTERESTED IN THE OBJECTIVES AND THE APPROACH PROPOSED IN THE PROJECT, AS WELL AS THE TOPICS WHICH WOULD BE RESEARCHED. USAID FINDS ALL THE TOPICS LISTED UNDER THE RESEARCH AGENDA AND THE CROSS-CUTTING THEMES TO BE RELEVANT IN ONE WAY OR ANOTHER TO PERU, AND DEPENDING UPON THE OUTCOME OF OUR STRATEGY FORMULATION EFFORT, THE PROJECT COULD BE VERY COMPLEMENTARY TO OUR EFFORTS TO IMPROVE FOOD SECURITY IN PERU. WE WILL BE IN A BETTER POSITION TO SUGGEST OTHER POTENTIAL RESEARCH TOPICS AFTER OUR STRATEGY IS COMPLETED IN FEBRUARY.
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AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

PAGE 01 CAIRO 21376 011531Z 1204 030952 AID9559 CAIRO 21376 011531Z 1204 030952 AID9559 ACTION AID-00

ACTION OFFICE FVPP-01 INFO POSP-01 SAST-01 POAK-05 POID-01 GC-01 GCAN-02 FVA-01 APSP-02 APFP-02 STHE-04 STNR-01 STRQ-01 APIR-01 APEN-01 FFP-00 AMAD-01 NENA-03 NEBR-07 /045 AB 01/1533Z

INFO LOG-00 AGRE-00 NEA-00 /002W -----02000A 011531Z /30

R 011527Z DEC 91 FM AMEMBASSY CAIRO TO SECSTATE WASHDC 8754

UNCLAS CAIRO 21376

AIDAC

FOR PATRICK DISKIN, RD/EID/RAD

E.O. 12958: N/A SUBJECT: USAID FOOD SECURITY PROJECT: FOOD SECURITY II

REFERENCE: STATE 373667

1. RESPONSES ARE REVELED TO AID-W CABLE, PARAGRAPH 5:

(A) PROMOTION OF FOOD SECURITY IS OF VERY HIGH PRIORITY IN EGYPT, AS THE COUNTRY RAPIDLY SHIFTS FROM A TIGHTLY MANAGED ECONOMY TO A FREE-MARKET ECONOMY. OPEN MARKETS ARE INDISPUTABLY MORE EFFICIENT THAN THOSE CONTROLLED BY THE GOVERNMENT. HOWEVER, VULNERABLE SEGMENTS OF SOCIETY MAY BE AFFECTED NEGATIVELY IN TERMS OF THE AVAILABILITY OF LOW-PRICED FOOD, AT LEAST IN THE SHORTRUN, UNTIL ECONOMIC GROWTH

LEADS TO INCREASED INCOMES OF THE POOR.

AS FOOD PRICE SUBSIDIES ARE REMOVED, THE USAID PLANS TO IDENTIFY THOSE VULNERABLE GROUPS AND ASSIST THE GOE ON DESIGNING A FOOD SECURITY SYSTEM THAT WILL REACH THE VULNERABLE FAMILIES. THE FIRST ACTION WILL BE AN OVERALL ASSESSMENT OF THE FOOD SECURITY SYSTEM.

(B) YOUR TOPIC 5 (B) THIS IS OF THE MOST IMMEDIATE INTEREST TO USAID. WE HAVE PLANNED A STUDY DURING THE FIRST HALF OF 1992 TO: (1) IDENTIFY THE VULNERABLE LOW INCOME GROUPS, (2) MAKE A PRELIMINARY ANALYSIS OF THE IMPACT OF INCREASED PRICES OF BASIC FOODSTUFFS ON THE HEALTH AND WELFARE OF THIS GROUP, AND (3) DEVELOP RECOMMENDATIONS FOR A SYSTEMATIC APPROACH TO DEALING WITH THE VULNERABLE GROUPS. INCOME SUPPORT, FOOD STAMPS AND FOOD FOR WORK PROGRAMS ARE ALL POSSIBILITIES. IT IS ESSENTIAL THAT FOOD SECURITY ACTIONS FOLLOWING REMOVAL OF PRICE SUBSIDIES DO NOT INTERFERE WITH MARKET EFFICIENCY.

WE WOULD WELCOME THE CHANCE TO EXCHANGE VIEWS ON THE TOPIC, AND EXPLORE WAYS IN WHICH THE PROPOSED PROJECT COULD BE USED TO ASSIST US IN THE STUDY.

(C) PART OF THE FOOD SECURITY PICTURE IS VARIABILITY OF SUPPLY CAUSED BY NATURAL PHENOMENA AND BY ECONOMIC FACTORS. PRICE AND SUPPLY STABILIZATION SCHEMES SHOULD THEREFORE BE A THEME OF THE NEW FOOD SECURITY PROJECT. SHOCKS TO LOW INCOME HOUSEHOLDS CAUSED BY UNPREDICTED PRICE RISES MAY BE AT LEAST AS

SERIOUS A PROBLEM AS THE LOW-INCOME CONSUMER FACING HIGH FOOD COSTS OVER THE LONGER TERM.

IN ADDITION TO EXAMINING MACRO-POLICIES THAT IMPACT ON FOOD SUPPLIES AND INCOME, THE PROJECT MAY WISH TO CONSIDER THE SPECIAL PROBLEM OF EMPLOYMENT POLICY. IN MOST ECONOMIES THERE IS SCOPE FOR MAKING CHOICES AMONG SEVERAL ALTERNATIVE GROWTH PATHS, EACH HAVING A DIFFERENT IMPACT ON THE GROWTH OF EMPLOYMENT.

(D) TECHNICAL ASSISTANCE OBTAINED UNDER TOPIC 5 (B) WOULD BE REQUIRED FOR LESS THAN SIX MONTHS. THE LEVEL OF COST IS LIKELY TO BE OVER USDOLS 200,000.

(E) USAID HAS ONGOING AN AGRICULTURAL POLICY REFORM EFFORT, A SUBCOMPONENT OF THE AGRICULTURAL PRODUCTION AND CREDIT PROJECT. LIBERALIZING INPUT AND PRODUCT MARKETS, PRIVATIZATION, REMOVAL OF INPUT SUBSIDIES AND INCREASING FARM PRICES HAVE BEEN THE MAJOR POLICY TARGETS OF THE PROJECT.

WE ARE CURRENTLY DESIGNING A BROADER POLICY PROGRAM, FOCUSED ON KEY AREAS OF MAJOR POLICY INTERESTS, LAND AND WATER MANAGEMENT, PUBLIC INVESTMENT, AND FOOD SECURITY ISSUES. THE THEMES OF THE PROPOSED NEW FOOD SECURITY SUPPORT PROJECT ARE VERY CLOSELY RELATED TO ISSUES BEING ADDRESSED IN THE POLICY PROJECT SO IT IS ANTICIPATED THAT THESE SERVICES WILL BE IN DEMAND OVER THE NEXT SEVERAL YEARS.

2. AS A GENERAL COMMENT, WE SUGGEST THAT THE PAYOFF

TO GREATER DISAGGREGATION OF DATA, I.E., INTRAHOUSEHOLD STUDIES, MAY NOT BE AS GREAT AS, SAY, EXPANDING THE HOUSEHOLD DATA TO INCLUDE MORE REGIONS AND INCOME STRATA; OR ADDING EMPLOYMENT AS A KEY VARIABLE IN ANALYZING FOOD SECURITY ISSUES.

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PAGE 01 RABAT 00838 290848Z 6789 053750 AID6873 ACTION AID-00

ACTION OFFICE FVPP-01 INFO POSP-01 POAR-05 FVA-01 RDAA-01 STHR-01 STRD-01 STAG-02 FFP-09 AMAD-01 NENA-03 NEDR-07 FABP-02 /035 A0 29/0851Z

INFO LOG-00 AGRE-00 /001W -----08990A 290848Z /38

R 290848Z JAN 92 FM AMEMBASSY RABAT TO SECSTATE WASHDC 4127

UNCLAS RABAT 000838

ADM AID

E.O. 12356: N/A SUBJECT: REQUEST FOR USAID INPUT INTO NEW RDEID PROJECT: FOOD SECURITY ::

REF: STATE 373667

- 1. THE SUBJECT RESEARCH TOPIC IS AN AREA OF GENERAL INTEREST TO USAID/MOROCCO. WE ARE ADDRESSING THIS ISSUE THROUGH OUR CEREAL MARKETING REFORM PROJECT (CMR), A SUBPROJECT OF OUR ECONOMIC POLICY REFORM PROJECT (608-0191). CMR IS A TWO YEAR STUDIES PROJECT THAT BEGAN IN EARNEST THIS PAST JULY WITH DAI, INC. AS THE PRIME CONTRACTOR. THE PROJECT HAS MANY OF THE SAME TOPICS IN REFTEL PARA 6 (A) ON ITS RESEARCH AGENDA, BUT WITH AN EMPHASIS ON THE MARKETING OF CEREALS. THE MAIN FOOD STAPLE HERE IN MOROCCO.
2. USAID/MOROCCO IS ALSO CURRENTLY DESIGNING A NEW WATER AND SOIL RESOURCES CONSERVATION PROJECT FOR ONE PARTICULAR ZONE IN MOROCCO WHICH MAY INCLUDE SOME ACTIVITIES RELATED TO REFTEL PARA 6 (B2).
3. THE MISSION BELIEVES FOOD SECURITY IS AN IMPORTANT RESEARCH SUBJECT, BUT WE DO NOT KNOW AT THIS TIME IF WE WILL REQUEST ANY ASSISTANCE FROM THE NEW RDEID PROJECT. WE WILL KNOW BETTER IN MARCH. AFTER THE CMR PROJECT HAS DEVELOPED ITS PHASE II RESEARCH PLAN. HOWEVER, IF ASSISTANCE IS REQUESTED THROUGH THIS PROJECT, WE ANTICIPATE THAT IT WOULD BE AT A LOW LEVEL OF ACTIVITY FOR SHORT-TERM OR INTERMITTENT INVOLVEMENT IN AREAS MENTIONED IN REFTEL PARA 6 (A). THE MISSION WILL NOT KNOW OF ANY INTEREST ON THE PART OF THE WATER AND SOIL RESOURCES CONSERVATION PROJECT AT LEAST UNTIL THE THIRD QUARTER OF FY 92.
4. USAID/MOROCCO IS CONCENTRATING MOST OF ITS DEVELOPMENT PROGRAM TOWARDS LIMITED TOPICAL AREAS. BESIDES THE CMR PROJECT WITH ITS LARGELY DOMESTIC PRODUCTION FOCUS, THE MISSION IS PROMOTING INCREASED FOOD SECURITY THROUGH COMMERCIAL CHANNELS FINANCED BY THE EXPORT OF HIGH-VALUE CROPS (THE AGRIBUSINESS PROMOTION PROJECT). PLAISTED

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AGENCY FOR INT'L DEV. TELECOMMUNICATIONS CENTER

PAGE 01 TUNIS 09645 271111Z 5200 029465 AID6905 ACTION AID-00

TUNIS 09645 271111Z 5200 029465 AID6905

ACTION OFFICE FVPP-01 INFO BIFA-01 OL-01 POSP-01 SAST-01 POAR-05 GC-01 FVA-01 APSP-02 APPF-02 STNR-01 STRD-01 STAG-02 APIB-01 APSM-01 APEM-01 FFP-09 AHAD-01 TVA-01 WENA-03 MEDR-07 STFA-01 /045 AB 27/1127Z

ASSISTANCE AND TRAINING IN SUPPORT OF TUNISIA'S AGRICULTURAL STRUCTURAL ADJUSTMENT PROGRAM. THE APIP WORKS CLOSELY WITH THE MINISTRIES OF AGRICULTURE, ECONOMY AND PLAN AS WELL AS VARIOUS GOVERNMENT AGENCIES AND PRIVATE SECTOR PARTICIPANTS IN THE AGRICULTURAL SECTOR. ANALYSES HAVE HAD CONSIDERABLE POLICY IMPACT AND HAVE BEEN KEY IN LIBERALIZING THE VARIOUS AGRICULTURAL SECTORS, INCLUDING CEREALS, MILK, FERTILIZER AND EDIBLE OILS. IN ADDITION, APIP HAS BEEN INSTRUMENTAL IN PROVIDING ONGOING ASSISTANCE IN REDUCING FOOD SUBSIDIES AND PROMOTING EXPORT OF NUMEROUS AGRICULTURAL PRODUCTS. THE APIP HAS BEEN EXTENDED THRU THE END OF APRIL 1992. THE PROJECT HAS PAVED THE WAY FOR AN AGRIBUSINESS PROGRAM GRANT WHICH WILL NOPEFULLY BE FUNDED IN FY92. MCCARTHY

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R 271122Z NOV 91 FM AMEMBASSY TUNIS TO SECSTATE WASHDC 5270

UNCLAS TUNIS 09645

AIDAC FOR PATRICK DISKIN, RD/EID/RAD

E.O. 12356: N/A SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID PROJECT: FOOD SECURITY II

REP: STATE 373867

1. USAID/TUNIS RESPONSES ARE KEYED TO REFTEL PARA 8.

A. PROPOSED PROJECT'S OBJECTIVE, OVERALL THEME AND PLANNED ACTIVITIES ARE OF INTEREST AS THEY ARE IN LINE WITH TUNISIA'S STRATEGY AS SET FORTH IN TUNISIA'S EIGHTH DEVELOPMENT PLAN (1992-96).

B. THE FOLLOWING TOPICS AND CROSS-CUTTING THEMES ARE OF POTENTIAL INTEREST:

--IMPROVING ACCESS TO FOOD BY VULNERABLE GROUPS: THIS SUBJECT HAS BEGUN TO BE DEALT WITH IN WORK CURRENTLY

DONE OR UNDERWAY WITH THE SUBSIDY FUND OF THE GOT (CAISSE GENERALE DE COMPENSATION) ON FINDING WAYS TO TARGET FOOD TO LOW INCOME GROUPS.

--MACRO POLICIES AND PUBLIC INVESTMENTS TO PROMOTE BROAD BASED INCOME GROWTH AND FOOD SECURITY: IN THIS VEIN, TUNISIA HAS INITIATED WITHIN ITS STRUCTURAL ADJUSTMENT PROGRAM A PROGRAM AIMED AT PRICE LIBERALIZATION. HOWEVER, NO WORK HAS BEEN DONE TO MEASURE THE IMPACT ON ACCESS TO FOOD ON LOW INCOME CONSUMER.

--DESIGNING MORE COST-EFFECTIVE FOOD SYSTEMS AND RELATED INSTITUTIONS: IN TUNISIA PARASTATALS STILL HAVE A MONOPOLY ON FOOD ITEMS SUCH EDIBLE OILS, CEREALS, ETC. THE ENVISAGED NEW RD/EID PROJECT COULD HELP IDENTIFY THE APPROPRIATE INVESTMENTS AND POLICY MEASURES FOR ENHANCING FOOD SYSTEMS EFFICIENCY.

C. NEW AREAS OF INTEREST RELATED TO FOOD SECURITY RESEARCH AND TECHNICAL ASSISTANCE WHICH HAVE NOT BEEN ADDRESSED IN REFTEL PARAS 5 AND 6: USAID/TUNIS SUGGESTS THAT DEVELOPMENT OF INSTITUTIONAL CAPABILITY TO FORECAST CROP YIELDS BE INCLUDED IN THE NEW RD/EID PROJECT.

D. POTENTIAL LEVEL OF INTEREST FOR ABOVE TOPICS/AREAS AS PERCEIVED BY USAID AT THIS TIME IS MEDIUM TO LONG-TERM. AS TO POTENTIAL LEVEL OF ACTIVITIES, USAID IS UNABLE TO RESPOND AT THIS TIME BECAUSE OF LACK OF FUN D I N G.

E. PRESENT USAID/TUNIS RELEVANT ACTIVITIES: IN 1987 USAID/TUNIS UNDERTOOK A FOUR-YEAR AGRICULTURAL POLICY

IMPLEMENTATION PROJECT (APIP) WHICH HAS PROVIDED

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ACTION AID-00

ACTION OFFICE FVPP-01
INFO ASTR-03 ASMS-01 SAST-01 POAR-05 FVA-01 STHR-01 STRD-01
SEOP-01 SETN-01 SEOS-02 FFP-09 SERP-01 SECS-02 AMAD-01
ASSA-03 /034 A0 19/1635Z

INFO LOG-00 AGRE-00 NEA-00 /002W
-----B8F123 190630Z /38

R 190630Z DEC 91
FM AMEMBASSY NEW DELHI
TO SECSTATE WASHDC 2624

UNCLAS NEW DELHI 26331

AIDAC

E. O. 12356: N/A
SUBJECT: REQUEST FOR USAID INPUT INTO NEW RD/EID
PROJECT: FOOD SECURITY II

REFERENCE: STATE 378142

1. THE PROPOSED FOOD SECURITY II PROGRAM PROPOSED REFTEL DOES NOT FIT WITHIN USAID/NEW DELHI'S NEW STRATEGY TO BE SUBMITTED SHORTLY TO AID/W FOR APPROVAL. THEREFORE, IT IS UNLIKELY THAT THE MISSION WOULD PARTICIPATE IN THIS PROGRAM.
2. THE MISSION DOES BELIEVE THAT ITS PROPOSED, BUT NOT YET APPROVED, TITLE III PROGRAM IN SUPPORT OF GOI'S ONGOING ECONOMIC REFORM PROGRAM WILL HELP TO IMPROVE FOOD SECURITY OVER THE MEDIUM TERM. MOREOVER, THE TITLE II PROGRAM WITH CARE AND CRS, THE LARGEST IN THE WORLD, PROVIDES FOODS DIRECTLY TO THE POOREST SEGMENTS OF INDIAN SOCIETY. BRILL

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PAGE 01 JAKART 16003 00 OF 02 110023Z 4507 035100 A1D7561
ACTION A1D-00

JAKART 16003 00 OF 02 110023Z 4507 035100 A1D7561

ACTION OFFICE FVPP-01
INFO ASAA-01 ASTR-03 ASDR-03 ASHS-01 BIFA-01 POSP-01 SAST-01
POAR-05 FVA-01 APSP-02 APFP-02 ASFP-02 OFDA-02 STNE-04
STNR-01 STRD-01 STAG-02 STFN-02 APIB-01 STEM-01 APSM-01
APEN-01 FFP-09 ANAD-01 ASSA-03 ASEA-03 STFA-01
/057 AB 11/0046Z

STRONG CANDIDATE FOR THE ASSISTANCE THAT THE RD/EID PROJECT MAY OFFER. WITH DONOR ASSISTANCE OVER THE PAST TWO DECADES, INDONESIA HAS TRAINED A LARGE CADRE OF AGRICULTURALISTS AND PLANNERS, AS WELL AS PUT IN PLACE THE NECESSARY PHYSICAL INFRASTRUCTURE TO ATTAIN TREND RICE SELF-SUFFICIENCY. AGRICULTURAL ECONOMISTS AND OTHERS HAVE ALREADY BEEN SENSITIZED TO THE NEED TO DEVELOP STRATEGIES WHICH WILL IMPROVE ACCESS TO FOOD BY VULNERABLE GROUPS, TO IMPROVE MACRO POLICIES AND INVESTMENT ALLOCATIONS, TO PROMOTE NON-FARM SOURCES OF INCOME, TO IMPROVE THE EFFICIENCY IN CURRENT PROCESSING AND MARKETING, TO PROTECT THE NATURAL RESOURCE BASE, AND TO TRACK THE DISTRIBUTION OF RESOURCES DOWN TO THE INTRA-HOUSEHOLD LEVEL. IN SHORT, INDONESIA IS AT A STAGE WHERE IT IS NOW TRYING TO TEST THE SUSTAINABILITY OF THESE DONOR-PROMOTED CONCEPTS. FURTHER, THEY ARE NOW WILLING TO PAY FOR SOME ASSISTANCE THEMSELVES (E.G. ASSISTANCE FROM STAMFORD).

INFO LOG-00 CIAE-00 DODE-00 EAP-00 ED-00 NEA-00 /004V
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R 110028Z DEC 01
FM AMEMBASSY JAKARTA
TO SECSTATE WASHDC 1420
INFO AMEMBASSY COLOMBO
AMEMBASSY DHAKA
AMEMBASSY SUVA
AMEMBASSY ISLAMABAD
AMEMBASSY MANILA
AMEMBASSY NEW DELHI
AMEMBASSY SUVA
AMEMBASSY KATHMANDU

4. WE BELIEVE THAT FUNDS TARGETED FOR THE FOOD SECURITY II PROJECT SHOULD NOT BE TARGETED TO MIDDLE INCOME TRANSITIONAL AND INDUSTRIALIZING ASIAN COUNTRIES. PERHAPS THEY SHOULD REMAIN TARGETED ON AFRICA. A MODEST AMOUNT COULD BE USED TO ENCOURAGE MIDDLE INCOME COUNTRIES TO DOCUMENT THEIR EXPERIENCES IN DEALING WITH FOOD SECURITY ISSUES FOR USE BY LOW INCOME AGRICULTURAL ECONOMIES THAT ARE FACING SIMILAR ISSUES.
5. ANOTHER OPTION THAT YOU MIGHT CONSIDER IS THE WISDOM OF ADDITIONAL SUPPORT TO INTERNATIONAL RESEARCH CENTERS.

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E.O. 12356: N/A

SUBJECT: USAID INPUT INTO NEW RD/EID PROJECT FOOD SECURITY II

THEY FILL AN ESSENTIAL NICHE GIVEN THE COSTS AND THE ECONOMIES OF SCALE INVOLVED IN AGRICULTURAL RESEARCH. HOWEVER, BEFORE ADDING MORE MONEY, THE ALTERNATIVE USES OF SUCH FUNDS NEED TO BE CAREFULLY CONSIDERED.

REF: STATE 378142

1. USAID/INDONESIA'S AGRICULTURE AND RURAL DEVELOPMENT ASSISTANCE PROGRAM IS CURRENTLY DRIVEN BY THE RECENT

6. WE APPRECIATE THE OPPORTUNITY TO COMMENT ON THE FOOD SECURITY II PROJECT DESIGN, AND HOPE THESE BRIEF COMMENTS FROM THE PERSPECTIVE OF INDONESIA ARE HELPFUL.

FOCUS AND CONCENTRATION EXERCISE, DECLINING BUDGET RESOURCES, DECLINING STAFF RESOURCES, ADDITIONAL ACCOUNTABILITY CONCERNS, AND SHIFTING NEEDS OF THE INDONESIAN ECONOMY. THIS IS LEADING US TO TERMINATE THE MAJORITY OF OUR LONG-STANDING ASSISTANCE TO ACTIVITIES THAT DIRECTLY RELATE TO FOOD SECURITY ISSUES UPON COMPLETION OF PROJECTS CURRENTLY UNDERWAY. THIS INCLUDES THE TERMINATION OF MOST OF OUR AGRICULTURAL RESEARCH, EXTENSION, AND PLANNING ACTIVITIES. OUR FORMER OFFICE OF AGRICULTURE AND RURAL DEVELOPMENT IS BEING TRANSFORMED INTO THE OFFICE OF AGRO-ENTERPRISES AND ENVIRONMENT. THIS OFFICE WILL PURSUE TWO OBJECTIVES: 1) SUSTAINING INDONESIA'S NATURAL RESOURCES AND IMPROVING ITS ENVIRONMENT; AND 2) MORE OPEN, EFFICIENT AND COMPETITIVE AGRO AND MICRO-ENTERPRISES. PROJECTS WITH SOME RELATIONSHIP TO AGRICULTURAL PRODUCTION THAT WE WILL PURSUE INCLUDE ONES IN NATURAL RESOURCE MANAGEMENT, AGRIBUSINESS, AND PRIVATE BIOTECHNOLOGY DEVELOPMENT.

DRAFTED: APD:RENAVIN

APPROVED: ARD:MLWINTER

WILSON

2. AS CAN BE INFERRED FROM THE ABOVE, THERE IS VIRTUALLY NO ROOM IN OUR CURRENTLY ENVISAGED PROGRAM FOR THE ACTIVITIES THAT ARE OUTLINED FOR THE FOOD SECURITY II PROJECT. THAT IS NOT TO SAY, HOWEVER, THAT FOOD SECURITY ISSUES ARE NOT IMPORTANT EVEN IN A RAPIDLY DEVELOPING COUNTRY LIKE INDONESIA. A FEW YEARS AGO, INDONESIA RECEIVED WORLDWIDE ACCLAIM FOR SUCCESSFULLY DOUBLING RICE PRODUCTION WITHIN A 20 YEAR PERIOD AND ATTAINING SELF-SUFFICIENCY. THIS YEAR, BECAUSE OF A DROUGHT, THEY ARE HAVING TO IMPORT APPROXIMATELY 300,000 M.T. OF RICE.

3. NEVERTHELESS, IT DOES NOT APPEAR THAT INDONESIA IS A

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98



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PAGE 01 KATHMA 07071 030541Z 0274 031570 A100606 KATHMA 07071 030541Z 0274 031570 A100606
ACTION AID-00 BLOCH

INFO SAST-01 STRD-01 TELE-01 /003 A7 10/1010Z

ACTION OFFICE FVPP-01
INFO APHS-01 APRE-01 APPD-03 SAST-01 POAR-05 FVA-01 APSP-02
APFP-02 APA-02 STRR-01 STRD-01 APEN-01 FFP-09 AMAD-01
/032 AB 03/1756Z

INFO L04-00 EAP-00 NEA-00 /003V
-----0201EC 030541Z /30

P 030424Z DEC 91
FM AMEMBASSY KATHMANDU
TO SECSTATE WASHDC PRIORITY 0004
INFO AMEMBASSY COLOMBO
AMEMBASSY DAKA
AMEMBASSY SUVA
AMEMBASSY ISLAMABAD
AMEMBASSY JAKARTA
AMEMBASSY MANILA
AMEMBASSY NEW DELHI
AMEMBASSY SUVA

UNCLAS KATHMANDU 07071

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AID/W FOR ALAN HURDUS, ASIA/TR/AGR; USAID/BANGLADESH
FOR DON BROWN; USAID/INDIA FOR JOHN GRAYZEL;
USAID/INDONESIA FOR MARCUS WINTER; USAID/SRI LANKA
FOR GLENN ANDERS; USAID/PHILIPPINES FOR KEN PRUSSNER;
USAID/PAKISTAN FOR ARNOLD RSB; USAID/FIJI FOR SHARON
FEE

E.O. 12356: N/A
SUBJECT: USAID/NEPAL COMMENTS ON PROPOSED R&D BUREAU

- FOOD SECURITY II (FS II) PROJECT

REF: STATE 370142

1. USAID/NEPAL IS CONCERNED AT A GENERAL LEVEL WITH
FOOD SECURITY AND MUCH MORE SPECIFICALLY WITH
BROAD-BASED INCOME GROWTH. OUR FOCUS AND
CONCENTRATION EXERCISE EMPHASIZES INCOME GENERATION
THROUGH MARKET-LED, PRIVATE SECTOR DRIVEN
INITIATIVES, INCLUDING MAINTAINING THE PRODUCTIVE
CAPACITY OF THE NATURAL RESOURCE BASE.

2. THE THREE RESEARCH TOPICS AND TWO CROSS-CUTTING
THEMES OUTLINED IN REFTEL PARAGRAPH 8 DOVETAIL WITH
BUT DO NOT DRIVE OUR PROGRAM FOCUS. ISSUES OF MAJOR
CONCERN TO US ARE ADDRESSABLE THROUGH VARIOUS
EXISTING MISSION AND CENTRAL AID PROJECTS AND THROUGH
COORDINATED EFFORTS WITH OTHER KEY DONORS.

3. THEREFORE, WE SEE NO PARTICULAR NEED TO DRAW UPON
A NEW REGIONAL PROJECT FOR ANY ADDITIONAL SERVICES.
FURTHERMORE, WE SUGGEST THAT THE NEED FOR A NEW
WORLD-WIDE FS-II PROJECT BE SERIOUSLY RECONSIDERED.
PERHAPS A BETTER ALTERNATIVE USE OF THE FUNDS WOULD
BE ADDITIONAL SUPPORT FOR INTERNATIONAL RESEARCH
CENTERS AND OTHER RESEARCH INITIATIVES NEEDED TO FILL
CRITICAL PRODUCTIVITY CHALLENGES WHICH "GREEN
REVOLUTION" TECHNOLOGIES FAIL TO ADDRESS AND TO
INTENSIFY RESEARCH ON THE NEXT GENERATION OF "GREEN
REVOLUTION" TECHNOLOGIES. (DRAFTED BY:
RVTURSTON/ARD).

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PAGE 01 OF 02 MANILA 33110 00 OF 02 2006212 6645 039131 A1D4476
ACTION AID-00

MANILA 33110 00 OF 02 2006212 6645 039131 A1D4476

ACTION OFFICE STBD-01
INFO ASAA-01 ASTR-03 ASDR-03 ASMS-01 BIFA-01 POSP-01 SAST-01
POAR-05 POID-01 FVA-01 FVPP-01 APSP-02 APFP-02 ASFP-02
STHR-01 STAG-02 STFN-02 APIB-01 STEN-01 SEOP-01 SEOS-02
APSM-01 APEM-01 FFP-09 SERP-01 AMAD-01 ASSA-03 ASEA-03
STFA-01 /056 AD 20/08202

CAPABILITY CAN COMPETITIVELY CONTRACT AND FIELD TECHNICAL ASSISTANCE FOR POLICY ANALYSIS/DIALOGUE IN LESS TIME, AND WITH FEWER DELAYS, THAN IT TAKES TO ACCESS SIMILAR QUALITY EXPERTISE THROUGH CENTRALLY FUNDED PROJECT. MISSION MANAGEMENT BURDEN ASSOCIATED WITH AN AID/W BUY-IN IS SEEN TO BE AT LEAST EQUAL, IF NOT EXCEEDING, THAT OF A BILATERAL PROJECT.

INFO LOG-00 CIAE-00 DODE-00 EAP-00 ED-00 NEA-00 /004V
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C. CENTRAL PROJECT BUY-INS HAVE BENEFITTED SMALL AND MEDIUM-SIZED MISSIONS BY COMPLEMENTING THE LIMITED BILATERAL FUNDS. FOR MISSIONS WITH A LARGE PROGRAM AND SUBSTANTIAL RESOURCES ALREADY FOCUSED ON POLICY ANALYSIS/ADVOCACY, THE ADVANTAGES OF A CENTRAL BUY-IN PROJECT OVER A BILATERAL PROJECT TO OBTAIN NEEDED EXPERTISE ARE MARGINAL TO NIL.

R 2006212 DEC 01
FM AMEMBASSY MANILA
TO SECSTATE WASHDC 8864
INFO AMEMBASSY COLOMBO
AMEMBASSY DAKA
AMEMBASSY ISLAMABAD
AMEMBASSY KATHMANDU
AMEMBASSY NEW DELHI
AMEMBASSY SUIVA

3. USAID'S SPECIFIC RESPONSE TO PARA. E OF REFTEL (A) FOLLOWS BELOW.

UNCLAS MANILA 33110

AIDAC

AID/W FOR PATRICK DISKIN, RD/EID/RAD AND
ALAN MURDUS, ASIA/TR/ARC AND DON CLARK, ASIA/EA

A. THE PHILIPPINE ASSISTANCE STRATEGY STATEMENT, USAID'S GOAL IN AGRICULTURE AND NATURAL RESOURCES (ANR) IS TO ACCELERATE PRIVATE SECTOR LED ECONOMIC GROWTH AND IMPROVE NATIONAL FOOD SECURITY THROUGH INCREASED SELF-RELIANCE ON OPEN MARKET MECHANISMS, AGRIBUSINESS DEVELOPMENT AND FINANCIAL AND NATURAL RESOURCE SUSTAINABILITY. THE CROSS CUTTING OBJECTIVES OF THE MISSION STRATEGY FOR ANR IS COMPARATIVE ADVANTAGE, PRIVATIZATION, ECONOMIC EFFICIENCY IN BOTH THE PUBLIC AND PRIVATE SECTORS, AND INCREASED VOICE AND CHOICE IN GOVERNANCE. PER SUBPARAS 8A AND 8B REFTEL A), ALMOST

E.C. 12336: N/A
SUBJECT: COMMENTS ON PROPOSED RD/EID PROJECT: FOOD SECURITY II (FS-II)

ALL OF THE OBJECTIVES, PLANNED ACTIVITIES, RESEARCH TOPICS AND CROSS CUTTING THEMES HAVE BEEN AND WILL CONTINUE TO BE OF MISSION INTEREST AND THE FOCUS OF CONSIDERABLE PROGRAM/PROJECT RESOURCES IN A PLANNED COOPERATION WITH OTHER MISSION PROGRAMS AND PROJECTS.

REFERENCES: A) STATE 378142, B) KATHMANDU 07971,
C) JAKARTA 16023

SUMMARY: AT THIS TIME USAID/MANILA DOES NOT PLAN TO

B. PER PARA 6C REFTEL A), THE CROSS CUTTING RESEARCH THEME OF FARM AND NON-FARM INCOME SOURCES TO PROMOTE FOOD SECURITY SHOULD NOT NEGLECT POLICIES PROMOTING PRIVATE AGRIBUSINESS DEVELOPMENT. INCREASED PRIVATE INVESTMENT IN AGRIBUSINESS IS SEEN AS NECESSARY INGREDIENT FOR FUTURE GROWTH IN EMPLOYMENT, PER CAPITA INCOME AND GROSS VALUE ADDED IN THE PHILIPPINES. THE U.S. HAS A COMPARATIVE ADVANTAGE IN TERMS OF EXPERIENCE/EXPERTISE IN DEFINING AND ESTABLISHING OPEN MARKET POLICIES CONDUCTIVE TO PRIVATE SECTOR AGRIBUSINESS. BECAUSE OF THE POTENTIAL IMPACT ON FARM AND NON-FARM EMPLOYMENT AND INCOME, POLICY SETS AT THE MACRO/SECTORAL LEVELS SUPPORTIVE OF SMALL/MEDIUM SIZED AGRIBUSINESS DEVELOPMENT SHOULD BE MADE AN EXPLICIT RESEARCH TOPIC.

ACCESS THE TECHNICAL RESOURCES OFFERED UNDER THE PROPOSED FS-II PROJECT. PARA 2. BELOW DISCUSSES THE EXPERIENCE OF THE MISSION'S OFFICE OF NATURAL RESOURCES, AGRICULTURE AND DECENTRALIZATION (ONRAD) WITH CENTRALLY FUNDED PROJECTS FOCUSING ON POLICY ANALYSIS AND ADVOCACY. PARA 3 RESPONDS TO THE SPECIFIC QUESTIONS ASKED IN PARA E OF REFTEL A). PARA. 4 FOCUSES ON USAID'S SUGGESTION FOR COORDINATION AND RATIONALIZATION OF NEW PROJECT STARTS IN CLOSELY RELATED AREAS. END OF SUMMARY.

C. PER PARA 8C & 8E REFTEL A), THERE IS LITTLE LIKELIHOOD THAT TECHNICAL ASSISTANCE FROM FS-II WILL BE ACCESSED BY USAID/MANILA THROUGH A BUY-IN. THIS IS MAINLY DUE TO THE MISSION RESOURCES AND MANAGEMENT APPROACH TO PURSUE POLICY ANALYSIS, ADVOCACY AND REFORM IN SUPPORT OF FOOD SECURITY. THE MISSION'S RECENTLY APPROVED 5-YEAR AGRIBUSINESS SYSTEMS ASSISTANCE PROGRAM (ASAP: 452-0445), FOR EXAMPLE, FOCUSES SUBSTANTIAL

1. THE ONRAD STAFF HAS EXTENSIVE EXPERIENCE IN MANILA, AT OTHER MISSIONS, AND IN WASHINGTON WITH CENTRAL AND MISSION FUNDED ANALYSES/PROJECTS DEALING DIRECTLY OR INDIRECTLY WITH POLICY ANALYSIS AND ADVOCACY. BELOW ARE LESSONS LEARNED IN CONDUCTING POLICY ANALYSIS AND ADVOCACY FOR AGRICULTURE, NATURAL RESOURCES, LOCAL DEVELOPMENT, AGRIBUSINESS, AS WELL AS FOOD SECURITY:

RESOURCES ON ANALYZING/MONITORING THE FOOD SECURITY SITUATION AND AGRIBUSINESS POLICY ENVIRONMENT OF THE PHILIPPINES USING A GENERAL CONTRACTOR MECHANISM. ASAP BUILDS UPON THE SUBSTANTIAL BODY OF POLICY ANALYSIS ALREADY CARRIED OUT UNDER THE ACCELERATED AGRICULTURAL PRODUCTION PROJECT (AAP: 452-0368) WHICH ENDS DEC. 31, 1991. IMPORTANT MACRO-ECONOMIC POLICY ISSUES WHICH

A. STRENGTHENING OF PUBLIC AND PRIVATE HOST COUNTRY CAPABILITIES TO CONDUCT ECONOMIC ANALYSIS AND PERFORM AN INTRICATE RANGE OF POLICY ADVOCACY ACTIVITIES LEADING TO RESULTS HAVE BEEN BETTER CARRIED OUT UNDER MISSION BILATERAL PROJECTS RATHER THAN THROUGH A CENTRALLY FUNDED PROJECT. THIS IS DUE TO A BILATERAL PROJECT'S ABILITY TO SUSTAIN A LONG-TERM EFFORT, RETAIN FLEXIBILITY TO RESPOND IN A TIMELY FASHION TO CHANGING ANALYTICAL NEEDS AS A RESULT OF SOME NEW OR UNEXPECTED DEVELOPMENT, AND TO BE MORE RESPONSIVE TO MISSION MANAGEMENT/MONITORING IN THE FIELD.

B. EXPERIENCE SHOWS THAT A MISSION WITH CONTRACTING

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101

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PAGE 02 OF 02 MANILA 33118 DP OF 02 2006212 6645 029133 AID4476
IMPACT ON FOOD SECURITY ARE BEING CONDUCTED BY USAID IN
ASSISTANCE TO OTHER MACRO AND SECTORAL PROGRAMS AND
PROJECTS IN ADDITION TO ASAP.

D. PER PARA OF REFTEL A), WE BELIEVE FOOD SECURITY
ISSUES IN ASIA DIFFER SUBSTANTIALLY FROM THOSE IN AFRICA
IN TERMS OF SEVERITY, COMPLEXITY AND VARIETY. EVEN
INDIA, WITH FOOD SECURITY PROBLEMS SOMEWHAT AKIN TO
CERTAIN AREAS OF AFRICA, HAS BEEN CARRYING OUT RESEARCH
IN THE AREAS MENTIONED IN REFTEL A) FOR 20 YEARS. IN
MANY CASES THIS WAS SUPPORTED WITH USAID FUNDING. YES,
FURTHER WORK IS NEEDED TO UPDATE, REFINE AND/OR EXPAND
UPON THE EXISTING BODY OF FOOD SECURITY RESEARCH (ESP.
AS IT RELATES TO NATURAL RESOURCE USE). HOWEVER, THE
DATA AND ANALYTICAL BASE, THE AVAILABILITY OF TRAINED
LOCAL EXPERTISE AND THE AWARENESS OF LEADERS IN ASIA ON
FOOD SECURITY ISSUES AND TRADE-OFFS IS CONSIDERABLY
GREATER THAN IN AFRICA. HOW WILL FS-11 BE RESPONSIVE TO
THE THE REGIONAL DIFFERENCES AND NEEDS?

A. OVER THE PAST SIX MONTHS USAID/MANILA HAS GIVEN
INPUTS ON A PROPOSED ASIA BUREAU AGRIBUSINESS PROJECT, A
WORLD WIDE AGRICULTURAL POLICY ANALYSIS PROJECT
(APAP-11) AND NOW A WORLD WIDE FOOD SECURITY-11

PROJECT. (WE HEARD THAT A WORLDWIDE AGRIBUSINESS
PROJECT MAY BE DEVELOPED.) ALL THREE APPEAR TO
EMPHASIZE POLICY ANALYSIS/ADVOCACY. DISCUSSIONS ON EACH
OF THESE PROPOSED INITIATIVES HAVE HIGHLIGHTED THE
SIMILARITIES BETWEEN OPEN MARKET POLICY REFORMS TO
STIMULATE FOOD SECURITY AND THOSE FOR INCREASING PRIVATE
AGRIBUSINESS INVESTMENT AND AGRICULTURAL SECTOR GROWTH
IN GENERAL. MISSION SUGGESTS THAT ISSUES OF
COMPLEMENTARITY AND COORDINATION TO AVOID POTENTIAL
REDUNDANCY AMONG THESE PROPOSED AID/W PROJECTS BE
ADDRESSED. HUBBARD

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102



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ACTION AID-00

ACTION OFFICE FVPP-01
INFO ASMS-01 SAST-01 POAR-05 FVA-01 STHR-01 STRD-01 FFP-09
AMAD-01 ASSA-03 ASEA-03 /027 AG 17/1134Z

INFO LOG-00 EAP-00 NEA-00 /003W
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R 171126Z DEC 91
FM AMEMBASSY COLOMBO
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INFO AMEMBASSY KATHMANDU
AMEMBASSY DHAKA
AMEMBASSY SUVA
AMEMBASSY ISLAMABAD
AMEMBASSY JAKARTA
AMEMBASSY MANILA
AMEMBASSY NEW DELHI

UNCLAS COLOMBO 07346

AIDAC

E.O. 12356: N/A
SUBJECT: USAID/NEPAL COMMENTS ON PROPOSED R&D BUREAU
- FOOD SECURITY III (FS II) PROJECT

REF: KATHMANDU 07971

USAID/SRI LANKA GENERALLY AGREES WITH USAID/NEPAL'S
COMMENTS ON SUBJECT PROJECT PER REFTEL. CREEKMORE

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103

MEMORANDUM

TO: R&D, Eric Chetwynd

FROM: Jim Snell, EUR/DR/ES 

SUBJECT: **FOOD SECURITY II (FS-II)**
Review of Project Implementation Document (PID)

The Europe Bureau may have need of a Food Security buy-in in the coming decade, esp. as the former Soviet republics rework their political and economic ties with each other. We see several potential threats to the populations's food security in the former Soviet Union and--possibly--the southern tier of eastern Europe, Albania, Yugoslavia, Romania.

1. The worst-case scenario would be a regional famine resulting from an economic embargo imposed by one republic on another. Azerbaijan set a precedent for this when it blocked train shipments to Armenia two years ago. With the borders opening up to the west and south, the CIS states Belarus, Moldova, Georgia, Armenia, Azerbaijan, Turkmeniya, Tajikistan, Kyrghysia theoretically have the option to buy from other countries. Whether the infrastructural and financial deficits could be overcome quickly enough to feed their populations is another matter. The former republics that do not produce enough to feed their own populations include the Baltics, Belarus, Georgia, Armenia, Russia (production equals 40-80% of consumption) and Turkmeniya, Uzbekistan, Tajikistan, and the Siberian oblasts of Russia (production equals less than 40% of consumption). See attached tables.
2. Agricultural production has declined (or is expected to decline in 1992) and food availability is limited in some countries due to a) input production or distribution systems breaking down (Albania), or b) land redistribution entailing unresolved property disputes and open-ended privatization efforts dissolving collectives without leaving new production units in their place (Albania, Romania, Bulgaria, the Baltics). Limited food aid may be all that is needed in small countries such as Albania but it is a forewarning of what could happen further eastwards. The difficulties in administering privatization in these larger and more heterogenous societies coupled with the lack of hard currency to import needed food supplies could create longer-term food insecurity.
3. At the very least, the radical economic reforms taking place in Russia and other republics will leave segments of their population at risk, esp. low- and fixed-income individuals. Research that will take place under FS-II in Egypt to identify and to assist vulnerable families as food price subsidies are lifted sounds like a good description of what is needed in Russia today.

4. Finally, the focus in FS-II on sustainable natural resource use is congruent with the longer term needs in eastern Europe. Two very specific studies spring to mind: 1) Which regions in the Ukraine and Belarus are unfit for food and livestock production due to the radiation exposure of arable lands by Chernobyl (the governments might not want to know too much...); 2) How severe is the soil contamination and depletion in cotton-growing Uzbekistan and what can be done to restore fertility?

Reviewing the planned goals and activities of the FS-II program, we expect the following would be most appropriate for Europe:

- Policy analysis and advice on food security issues in light of sweeping political and economic reforms;
- Advisor capacity-building in the host countries;
- Encouraging a vigorous response by the private sector to (hopefully) a favorable policy environment and encouraging sustainable natural resource use.

Attachments

Table 1. "Soviet republic and Baltic Countries Shares of Food Production and Population."

Figure 1. "Republic Food Situation—surplus or deficit of selected foods."

Table 1

Soviet Republic and Baltic Countries Shares of Food
Production and Population

	Food Production ^a			Population
	Total	Crops	Livestock products ^b	1 Jan 1987
				(percent)
Total	100	100	100	100
Republics				
Russia	49.2	46.5	50.9	51.6
Ukraine	24.0	26.1	22.7	18.2
Byelorussia	6.4	7.0	6.1	3.6
Moldova	2.0	2.7	1.6	1.5
Kazakhstan	6.5	6.8	6.3	5.8
Kyrgyzstan	0.9	0.8	1.0	1.5
Tajikistan	0.6	0.6	0.6	1.7
Turkmeniya	0.4	0.3	0.4	1.2
Uzbekistan	2.3	2.2	2.3	6.7
Armenia	0.6	0.6	0.6	1.2
Azerbaijan	1.3	1.8	1.0	2.4
Georgia	1.1	1.4	0.9	1.9
Baltic Countries				
Estonia	1.0	0.7	1.1	0.6
Latvia	1.5	1.0	1.8	0.9
Lithuania	2.3	1.6	2.8	1.3

Boldface indicates republic accounts for a larger share of food production than of total population.

a Average of 1986-1987, excludes nonfood farm products such as cotton, tobacco, wool, changes in livestock inventories, and seed and waste in grain and potatoes.

b Includes feed used to produce product.

This table is Unclassified.

Food Security II Project Paper

Annex E:

**Information Memorandum for the Assistant Administrator
for the Bureau for Research and Development**

**Subject: Senior-level Review of the Food Security II
(FS-II) Project Identification Document (PID)**



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

January 17, 1992

**INFORMATION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR THE
BUREAU FOR RESEARCH AND DEVELOPMENT**

FROM: R&D/PO, Douglas L. Sheldon 
SUBJECT: Senior-Level Review of the Food Security II (FS-II)
Project Identification Document (PID)

The Senior-Level review of the Food Security II (FS-II) PID was held on Tuesday, January 14, 1992. The meeting was chaired by DAA/R&D, Bradshaw Langmaid. Also in attendance were:

R&D/EID, Eric Chetwynd	R&D/PO, Dave Erbe
R&D/EID, Dave Johnston	R&D/PO/AE, Tom Kellerman
R&D/EID, Gloria Steele	R&D/PO/AE, Fern Finley
R&D/EID, Lavern Hollis	FHA/PPE, Jerre Manarolla
R&D/EID, Joseph Beausoleil	FHA/PPE, Forest Duncan
R&D/EID, Patrick Diskin	NE/DR/PIE, John Balis
R&D/PO/AE, Frank Alejandro	LAC/DR/RD, Mike Korin
POL/CDIE, Donald McClelland	AFR/SWA, Ron Daniel
AFR/ARTS/FARA, Tom Hobgood	R&D/AGR, Vince Cusumano
AFR/ARTS/FARA, D. Alan Smith	EUR/DR/FS, Jim Snell
GC, Charles W.T. Stephenson	R&D/N, Eunyong Chung

EID made a few introductory remarks indicating that this project started seven years ago with the Africa Bureau, had been very successful, and that a Blue Ribbon panel had confirmed this and recommended its expansion for another 10 years. Responses from regional bureaus and missions have been very positive. Out of the 29 missions that were contacted, 22 indicated support for this project - 9 from LAC; 11 from AFR and 2 from NE (Egypt and Tunisia). The Africa Bureau has made a financial commitment to the project, and four missions have indicated their potential level of participation in financial terms. The LAC, Europe and Near East bureaus have also registered support for the project, while the Asia Bureau has indicated that it is not planning to participate at this time. There is strong Congressional support for this project (House Select Committee on Hunger). The project will be working closely with other donors and this represents one of the office's highest priorities. EID also emphasized the importance of the overall need for food security (20 million people die each year from hunger related diseases).

Brad Langmaid then asked whether there were any problems with the general scope of the project. John Balis of the NE Bureau raised a concern that the document did not reflect involvement of the private sector and that commercialization and other aspects needed to be covered. EID indicated their agreement and said this would be covered more explicitly in the PP. Vince Cusumano of the Agriculture Office remarked that the project was so broad that it was difficult to determine what its trying to accomplish, that the R&D Bureau's Agricultural Policy and Analysis project (APAP) was covering the same subject matter, and that food security itself has been difficult to define. In response, EID indicated that mission responses revealed a general understanding of the project's purpose, outputs, etc., and how it would work (a set of cables were provided to all participants). Forest Duncan of the FHA Bureau added that under the new Agricultural Development and Trade Act of 1990, the concept of food security is very broad - encompassing macroeconomic to household level issues - and the Agency needs to identify where it has a comparative advantage. Regional bureau representatives agreed, indicating their interest in a broader project (LAC and EUR) and believe that the FS-II and APAP projects were complementary (AFR).

Brad then opened discussion on the Issues Paper prepared by the EID Office.

Issues/Actions to Be Taken

1. R&D/EID Budgetary Support for Project

Brad Langmaid suggested that the availability of adequate budgetary support for FS-II be discussed before proceeding with other issues, since this is crucial for determining whether there should be a follow-on project at all. Eric Chetwynd indicated that EID considers FS-II a priority project and that sufficient funding would be made available starting in FY 1993, even if this means reducing funding for other EID projects or entirely eliminating a lower priority EID project. Tom Hobgood of the Africa Bureau reiterated his Bureau's willingness to provide core funds in FY 1992 and in subsequent years to meet their needs. Further discussions regarding this topic revolved around the level of funding needed to keep the project viable.

Since it appeared that adequate funding would be available for the project, it was determined that the availability of budgetary support for the project did not represent a constraint to further project development at this time.

2. Regional Bureau/Field Mission Support for Project

Brad Langmaid inquired about the need for more definite expressions of support from the regional bureaus and field missions. All of the bureau representatives at the meeting confirmed their support for the project. It was agreed that R&D/EID had received sufficient expressions of interest for the project.

3. Geographic Expansion of Project

The question was raised whether the project should be expanded beyond Africa. While the project currently focuses on the needs of the Africa Bureau, Brad Langmaid indicated that the R&D Bureau is interested in a project which responds to more global needs. Food Security I project's evaluation team reinforced this point, indicating that food security represents a global problem and that a recommended follow-on project should also permit selective expansion to other areas where appropriate. EID added that while the project's primary focus will continue on Africa, the problem and methodologies for addressing it are applicable to other regions as well. It was agreed that the project should be designed along these lines.

4. Duplication Among R&D Bureau Projects

The R&D Agriculture Office was questioned whether there was any duplication between the follow-on project and APAP. EID explained the differences in terms of target groups, research agendas, analytical focus, etc., which were concurred in by the representative of the Africa Bureau. As a result, it was agreed that there was constructive overlap and not duplication in the two projects, and that the PP design team should develop procedures to ensure that these and other Agency projects complemented each other.

5. Procurement Options

There was considerable discussion whether a competitive or non-competitive process should be used to select an implementing agency and whether a contract or cooperative agreement would be more appropriate. The evaluation team's justification for recommending Michigan State University (MSU) as the implementing agency under a cooperative agreement for the follow-on project was reviewed as well. Concerns were expressed whether MSU had the capability to work in other regions outside Africa, how to

address other regional bureaus' desires to work with other universities, and how to deal with the Contract Office's question of whether a cooperative agreement was an appropriate mechanism for buy-in arrangements. It was agreed that EID, in close collaboration with MS/OP, would recommend use of MSU through a cooperative agreement, but that MSU be encouraged to submit a proposal using other universities as sub-contractors beforehand.

In summary, EID was complimented on the excellent manner in which they had completed this initial design effort. Brad Langmaid recommended that the PID be approved and that EID be authorized to proceed with the PP design effort.

Clearances:

R&D/PO/AE:TKellermann (Draft) Date: 01/17/92
R&D/PO:DERbe (final) Date (01/17/93)
R&D/EID:Echetwynd (GSteele for) Date (01/31/92)

Drafted by:R&D/PO:FFinley 01/16/92
Revised: 02/04/92

Food Security II Project Paper

Annex F:

Research Planning Methods

FORMULATING QUESTIONS AND QUESTIONNAIRE DEVELOPMENT

This chapter synthesizes the process undertaken by FSA researchers to define precise research questions and data needs. It outlines a sequence of steps and conceptual issues that FSA researchers and faculty believe are important to effectively design food security research. It builds on the research topic, priority policy questions, and theoretical iteration of the components and subcomponents that the researcher has already defined. But the conceptual framework that guides the choice of questions and operationalization of variables is based equally on theoretical and pragmatic considerations. Investing time and attention to thinking carefully about these issues during the design stage can ensure that questions and variables are structured in a format conducive to accurate data collection and efficient data entry.

In addition to this theoretical component of FSA research, the pragmatic, policy-relevant emphasis of current food security problems require that researchers understand the views of local policymakers as well as farm households and traders. As argued earlier, the usefulness of a large percentage of previous academic research to pragmatic policy concerns has been limited by its narrow focus on issues of scholarly interest. Data collection is often directed to what is needed to construct a theoretical model, with lesser priority given to collecting data to deal with specific practical problems. In order to reverse this trend and improve the utility of information produced by researchers, the FSA project addressed a broader set of constraints delineated by policymakers and food system participants than just those posited by economic theory. The input of these individuals is very important in the early stages of the research design in order to keep it focused on practical policy issues and the most important food security problems.

This sequential design process was facilitated by a task calendar and the continued use of the RPM, both of which will be discussed in more detail as they relate to the design process. The research task calendar is a second instrument that displays the relevant food production, marketing and consumption events that will transpire during the study, and the time schedule for the implementation of data collection and other survey activities (Weber, 1990).

Having narrowed the research questions to their components and subcomponents through a combination of secondary information and theoretical knowledge, it is beneficial to reexamine these ideas and hypotheses in the context of the research setting. Conducting rapid reconnaissance surveys of farm households, traders, and other market participants is important to inject the practical element of the problem into the research design. How do these initial

ideas hold up to the empirical reality? What additional components other than those posited by economic theory need to be addressed?

3.1 THE ROLE OF RAPID RECONNAISSANCE IN THE DESIGN PROCESS

A rapid reconnaissance survey is a "broad and preliminary overview of the organization, operation, and performance of a food system or components thereof, designed to identify system constraints and opportunities" (Holtzman, 1986, p.1). The survey includes informal, conversational interviews and semi-structured, open-ended interviews with farm households, traders, village chiefs, government officials and other people able to provide information on the system. This technique is useful in understanding the viewpoints of those who design and implement government policies and projects and those who are affected by them (Holtzman, 1987). A major objective of reconnaissance work is to understand what each group of people perceives as the important food security problems. Specifically, what do they believe are the key components of the research questions?

Although the components outlined serve as a guide for discussion, a researcher must not be confined to the theoretically-defined parameters of the problem. The objective of the reconnaissance is to add an empirical dimension to the delineation of the research problem as it is seen by those who are in close contact with problems and policies. In short, reconnaissance provides the empirical background needed to modify the orientation of the research so that it is clearly and correctly focused on the relevant components of the locally-defined food security problem and government policy. At the same time, attempting to do rapid reconnaissance work prior to final thinking about the basic research topics and the fundamental components can often lead to unfocused and ineffective field work. It is thus important to outline carefully the theoretical components of the research question as well as organize the reconnaissance surveys.

Returning to the pan-seasonal pricing example, interviews during the rapid reconnaissance may generate a whole series of additional questions that go beyond the theoretical components, pertaining instead to the practical dimensions of the primary research question. Is the policy of pan-seasonal prices actually enforced? Are the market prices actually those mandated by the government throughout the entire year? At what time of the year do farm households sell cereals and why? Who is storing and why? If the policy were to change, who would have the facilities to store? Moreover, the researcher may discover that traders would be constrained by a lack of credit to invest in adequate storage facilities if pan-seasonal prices were dismantled. Additionally, discussions with farm households may reveal that insects prevent farmers from storing grain for long periods of time. Not only will components be

modified throughout the course of the reconnaissance but researchers can also begin to formulate and test questions which they want to ask in the formal surveys.

It is clear that many of the components are interrelated and that their boundaries become eventually indistinct. This is equally applicable to progression in the research design along the steps outlined in the research planning matrix. It may be difficult to separate conceptually the components of the research topic from the myriad of specific questions which begin to develop. Questions that a researcher wants to be included on the questionnaires arise naturally when thinking of the components of the design. Reconnaissance surveys provide an opportunity to examine or test these questions, pursuing the various nuances of an issue that are important to the development of questionnaires and data collection.

Reconnaissance interviews are also useful for collecting information important to the development of questions and questionnaires. The following sections examine some of the conceptual elements of question structure that a researcher needs to study during the rapid reconnaissance surveys. In addition to these substantive issues, FSA researchers and faculty also emphasized thinking about the effect of question structure on the efficiency of data entry and management tasks, and the ability to do timely, policy-relevant data analysis.

FSA faculty have argued that the starting point for questionnaire design "is to ask the question, how do respondents [farm households, marketing agents, consumers] think about and remember activities of interest to researchers?" (Weber, 1990). What terms and concepts do they use to describe their situation and problems? Second, which member(s) of the farm household can best provide information about certain issues in which the researcher is interested? Third, during what periods of the calendar or crop year do farm households and traders perform production and marketing activities? What are their points of reference used to delineate these periods and allow them to remember certain activities? Fourth, what is the range of responses to certain questions in which the researcher is interested? If the reconnaissance is carefully organized, researchers can learn a great deal about each of these issues during their reconnaissance discussions with farm household, traders, and other food system participants. The following section examines each of these subjects as they relate to the development of precise questions.

3.1.1 Local Concepts

One major aim of the reconnaissance is to understand the conceptual frame of reference of the food system participants from whom data will be collected. Since answers to empirical questions presuppose responses to questions about the concepts used in differentiating phenomena, it is necessary to operationalize the concepts so that the definitions of the variables are representative of the related concept (Riemenschneider and Bonnen, 1979; Sayer, 1984). Given the emphasis placed on participant responses, as opposed to direct measurement, the likelihood of obtaining reliable data is improved when researchers develop questions and structure variables which respondents can and are willing to answer.

Each dominant theoretical tradition stipulates the important concepts and variables used to explain some aspect of reality (Pelto, 1978; Sayer, 1984). The utility of these concepts depends on how effectively they represent the actual structure of the phenomena under question. In other words, there are an infinite number of ways to categorize or to develop taxonomies for 'experiential phenomena'. The value of a classification depends on the specific interest at hand and its effectiveness in helping the individual to discern relationships and facilitate understanding (Riemenschneider and Bonnen, 1979; Pratt, 1980; Sayer, 1984). Theories, in turn, are constituted of statements about interrelationships among sets of concepts. Analogously, their usefulness depends on their ability to make sense of some phenomena. Together with their underlying assumptions, concepts and theories are testable by means of empirical research.

Problems often develop when the concepts, while relevant to the decisions being made, do not accurately represent some aspect of the respondent's reality. It is thus critical to operationalize data and develop questions which, in Matlon's words, "prove effectively within the framework of perception and within his [her] memory system in the terms and in the disaggregated categories that the farmer [or trader] employs when thinking of the issues or events" (Matlon, undated, p.2). Researchers must use this understanding of the respondents' frame of reference to define concepts and questions with which food system participants are familiar and to which they can respond.

Researchers need to examine the relevant categories used by food system participants to describe their situation. How do household members categorize a bag of maize grain that is bought by a daughter working in town and brought to the village for family consumption? Would the respondent consider this as a household purchase or a gift? The respondent may say that they did not purchase any grain because he/she considers what the daughter brought to be

a gift or in some other context. The issue concerns understanding the system of categories used by individuals to give meaning to events and phenomena in their environment. It also involves understanding the degree to which cultural values emphasize particular knowledge and neglect others.

Farmers' knowledge of certain phenomena of interest to the researcher varies with the type of data. Farmers may know the hectares of land planted to an industrial crop under the jurisdiction of a government agency but may not know the size of another field planted to a root or tuber crop. Or, they may know the size of the field in a different unit of measure. There is some emphasis, value, or positive reinforcement placed on the knowledge of certain information. Lipton and Moore find it useful to categorize data as either registered or nonregistered, referring to the respondent's ability to remember a particular piece of information (Lipton and Moore, 1972). The frequency of occurrence of the phenomena also affects recall ability. Selling the entire millet crop to a government agency may occur only one time, making recall easy; this is registered and single point data. Remembering the number of kilos of cereal used for every meal over a week may be more difficult to remember because it is non-registered and continuous.

During reconnaissance interviews, pretesting and throughout the course of the study, researchers need to be open to learning and using local concepts. The categorization of certain phenomena, while different than the externally-determined groupings, may be more effective in optimizing respondent recall and thus better understanding their behavior.

To use external concepts, a researcher must determine whether an equivalent concept exists in the local culture. Do the concepts have "any meaning or the same meaning" to the people who are the focus of the study? (Warwick & Lininger, 1975) When written in a language different than that in which it will be administered, translating and back translating a questionnaire seeks to assure that translated concepts are linguistically equivalent in addition to conceptually equivalent. Even when questions are written directly in the local language by the principal researcher, it is important for other native speakers to back translate them in order to verify the correct use and understanding of concepts. Questionnaires that are not translated increase the potential for enumerator bias through misinterpretation and inconsistencies in asking questions. Writing or translating the questionnaire in the language of the respondents forces the research team to discuss the meaning of each concept and the terminology to employ that conveys the intended meaning.

One task in the operationalization of a question involves defining an abstract concept in terms of a precisely defined variable(s). Some variables like hectares of land or kilos of cereal sold are directly observable and can be measured by indicators, their empirical presence defined by the value of the indicator. Construct variables, however, are a mental creation, conceived by a researcher and believed to exist on the basis of experience. Willingness to sell millet to private traders or food security status are construct variables that would need to be defined in order to measure their presence in an empirical situation.

Attempting to reconcile the different conceptual frameworks is often a very difficult process. When a researcher is resolved to employ his/her categories, which are often quite different from those used by food system participants, he/she risks collecting data of questionable validity. On the other hand, if the concepts used by food system participants make no sense to the users of the data, achieving the project objectives becomes threatened.

The task confronting a researcher is to serve as a "translator" between conceptual frameworks, using the new insights and terminology obtained from the empirical situation that are effective in comprehending the situation and to help modify the conceptual scheme of the researcher and policymaker. Effective modification often hinges on the ability of the researcher to explain the unfamiliar in terms of concepts familiar to the desired audience. Cognizant of the policymakers' conceptual framework, knowledge, and understanding of the food security question, the issues raised in the study may extend the range of concepts useful in improving knowledge of the behavior of African producers and merchants and developing more realistic theoretical assumptions.

One particular category of concepts that researchers must understand is the different units of measurement used by food system participants in the research area. With what instrument is harvest measured or grain taken out of stocks for daily meals? Researchers must know these variable local units of measurement in order to word questions correctly and to determine their appropriate conversion factors to a standard unit of measure (e.g., kilogram). Instead of asking how many kilograms of millet was given to neighbors, the question is left open and the respondent can answer in the unit with which he/she is familiar. Researchers must be very careful in making any assumptions about the extent of use of some measure since measurement units are often localized to a district, a village, or even a farm household.

To calculate conversion factors, some researchers trained interviewers to weigh and record three samples of the contents of the local measuring device. This information was used to calibrate the correct conversion to metric units. In Rwanda, sample farmers participating in a

national survey were given plastic buckets with which to measure and report yields. Loveridge adopted this technique to collect information on grain transactions. Farmers were asked to report how many buckets of sorghum or beans were bought or sold. Researchers need to take the time in the reconnaissance to understand the local measures used and to schedule time and equipment to obtain the correct conversion factors.

3.1.2 Reporting Unit

A second area of inquiry during the reconnaissance survey was aimed at determining the member(s) of farm households who should be interviewed in structured questionnaires. Some research method books refer to the individual from whom information is collected in an interview as the reporting unit. Deciding who to interview depends on the type of information and degree of detail required, the individual(s) who can most accurately provide it, and the amount of time and resources available to conduct interviews.

In theory, it would be optimal to interview the members of the household who are most intimately involved in the activity for which data are required. The respondent of the questions could be different individuals within the household who are in charge of certain decisions or activities. The eldest son may be responsible for managing grain stocks. The senior woman in the household may buy and sell grain. In many cases, one or two household members, such as the senior male and female actively involved in household decisions, can provide information about activities of other individuals.

What are the implications of asking the senior male and female about activities for which another household member may have more knowledge?⁵ Would either be able to provide an acceptably accurate answer? If not, does the project have the time and resources to interview more than one household member? Is it feasible to have several household members present at the same interview, each providing information to the relevant questions? How would responses be altered in the presence of other household members? To determine the accuracy of

⁵ The term "head of household" is often used in agricultural research in Africa, implicitly referring to the senior male member of the family unit. It is a good example of an external concept whose utility is suspect in helping the researcher to understand better the dynamics of household decision-making. The manner in which decisions are made is a very complex issue, involving many household members. It is simplistic to assume one person, "the head", is the sole decision-maker. For the purposes of this paper, employing "head of household", evades the issue of which household member can most accurately provide information about a specific topic and thus serve as the respondent. It is an empirical issue to be determined by the researcher in the specific socio-cultural context.

respondent answers, researchers need to interview household members during reconnaissance surveys, comparing their ability to provide answers.

Some FSA researchers interviewed the senior male members of the household, whereas others interviewed the senior male and female together. Those who interviewed a male and female together judged that they were able to accurately answer most questions in the questionnaires. Researchers must evaluate the accuracy of responses during reconnaissance surveys and pretesting and continually cross-check data throughout the research. For other variables like off-farm income or production activities in individual fields, it may be necessary to interview specific household members. There is, however, a tradeoff between the detail a questionnaire attains and the time and cost of the field work and implications on data management tasks. From a data processing point of view, it is a difference of 200 households versus 1000 individuals. The ability to use other members depends on the subject matter and the level of data. Researchers need to constantly examine the implications of these decisions on the budget and research objectives.

The decision to interview the "household heads" in FSA studies did not preclude researchers from interviewing other family members for certain information. Different people can be interviewed for different questionnaires at different sample rates. In Senegal, Goetz took a subsample of sample households in order to interview household members who cultivated individual fields about seed and chemical use. He determined that neither the senior male nor female would be able to accurately respond to input-related questions for specific fields in the concession since each field was managed by one individual. This example is illustrative of the feasibility of interviewing different household members at different sampling rates, depending on the type of information requested.

3.1.3 Agricultural Activities and Points of Reference

A third objective of reconnaissance surveys is to collect information on the dates or periods in which agricultural activities are undertaken and the local points of reference used by respondents to differentiate periods in the year. A point of reference concerns structuring a question and using terminology that help a respondent remember the desired information at certain periods in a year. It establishes the boundaries between which the information reported should refer. This information is useful in scheduling survey activities, determining the period when certain data should be collected, structuring questions, the length of recall, and frequency of data collection.

Figure 3-1 illustrates how researchers can use the task calendar to fill in the top portion of the task calendar with information on production and marketing activities corresponding to the months of the year as well as the local terms which refer to the different periods. The rows for climate and local reference terms are included as an aid in the development of questions. FSA researchers determined that farm household members and traders often find it easier to respond to what they did in a particular season (e.g., dry season with hot winds) denoted by the local term than by the month. Using local terms as a reference point are especially useful when respondent are asked to remember specific activities at a certain time of the year. In another situation, a researcher created a row to indicate the school holiday periods when students were available to conduct the interviews. Similar to the RPM, the task calendar is a flexible instrument designed to assist in planning data collection.

Responses differ with the period of the year in which they are asked and with the characteristics of the current agricultural season (i.e, good rains, drought). Questions should be scheduled during the period in which farmers have recently been thinking of the issues and to minimize the time over which they must recall. Asking farmers about their most important problems, for example, is influenced by the time of the season in which the question was asked. Researchers found a task calendar to be very useful in making these survey and questionnaire design decisions. In the bottom half of the calendar in Figure 3-1, researchers can identify the optimal period in which to collect certain kinds of data and thus when to implement certain questionnaires.

The frequency of occurrence of an activity or the degree of change often affect the ability to recall. This change ultimately influences the rate of data collection. Recall refers to the period of time between the interview and when the phenomena occurred. It is over this period that a respondent is asked to remember and report certain information. The reference period alludes to the period specified in the question within which the respondent must furnish information on the item in question. A researcher may be interested in every occurrence of the phenomena in some particular period such as one month, a day, two weeks, or since last harvest. It establishes the boundaries of the period over which the respondent answers the question. A researcher therefore needs to specify the opening and closing dates of the reference period or

FIGURE 3-1: TAS: CALENDAR - SCHEDULE OF DATA COLLECTION⁶

YEAR	1986				1987								
	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
CORSE GRAIN PRODUCTION ACTIVITIES	Harvesting						Land prep	Planting		Weeding			Harst
MARKETING ACTIVITIES	Peak Marketing				Marketing								
CLIMATE	← Cool Winds →				← Hot winds →				← Rains →				
LOCAL REFERENCE TERMS FOR SUB-SEASONS ⁶	Lolli bu toy		Lolli bu wov		Noor			Thioron		Nawet			
DATA MONTH	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Household Composition Reference Period Date of collection		[]		■		[]		■		[]		■	
Prodn/Area Planted Reference Period Date of collection								[]		■			
Input Use Reference Period Date of collection								[]	[]	■	■		
Cereal Transactions Reference Period Date of collection	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]
Livestock Transactns. Reference Period Date of collection	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]	[]
Equipment Ownership Reference Period Date of collection	■												■

a. Benoit-Cattin & Faye, 1982.

⁶ This task calendar is similar to one used by the FSA research team in Senegal.

note the unit of time used by the respondent. FSA researchers often used one end closed (e.g., since last harvest) and used the day of the interview as the closing date for the reference period. In a multiple-visit survey, binding the reference period between two interviews can assist the respondent in answering the question and thus improve the quality of the information.

If the farm household's equipment inventory changes on a yearly basis, it makes no sense to collect it on a weekly basis. On the other hand, when a farm household eats every day or weeds fields on a weekly basis, possibly incognizant of the amount consumed or time spent in the field, the frequency will have to be much greater. One researcher discovered that farmers could recall over a period of one year cereal sales to government agencies which occurred only once a year, while informal sector sales took place on several occasions throughout the course of a year and needed to be collected on a monthly basis.

Collecting disaggregated data every month over a one-year period can be compared to the response of a question asking the respondent to recall the activity over the entire one-year period. In addition to verification, this approach can test relevant recall periods for different kind of data. In Somalia, Wehelie asked farm households to recall their cereal stocks along with quantities harvested and sold on a quarterly basis throughout the agricultural year based on a short recall period. These questions were preceded by a retrospective question pertaining to stocks over a longer recall period the previous year. He concluded that the responses seemed consistent when examined in combination with the farm size, the quantities sold, and a calculated yield estimate (one can guess the yield for a longer period). This approach of examining the consistency of data for one variable with others is another method of verification.

Having some knowledge of the rate of occurrence of a specific event or frequency of a change helps a researcher to determine the desired and feasible frequency of data collection. The frequency with which questions are asked depend on some assessment of the accuracy of the respondent to provide the information, but also is a function of cost. In theory, a researcher needs to assess the impact of greater precision on the types of conclusions obtained from the data and changing the outcome of the analysis. For example, an increase of the interview frequency by fifty percent may in some case yield no more than a ten percent gain in precision but entail double the expense. The doubling of survey cost may be justified, however, if decisions depend on a high degree of accuracy for this variable. Do respondents' answers to questions of cereals sales, for example, become more precise by collecting sales transaction data on a monthly as opposed to a quarterly basis? The principal is important but in practice, quantifying the marginal benefit of increased precision is a difficult task.

At the same time, a researcher must consider the implications of increased interviews on the data entry and management task and on respondent fatigue. The decision can be very important from a data processing point of view, such as in Rwanda where the team collected and entered data on 20,000 transactions over 14 months from 1000 households, a total of 56,000 visits. Respondents' willingness to continue to give accurate information may lessen when considerable time is required.

Figure 3-2 shows the second variation of the task calendar, with survey activities scheduled in the bottom half, replacing the timing of collection for different types of data. Clearly specifying research team task assignments during the design stage helps the researcher anticipate when bottlenecks in implementation are probable and thus prevent potential conflicting task demands. Scheduling time to work with local analysts, do intermediate analysis, and write working papers may be very difficult given the extensive amount of time needed to manage field and office work. Planning with a task calendar can help a researcher anticipate potential problems in the areas of management and personnel.

The calendar is also useful for scheduling certain activities during the periods when there is a smaller work load. For example, during the planning stage in Rwanda, after having experienced the length of time required to train enumerators for the multiple visit national survey, the research team determined that a similar procedure would be too expensive and time consuming for a single visit survey. Using a task calendar, they examined where supervisors had slack time and scheduled them to conduct the surveys instead of the enumerators, alleviating the need to train enumerators.

The construction of a task calendar is also a useful device to assist in planning the research around key "anticipated" events which may occur during the course of the survey. Taking the time to try to understand what events may be taking place throughout the course of the study, and then to verify whether these are in fact transpiring, may enable the researcher to observe new phenomena or discover changes in the behavior of the respondents. A change in government price policy in Rwanda in the middle of the project, for example, provided Loveridge with the opportunity to examine its effect.

FIGURE 3-2: TASK CALENDAR - SCHEDULE OF SURVEY ACTIVITIES⁷

YEAR	1966				1967								
MONTH	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
COURSE GRAIN PRODUCTION ACTIVITIES	Harvesting						Land prep	Planting		Weeding			Harst
MARKETING ACTIVITIES	Peak Marketing				Marketing								
CLIMATE	← Cool Winds →				← Hot winds →				← Rains →				
LOCAL REFERENCE TERMS FOR SUB-SEASONS⁸	Lotti bu toy		Lotti bu wov		Noor			Thioron		Nawet			
DATA MONTH	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP
Secondary Data Review	■												
Reconnaissance Survey	■												
Village/HH Selection		■											
Hire/Train Enumerators	■												
Village Leader Interviews		■											
Producer Census	■												
Producer I Questionnaire: Pretest Interview Data Entry		■	■	■	■								
Producer II Questionnaire: Pretest Interview Data Entry				■	■	■	■						
Producer III Questionnaire: Pretest Interview Data Entry							■	■	■	■			
Producer IV Questionnaire: Pretest Interview Data Entry										■	■	■	■

a. Benoit-Cattin & Faye, 1982.

⁷ This task calendar is similar to one used by the FSA research team in Senegal.

3.2 QUESTION AND VARIABLE STRUCTURE

Rapid reconnaissance surveys enabled researchers to refine research components and subcomponents and collect information on local concepts, reporting units, and agricultural activities that are needed to develop accurate questions. This section discusses the operationalization of questions and variables. Making decisions on the level of data and the type of variable incorporates the substantive knowledge obtained in the reconnaissance surveys with operationalization of the question and variables. Operationalization of a data set refers to the format of questions and structure of variables and data files that allow the researcher to enter and analyze data effectively and quickly.

3.2.1 Level of Data

The level at which to collect data refers to what and how the researcher wants to measure and analyze some issue and how to structure a question and variable such that the respondent is able to provide the information in the required format and the analysis can be efficiently and promptly completed. Data level ties together the conceptual issues underlying question format - the precise focus, the reference period, the frequency of data collection - with the technical matter of developing data files that facilitate the analysis desired by the researcher with statistical software. This section introduces some of the important concepts related to levels of data and illustrates their relation to the issues discussed earlier.⁸ Understanding the meaning of the data management terminology is needed to make substantive decisions related to data collection strategies and questionnaire design in addition to creating data files.

FSA researchers often collected data related to a household, trader, crops, or transactions. Each of these entities can represent a case. "Each case in a data set contains information about a specific physical or logical entity" (Wolf, 1988, p.1). A case can be visualized as a row in a matrix, with each column representing a variable. The particular values for the variables in a row describe a case. Variables are differentiated by their names, while cases are usually distinguished by sequential numbering. A key variable(s) identifies each case. The value(s) of the key variable(s) is(are) unique to each case.

Level of data refers to the structure of the variables and cases in a data file. For example, the variables that describe a household - number of members, ethnic group, type of house - are different from those that describe an individual member of the household - age, sex,

⁸ This section draws extensively from "Computer Analysis of Survey Data -- File Organization for Multi-level Data" by Chris Wolf.

education, marital status. The level of data or unit of observation is different for the household and members. Their variable/case structures are different. Analogously, the key variables required to identify a unique case also contrast. To reiterate, the level of data is determined by the number of key variables needed to define the case.

At the household level, the key variable (e.g., HH - the household variable) takes on unique values to identify a case. Since there are several members in each household, information about each member that is arrayed in the case cannot be distinguished from the others by the same key variable used at the household level. A researcher must choose a key variable or combination of them to identify a unique case. A researcher could create a key variable, MEMBER, and assign distinct values for every member of every household in the sample. This approach, however, would not enable the researcher to easily ascertain the household to which each member belonged. Since this is usually of interest to the researcher, it is more effective to use two key variables (e.g., HH and MEMBER) to identify a unique case. Analogously, data on the attributes of the plots of land owned by the household - size, soil type, slope, fertilizer application - would be structured in a file in which the case refers to each plot, identified by two key variables, HH and PLOT.

The common feature in both the member and plot files is their relation to the household, the base unit of observation on which other levels of data are based. In other situations, the base level may refer to some other physical or logical entity. The choice of base unit of observation depends on the analytical interest of the study. Food security research uses often the household as the base level.

Understanding the meaning of case, level, and key variable are important for designing efficiently structured data files. A correctly organized data file contains only one type of variable/case structure. The data in the file refer to the same level or unit of observation. Different files represent different levels of data. That is, data on the characteristics of plots and data on the attributes of household members should not appear in the same file. Creating multiple data files corresponds to the different analytical interests of the researcher for different types of data and the distinct ways of measuring them. From a programming perspective, creating multiple data files, each with a different variable/case structure is more efficient in terms of the programming effort required to do the analysis. The command structure of statistical software packages can be more efficiently used if data files are structured in this manner. Taking the time to understand the software packages that will be used in the analysis will help the researcher to understand more clearly the advantages of this type of file structure.

To organize the data for entry, processing, and analysis correctly and most efficiently, a researcher needs to recognize the different levels of analysis. The analysis to be undertaken dictates the levels at which data should be collected for different variables, requiring that the researcher consider up-front the type of analysis that he/she wishes to perform to satisfy the study objectives. Even if the exact plans are not certain, a researcher needs to preserve his/her options for doing future analysis, assuming that analysis will be conducted on many levels. Seriously thinking about the levels of analysis may also minimize the number of programming key strokes in the data processing stage. Having the files correctly structured facilitates the task of quality control, as data can be quickly entered and checked both manually and by the computer. It enables the researcher to do some initial analysis while still collecting data and creates an opportunity to return to the field to pursue unforeseen results.

Researchers often do not consider the data management issues until data are collected. FSA researchers have learned the difficult lesson that waiting until the data are collected before thinking about how it will be entered into the computer and analyzed often makes it difficult to do the intended analysis without substantial structural modifications in the data files.

Determining at what level to collect data is closely related to how people think about and recall information, as well as cost and time factors and degree of disaggregation. FSA has found it more effective to "collect specific information about actual behavior" instead of "asking respondents to generalize, or sum over various actions" (Crawford et al., 1988, p.4). Actual behavior is not only more "accurate and detailed" but can be recalled over a longer time period, "which may lead to less need for frequent multiple visit surveys" (Crawford et al., 1988, p.4).

Deciding the appropriate data level is partially a substantive matter related to the degree of detail required to do the analysis. Does it suffice to collect data on the total amount of cereal sold by the household - at the household level - or does the researcher need to collect information on each cereal sale: price, quantity sold, unit of measure, to whom sold. Determining the data level presupposes answers to questions on the type of analysis necessary for the research questions. Inversely, it is difficult to think of data required for analysis without considering the issue of level.

Differences in the structure of data levels can be quite subtle. A researcher could design a part of a trader survey to collect data on the details of specific crop purchases. The key variables - trader, month, crop - specify the level. A slightly different focus might concern the characteristics of each purchasing trip - distance, means of transport, crops purchased, total quantity purchased, total cost, total value - rather than aspects of a specific transaction. In this

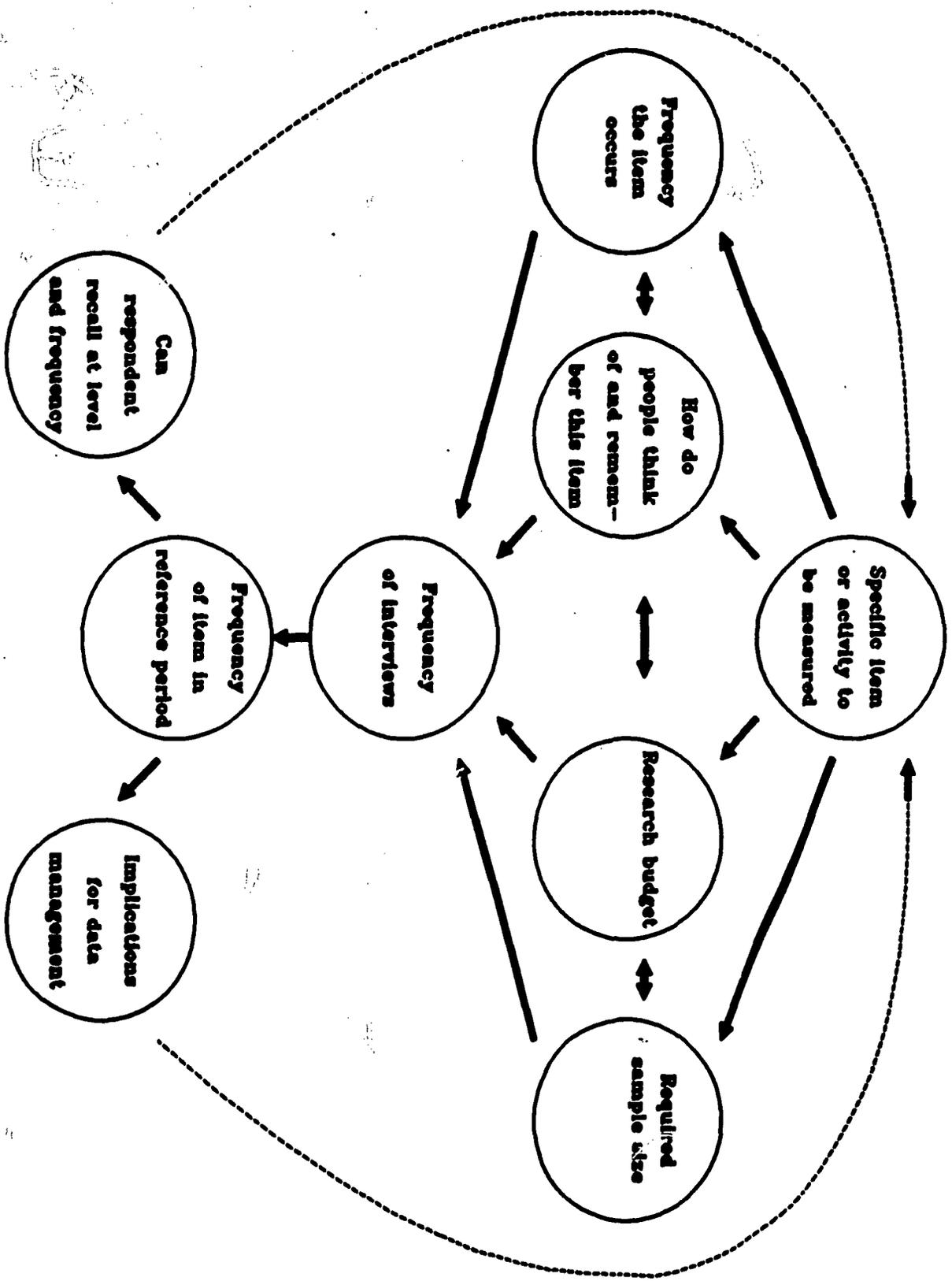
case, trader, month, and trip are the key variables because the analytical focus is directed to the transportation issue, specifically to each trip.

Although the analytical interest may be clear, one needs to ask what the relationship of the variable/case structure is to the way in which traders think about their transactions and thus their ability to provide the information. Can the respondent provide information at the desired level of specificity for the particular reference period? The fewer financial resources available, the less frequent the interviewing. This implies a longer reference period over which respondents must recall specific activities. As illustrated in Figure 3-3, decisions must be made simultaneously, as each of these issues affecting the choice of data level has implications for the others. The following example further demonstrates some of the interrelationships between these issues of question and variable design.

A researcher may decide that he/she needs to collect data on fertilizer use and labor output for individual fields of millet during the planting and weeding periods. In the specific farming system where the research is being conducted, household members farm one communal field together but are granted smaller fields by the senior male and female to cultivate individually. In the reconnaissance surveys, the researcher discovers that neither the senior male nor senior female knows with any degree of certainty about the fertilizer applied or the labor hours worked to plant and to weed millet. This implies that the researcher will have to interview each household member who has a field. Is it financially and logistically possible to collect data at this level? Could a smaller sample size be used to collect this data?

Collecting data on labor hours worked by the individual is of the type that Lipton and Moore refer to as unregistered and continuous. The activity takes place over an extended period of time and each specific occasion is not as easily remembered as it would be if interviews were more frequent. This situation has implications for the frequency of data collection. Is it feasible to ask how many hours were worked in the last two weeks or last month? This is a difficult task for the respondents because they must consider multiple occasions when the work was performed in order to arrive at the answer. How accurate is the information? What reference period should be used over which the respondent can recall information? This is synonymous with asking how frequently interviews must be scheduled. The

FIGURE 3-3: ISSUES AFFECTING CHOICE OF DATA LEVEL



planting season may last a month and weeding season two months (additional information collected from the reconnaissance).

Are there time and resources available to collect this information at this rate if it means interviewing several household members every week? What are the implications of collecting this level of data on data management capacity? Increasing levels at which data are collected imply corresponding increases in the quantity of data collected. There is a big difference between data from 200 households and data from 1000 individuals in terms of processing and the ability to quickly turn around research results.

In this example, several levels are being considered, the implications of which are clearly obvious. First, collecting information on individual fields implies another level of data collection. The data collected will relate to individual fields within the household and multiple interviews with respondents implies still another level, as the same data will be collected on a weekly basis.

3.2.2 Categorical and Continuous Variables

In addition to the definition of data level, the operational definition of a variable must include a choice between structuring the variable as categorical or continuous. A categorical variable uses numerical values - the magnitude having no meaning - to represent discrete, mutually exclusive categories whereas a continuous variable represents an infinite continuum of numeric values (Alreck and Settle, 1985). The decision depends on the analytical interest of the researcher. Some researchers felt that when there is minimal empirical information on a topic, creating a categorical variable is an appropriate first step. Some FSA researchers felt that the choice of data format is also influenced by the scope of the research itself. Categorical variables can serve as stepping stones to collecting continuous, disaggregated variables. Collecting accurate continuous data will usually entail a more frequent interviewing schedule and can always be converted into a categorical variable.

If categorical variables are not carefully defined, respondents and readers may interpret them differently, leading to non-comparable data. For example, one farmer's view of what constitutes a "big field" may differ from the view of her neighbor's. Thus asking farmers to rank their field size as "big" "medium" or "small" may give results that are difficult to interpret. Furthermore, even if all the respondents agree on the definition of the categories, if their definition differs from that of the researcher or reader of the report, the respondent's answer may be misinterpreted.

At this point it is important to reiterate the importance of focusing the design on the research objectives, collecting the minimal amount of data needed to analyze the important food security questions while remembering the drawbacks of collecting too much data. It was in situations similar to the one above where a RPM and task calendar proved to be very useful.

3.3 DATA NEEDS AND SOURCES

One of the biggest advantages of using a RPM to organize thinking about research questions and data needs is that it forces the researcher to focus on the priority research issues, to ask why certain questions need to be included, and to delimit the boundaries of data collection. There is a tendency on the part of researchers to collect as much data as possible with the given time and resources. This often leaves the research unfocused and has negative consequences for other aspects of the study. FSA researchers have tried to collect the minimal data needed and to structure the process to provide answers to specified research questions. Collecting data on a large variety of related and potentially interesting, but not directly required issues can hinder researchers in their efforts to provide timely, policy-relevant information to decision-makers, and to train local researchers. This approach contrasts with the more traditional way of designing questionnaires in which the dynamics of the process determine what is collected.

FSA researchers discovered that the time allotted to fulfilling large data collection demands conflicts with other important research and policy dialogue goals such as controlling data quality, providing local analysts with the opportunity to learn how the food systems actually work, analyzing the data, and ensuring timely diffusion of research results (Weber et al., 1988). Trying to collect only what is needed to answer identified research questions and closely related issues allows the researcher more time for the following tasks: to verify responses and ensure that the information is correct and complete; to assess the quality of incoming data; to make initial interpretations of the data and subsequently modify new questionnaires or conduct more in-depth probes; investigating unforeseen information arising from survey (Holtzman, 1987). Chambers argues that researchers need to determine the level of "optimal ignorance" where the marginal cost of collecting additional information exceeds its marginal value. There are too many costs to collecting data merely on the appeal of its addition to academic knowledge (Chambers, 1983).

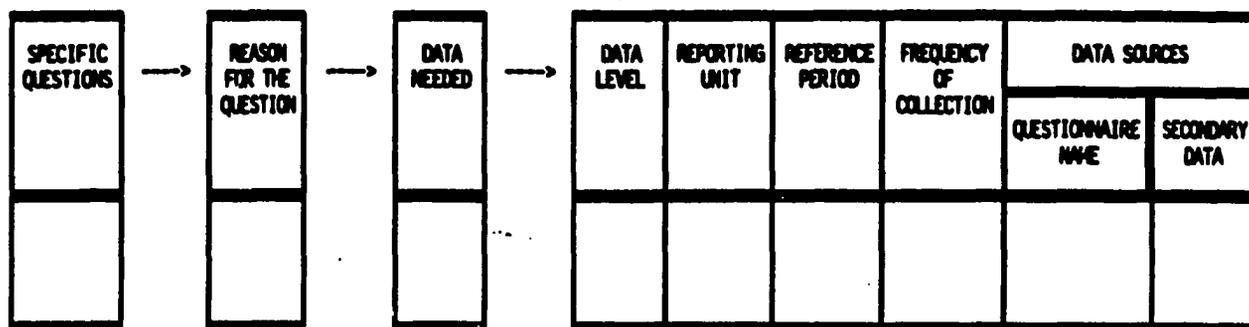
3.3.1 Depth versus Breadth of Data Requirements

Defining information requirements inevitably entails making difficult decisions regarding the kind of data to be collected, at what level and frequency. The depth of detail pursued in a study is a function of the terms of reference, policymakers' information needs, and the amount of prior information available on the specific topic. In a policy environment lacking systematically-collected data, researchers have found it very useful to sequence their data collection, initially seeking to demarcate and understand the major components of an issue and gradually exploring specific elements in more detail. A researcher who invests a significant proportion of research resources from the outset to collect data on a narrowly-defined topic may risk discovering at a later date that this particular issue is neither important nor understandable outside of the larger context and interrelationships with other aspects of a problem. Conversely, gathering information on a large variety of issues may leave the research unfocused and result in knowing a little about a lot of things but not knowing very much about anything. FSA researchers judged that going through a process similar to the one outlined here can help assure that the necessary data are collected and analyzed while the aforementioned problems are minimized.

Researchers must realize in determining the kind of data to collect that there are often many different studies occurring or recently completed, implying that one does not need to collect certain data types. Collecting detailed farm-budget data, for example, was not a high priority in FSA studies. Implementing intensive cost-route surveys would have cut back on the capacity of the FSA project to deal with important policy and institutional issues which were believed to be more important.

Figure 3-4 illustrates the parts of the planning matrix to be completed once the primary research questions, their components and subcomponents have been finalized after the reconnaissance. For every specific question that the researcher wishes to include in a survey, he/she should attempt to indicate the reasons for asking the question and the specific data to be collected.

FIGURE 3-4: RESEARCH PLANNING MATRIX - DATA SPECIFICATION



To reiterate, each of the issues discussed in the design of questions and variables can be incorporated into a research planning matrix. The purpose of the matrix is to assist the researcher in organizing the design and its implementation. Following the delineation in the RPM of specific questions, reasons for the questions, and data required, FSA researchers developed additional categories useful to their particular planning needs. Some researchers specified the data type - categorical/continuous - and frequency of collection, whereas others indicated the number of questions required for one kind of data and on which questionnaire the question would appear. All researchers designated the source of the data or manner in which it would be collected - secondary, reconnaissance, the number of the questionnaire.

It may also be useful to identify the level of data to be collected, the reporting unit, and reference period as included in Figure 3-4. Given the emphasis of this paper in collecting information on question/variable structure, it may be helpful to include these issues studied in the reconnaissance surveys.

3.3.2 Review and Criticism of Planning Tools

Researchers found that a research planning matrix helps keep a study focused on the important questions set out in the terms of reference. It also compels a researcher to think of the key variables useful for stratification of the population and minimizes the possibility of omitting key data from the study. FSA researchers and faculty felt that the planning tools contributed to some degree of standardization of concepts, definitions, and methods that are needed for similar types of research amenable to cross-country comparisons, greater external validity, and a more theoretical understanding of critical experimental variables.

Some researchers found that it was very difficult to accurately specify in the RPM the specific variables to be collected, and question whether it can be restrictive, limiting them to preconceived ideas. Second, although recognizing its value in forcing a researcher to think through the coherence of their data collection critically and in planning implementation of tasks, some FSA researchers felt that there is a tradeoff in the amount of time invested in working on the RPM with work on other important tasks in the early stages of a project.

Due to administrative problems and unfamiliarity with realistically planning the time to implement certain components of the survey, many researchers found it difficult to maintain the schedule established in the task calendar. Researchers learned that it is difficult to schedule activities because of inexperience in knowing how long it will take to perform a particular task in the field. One researcher therefore decided to develop a monthly task calendar. Nonetheless, having an initial task calendar allows a researcher to plan how to shift activities and/or cut them if he/she falls behind schedule. Researchers must remember that it is a flexible document that can be modified over time rather than a once and for all planning device.

No matter how much a researcher prepares, planning cannot solve all possible contingencies. The researcher must be flexible, whether in terms of the data to be collected or in the execution of certain tasks. In almost every study, planning was too optimistic about the length of time required to SPSS/PC+ data entry and analysis programs, enter and clean data, and subsequently, turn around the research results in the form of working papers. In Rwanda, initial plans to conduct a training seminar for all enumerators in the national survey were abandoned after a cost analysis determined that it would be cheaper for the trainers to visit each sector.

Flexibility in the design is particularly important in order to obtain insights into the dynamic behavior of food systems since it enables a researcher to check continuously and reshape initial hypotheses as data became available and allows him/her to reformulate more precise data needs. Preserving one's option to be flexible to pursue unforeseen events is closely linked to how a researcher budgets his/her time.

Throughout every phase of FSA studies, researchers encountered multiple demands on their time and hence tradeoffs between activities. The allocation of a researcher's time to the numerous activities constituting a survey is affected by the number of researcher associates, supervisors, and other administrative personnel involved in the study and the tasks assigned to them. Although project personnel can undertake many tasks if properly trained, it does not

mean that a researcher will be totally absolved of them. A task calendar is a useful device for planning survey implementation and subsequently envisioning and arranging all of the related tasks that must be accomplished.

A considerable amount of time in the early stages of a research study are often occupied in administrative activities - equipment, personnel, obtaining research clearance. Some researchers commented that an administrative assistant would have minimized some of the more mundane tasks throughout the project. Moreover, researchers must often meet with local government and village leaders, explain the study to them, solicit their cooperation, and get the village chief to call a village meeting to explain the study and introduce the enumerators. In brief, one cannot simply arrive in a village and launch some survey instrument.

3.3.3 Questioning, Observation, or Measurement

As alluded to earlier, following the specification of questions and data, researchers must determine the source(s) from which data will be collected. Although the majority of data in FSA projects was collected with questions serving as the instrument, the choice of method is based on the type and form of information required. It is also influenced by time, resource, personnel, and logistical considerations. Data can be collected by observation, measurement, or questioning. Many researchers recognize that different methods are appropriate for different situations (Patton, 1986). Every method presents advantages and disadvantages and errors. This section discusses the utility of questionnaires to collect data in food security research.

Many researchers justify using measurement rather than questions by arguing that farmers either do not know the information they want or cannot report the desired degree of detail. This preference for measurement may be due in some cases to a desire to avoid the difficult task of developing questions relevant to the farm household's mode of thinking. Some FSA researchers argue that farm households know how much land they have or the quantity of cereal harvested, but often in different units of measurement. One of the major concerns of relying on questions is, however, the accuracy of responses, and the degree to which they can be trusted. This issue is particularly evident in the early stages of fieldwork, when respondents may be suspicious of the purposes of the questions and uses of the results.

Cross-checking responses by asking questions in different ways about similar topics can be a useful way to assure their accuracy and consequently minimize the researcher's anxiety. One advantage of a multiple visit survey is that over time, farm households tend to become more comfortable, and the information they provide thus becomes more accurate. Moreover,

the respondent's memory may become better attuned to the type of information in which the researcher is interested. Dioné believes that farmers learn to memorize and to report accurately what they are frequently asked to provide. For the case of yield estimates, their knowledge is for the entire field and not just for one plot or one-tenth of a five acre field. In addition, the greater the respondents' trust in the intentions of the researcher, the more confidence researchers can reciprocally have that the responses represent the actual situation (Dioné, 1988).

A second advantage of using questions is that they can be asked and processed in a relatively quick period of time. Since many methods, such as physical measurements, are time-consuming tasks, they are not practical and feasible when the researcher does not know when he/she will need the information. There may be specific information requirements for a policy decision at a given time and for a given region. When the season has passed, a researcher cannot go out and measure five to seven plots of coarse grain field plots for 48 households in four villages in a period of four weeks. These constraints limit the usefulness of strict measurement in a situation where timeliness is important. The only way that this information can be collected is by using farmer estimates.

This approach also contributes to the objective of providing timely, reliable data in a sustainable manner. Once the farmers have worked with the enumerators and developed trust in their work, if additional information is required, it is relatively easy to acquire it. Making lengthy and costly measurements is neither responsive to these demands nor feasible for certain types of data, such as production estimates, after the harvest has occurred (Dioné, 1988).

Attempting to start afresh and collect only primary data can often, however, prove to be a hasty and costly decision when the data already exist. Prior to investing the time needed to design questionnaires, it is wise to examine the possibility of using secondary data.

3.3.4 Secondary Data Sets

All FSA researchers sought to use available secondary data to fulfill information needs when it was feasible. Once researchers defined general and specific research questions for each component and specified the corresponding data requirements in the research planning matrix, they continued a review of the quality and applicability of secondary data sets which they had begun in the preliminary conceptual stage. Based on their experiences in Zimbabwe, Bernsten and Rohrbach wrote that it "may be possible to meet some of the micro data requirements for completing project research objectives by drawing on existing data sets that have been collected

for a variety of purposes in recent years," rendering unnecessary demands for collecting new primary data (Bernsten and Rohrbach, 1985, p.1).

The feasibility of using secondary data is largely determined by their quality and by the extent to which they are documented. The validity and reliability of data are a function of several factors related to the design and implementation of the study in which data were collected as well as the degree to which data sets were manipulated for political purposes. A researcher must examine carefully the aspects of the study which influence data quality, including sampling procedures, training and supervision of enumerators, and data processing procedures (Bernsten and Rohrbach, 1985). Consulting some of the analysts who participated in the study helps to clarify design and implementation procedures. Researchers should pay careful attention to question wording, since responses are very sensitive to underlying meanings. It is often difficult to assess the suitability of secondary data to food security research needs when variables are ill-defined.

One benefit of taking the time to examine secondary data sets is the opportunity to study how prior researchers posed certain questions and what were the range of responses. Additionally, researchers cannot underestimate the difficulties of receiving permission to examine the data. Data banks are often guarded very carefully, requiring that the proper channels and contacts be used to gain access.

Some FSA researchers discussed in working papers and sub-sector reviews the results of their analysis of secondary data, demonstrating to potential users the possible inconsistencies and anomalies in widely consulted secondary data. By rigorously examining available data and cross checking different sources, researchers can generate demand for improved data collection and analysis and provide useful feedback to agencies that generate the data. In Rwanda, the FSA team decided to test the reliability of a retail price data time series by collecting retail prices for a short period of time and comparing the data to that collected by the ministry. After assessing the results, the research team decided that they could rely on the ministry's series for these data and thus save the resources that would have been used to accomplish the task.

In many countries, researchers confirmed the belief that a large portion of aggregate data may reflect government targets more than actual estimates. Cross-checking several sets revealed estimates varying by as much as 100 percent. Improvement of government estimates is very important since it often serves as the basis for data sets of international donors, which once in print, are frequently hard to verify and become 'gospel.' Moreover, researchers must be

aware that governments, often under pressure to comply with donor policies and reforms, may have reason to manipulate data banks.

In the same vein, researchers must be sensitive to interagency politics and careful in the approach they take in criticizing previous efforts. Instead of belittling the poor quality of data sets, it is more effective to work with local agencies to improve variable definitions, data collection and analysis procedures and thus the quality, reliability and usefulness of data. Extensively working with secondary data sets is often very difficult when there is limited time and resources to complete the FSA research. In this case, a well-documented study and data set including "a statement of the concepts underlying the data, how these concepts are operationalized, as well as some notion of the statistical sampling methods used" can serve as an example of how to establish a reliable and usable data set (Riemenschneider and Bonnen, 1979, p.154).

3.4 QUESTIONNAIRE DEVELOPMENT

When the primary data collection method is based on eliciting responses from food system participants, the choice of question type and the manner in which questions are formulated become very important. If the researcher has thought through the issues of level, reference period and variable structure during reconnaissance and question design, the task of developing the questionnaire is generally straightforward. Questions were directed toward collecting data on specific activities and not what usually happens. All FSA researchers designed and implemented an integrated series of multiple-visit questionnaires sequenced throughout the agricultural year. In this way, questions corresponding to a particular activity or period could be placed on the questionnaires and asked at the time that would minimize respondent recall. As stated earlier, a task calendar helps researchers to schedule the different kinds of data to be collected with certain questionnaires at various times of the agricultural year. This section does not describe how to develop a questionnaire. Instead, it focuses on certain key issues that influenced FSA questionnaire development and affected implementation.⁹ In particular, this section examines the questionnaire format as it relates to the ease of implementation and simplification of data entry.

⁹ The measurement and recording instrument used in structured surveys is technically referred to as an interview schedule; a questionnaire is a self-administered survey. For the purposes of this paper, this convention is disregarded and questionnaire refers to the instruments employed by FSA researchers.

FIGURE 3-5: CEREAL SALES QUESTIONNAIRE - TABLE FORMAT
 Report all sales since last visit.

ZONE: _____ Z _____
 CMDT = 1 OHV = 2

SUB-ZONE: _____ SZ _____
 South = 1 North = 2

VILLAGE: _____ VIL _____

- | | | | |
|-----------------|----------------|---------------|----------------|
| Zangasso = 1 | Soukolo = 2 | Ntosso = 3 | Bleindo = 4 |
| Dougoulo = 5 | Kemeny = 6 | Petesso = 7 | Kampoless = 8 |
| Ouelesse = 9 | Sougoula = 10 | Tenemamb = 11 | Sanancoro = 12 |
| Sirakorola = 13 | Ngabacoro = 11 | Chola = 15 | Katiola = 16 |

HOUSEHOLD: _____ HH _____

PRODUCT 1=Millet 2=Sorghum 3=Maize	QUANTITY (Kg)	PRICE (CFA/KG)	CLIENT 1=OPAM 2=Trader 3=Producer	PLACE OF SALE 1=Village 2=Market	ORIGIN OF PRODUCT 1=Storage 2=New harvest	REASON FOR SALE TO THIS AGENT 1=Higher price 2=Only available		
PROD	81	82	83	84	85	86	87	88

Researchers generally used a tabular format to present questions related to multi-level data (e.g., household-member, household-crop, etc.). The more typical questionnaire design with questions in series was used for variables at the level of the base unit of observation - the farm household or trader. As Figure 3-5 illustrates, a table simplifies the presentation and implementation of questions with a multi-level data structure and allows numerous cases for a

series of related questions to be clearly and concisely arranged. Precoded responses are written directly below the question.

The other alternative structure for questions at lower data levels - (e.g., household-member or household-transaction) would be to arrange in a series verbatim questions in which the wording is fully elaborated. All of the responses for a specific question would be grouped together and thus separated from the other variables related to a specific phenomena. For example, all of the quantities of cereals sold would be grouped together under the same question while the prices of every sale would be under a different question. The data related to a particular sale would not be readily apparent as it is when displayed in a table. When a question such as why the respondent sold grain to a specific marketing agent elicits several reasons (responses), the researcher would need to create additional variables (S6 and S7) for the second and third reasons and add columns to the table under the question. The order in which questions are asked should parallel the way respondents remember information. For each cereal sale, for example, the enumerator can ask about the quantity sold, price received, and so forth before asking about the next transaction - moving to a new row and case.

In some countries, researchers used one form to record cereal transactions for all respondents in a village in contrast to one page like Figure 3-5 for every farm household. This method not only saved paper but facilitated data entry as all cases were combined on a few questionnaire sheets.

Over time, researchers and faculty have developed a preference for presenting questions with only one response per variable per level in a sequential series, with the variable names and response space appearing along the right margin (Figure 3-6). Some researchers instructed enumerators to circle or check precoded responses below the question or write in another answer, leaving the right margin space blank. The supervisor or researcher who sight edits or postcodes the questionnaire would then check the response and write in the answer in the space along the right margin, thus introducing an initial check. Placing the variables and response space along the right margin for household level data facilitates recording and entering data. Since respondents are not forced to choose one of the precoded answers, researchers must leave sufficient space for enumerators to write other answers and comments. In other cases, enumerators would write directly in the precoded response in the space along the right margin.

In both questionnaire formats, researchers need to specify carefully screening questions and skips. Appearing in a different typeface, researchers need to develop meticulously

FIGURE 3-6: QUESTIONNAIRE - SERIES FORMAT

Village: _____ VIL
 Concession: _____ CONC
 Exploitation: _____ EXP

1a,b. Do you have problems preparing meals with maize which prevent you from consuming more of it?

If no, circle 0.
 If yes, what problems? (circle up to 2 responses)

- 0 = No problems
- 1 = Shelling and pounding
- 2 = Shelling
- 3 = Pounding
- 4 = Preparation takes too long
- 5 = Uses too much charcoal
- 9 = Other: _____

p31a _____

p31b _____

2a. Do you have difficulties storing maize?

If no, circle 0.
 If yes, what problems? (circle up to 2 responses)

- 0 = No problems
- 1 = Insect problems
- 2 = Rodent problems
- 3 = Humidity problems
- 4 = Storage place problems
- 5 = Small storage space
- 9 = Other: _____

p32a _____

p32b _____

3. Do you use a machine to pound maize?

- 0 = No
- 1 = Yes

p33 _____

4. Do you have problems with the preparation of unhulled rice which prevent you from consuming more of it?

- 0 = No (--> 6)
- 1 = Yes

p34 _____

5. If yes, what problems? (circle up to 2 responses)

- 1 = hulling takes too long
- 2 = cooking requires too much charcoal
- 3 = 1 + 2
- 9 = Other: _____

p35a _____

p35b _____

instructions outlining the procedures that enumerators should follow in asking questions. It is often useful to create a supplemental instruction sheet that enumerators can take to the field. Question 4 in Figure 3-6 illustrates the use of a skip rule and in combination with question 5, an alternative question/variable sequence. If not clearly specified, enumerators may ask questions that should have been skipped and obtain contradictory answers. This situation places additional pressure on the data entry program to detect errors and inconsistencies in the responses.

Identification codes of key variables placed at the top of every page in a questionnaire prevent loss if they become detached and facilitate data entry. With different data files throughout the questionnaire, placing the codes at the top alleviates the need to turn to the first page to determine the identification codes. When tables are used, similar identification codes for every case (e.g., village, household) appear once at the top of the page and not repetitiously as the first two variables of every row. Instead, the row begins with the differentiating key variable for the case structure (e.g., crop, member). Using roman numerals to delineate different sections of a questionnaire assists the researcher and enumerators in denoting the different data files.

Household or trader-level questions were generally scattered throughout a questionnaire corresponding to the subject matter to which they related. For example, most researchers asked some opinion and diagnostic questions in addition to more specific ones at lower levels. And it seemed conceptually clearer to group questions related to the same subject as opposed to grouping all the household-level files together on a few pages. There is a tradeoff in terms of the added difficulty of entering data because the data entry operator must page through the entire questionnaire in order to enter data at the household level.

Since prior questions can bias the responses to later questions, it is important that the researcher pay attention to the question order. A researcher should try to keep related questions together on the questionnaire not only for these reasons but also from a data processing point of view. As will be explained presently, the order in which questions are placed on questionnaires is also affected by the specific data file capabilities of the data entry packages used.

In principal, the choice of variable name depends on the researcher. Some FSA researchers preferred mnemonics - names that help jog the memory (e.g., QMZHAR for the quantity of maize harvested) whereas others chose to use sequential alphanumeric schemes

related to questionnaire and section number. Although the decision depends ultimately on researcher preference and what is easiest, using an alphanumeric sequence for other than key variables may be a more systematic method to document research materials. Each question can be matched with a questionnaire, variable, and data file. Nine questions and variables related to cereal purchases in the third monthly questionnaire could be assigned names ranging from P31 to P39; the P represents purchases - the abbreviated name for the data level and file; 3 for the month; and numbers one through nine to represent the question number. Although these issues may seem rather trivial, developing systematic procedures for implementation tasks can assist the researcher.

This situation justifies the recommendation to name variables on the basis of their case structure or level. Household level variables would be designated, for example, with the letter H and use a sequential numbering scheme as opposed to mnemonics. Similarly, variables with different multi-level case structures would be named with an alphanumeric referring to the subject area of the file (e.g., S for sale, P for purchase) followed by a number and if desired, additional identifying characteristics (e.g., S1PRICE). It is useful, however, to use the same mnemonics to name key variables (e.g., CROP, MONTH) throughout every file in the survey as they will be used as the basis for file transformation during analysis.

3.4.1 Type of Question and Interview

FSA researchers asked primarily structured, open-ended questions without suggesting any of the precoded responses determined in the reconnaissance and pretest. Although precoded responses were used, the list did not preclude enumerators from writing in other responses. In fact, this was encouraged. The literature on writing questions is vast, with specific information on the essential elements of effective questions. Whether open or closed, the attributes of good questions include brevity, clarity, focus and simplicity. Conversely, it is best to avoid questions that suggest responses, actually contain two questions, and that employ ambiguous words open to different interpretations. Questions must be carefully prepared as respondents may not be familiar with the rigid logic or wording. Closed questions can also hide ignorance or misunderstanding if not written in a style and comprehension relevant to the respondent reducing enumerator-respondent rapport.

FSA researchers who asked opinion and hypothetical questions learned that they must be carefully developed and analyzed. They judged that it is very difficult to avoid suggesting some idea to a person, making it difficult to obtain unbiased standardized answers. Moreover, there

are problems of interview length, variability in interviewer skills and how well the respondent articulates, often resulting in a lack of control and difficulty in coding. Teaching enumerators how effectively and uniformly to probe responses to opinion and hypothetical questions demands extensive training. The opportunity cost of additional training may be very high if enumerators continue to summarize responses and do not record the subtle elements of their response. Informal interviews may be a more effective way to discuss many of these issues and determine subtle perceptions of the particular issue. Researchers and supervisors more familiar with the research may be in a better position to conduct informal interviews and personally benefit from the interaction with the respondent.

FSA researchers used extensively a multiple response format for questions directed at quantifying the most prevalent constraints or reasons for certain actions. Determining a mutually exclusive and exhaustive list of categories is a difficult procedure due to the subtleties of issues being discussed. Although multiple response analysis will provide a list of the most pertinent attitudes or beliefs about a specific issue, it will not give any indication of the magnitude or degree of the strength of the issue as may be achieved in informal interviews.

Asking open-ended questions in an informal setting can provide information that is useful to verify formal survey findings and to learn more about the food system than can be obtained from structured survey research. Unstructured questions allow the respondent to speak in their own words and are effective in accentuating the intensity or qualifications of the response. Reliance solely on open-ended questions is problematic, as it is often difficult to aggregate responses from these questions over many respondents. Using a combination of research methods - methodological triangulation - can improve the validity of the research findings and produce different perspectives of a social phenomena.

3.4.2 Coding

Most survey researchers have advocated the use of precoded responses - containing a number or letter for each alternative answer - in structured questionnaires on the grounds that postcoding entails more time after data collection and delays the analysis. As a group, FSA researchers believe that using structured surveys does not automatically imply precoding. The decision whether to precode or postcode has been determined by several factors in FSA studies.

From many perspectives, the crux of the matter hinges on the type of questions and the manner in which they are asked. If researchers use questions in which respondents must select a response from a predetermined list of answers, precoding may restrict the range of responses

and force her/him to pick a response. Unless carefully developed and unless the enumerators are conscientiously trained, using precoded responses may result in the loss of subtleties in the answers. The effectiveness of this approach depends on the researcher's knowledge of the respondents' environment and potential responses to survey questions and thus his/her ability to develop exhaustive and mutually exclusive codified responses with greater variation between-categories than within. Precoding is therefore preferable from the viewpoint that it forces the researcher to think carefully of the questions to be asked, the potential responses, and how they will analyze these answers. Maximizing the benefits of precoding demands that the most prevalent responses be ascertained during the reconnaissance surveys and especially during pretest of the questionnaires.

Some FSA researchers asked open questions, allowing enumerators either to choose one of the precoded responses or to write in the respondent's answer. Training enumerators is just as essential for this approach, as they can easily choose a precoded response for an answer that is similar but not exactly the same.

For large data-intensive studies such as the 1000 farm household, bi-weekly sample in Rwanda, precoding can save a great deal of time. The weekly farm household questionnaire for transaction data was designed without codes because enumerators were expected to memorize them, thus decreasing the bulk of the instrument. In a single-visit survey, precoding may not be as crucial. It could still have a major payoff because it not only facilitates data entry and analysis but requires the respondent to design carefully the question and think about possible responses and related analysis.

An additional practical issue affecting the decision to precode or postcode concerns the staff available to do postcoding and the responsibilities accorded them. If the researcher plans to postcode, then it is imperative that adequate time be scheduled to undertake the task. Some FSA researchers discovered that postcoding was not as time consuming as expected. In fact, the information gained from postcoding provided researchers with a better basis for interpreting responses and writing working papers. Some felt that the person conducting the analysis should do postcoding in order to be sure answers were appropriately categorized and categories were properly interpreted.

Rohrbach started the work thinking that the more he precoded the questionnaire, the better. He concluded the work believing that precoding should be minimized. Respondent answers can be inappropriately categorized or miscoded, resulting in the loss of valuable

information and biased answers. Furthermore, with precoded questions, he feels that it is necessary to have a thorough knowledge of the system being investigated and be very certain as to what type of analysis will be required.

In writing down exactly what the respondent answered, responses can still be biased through the thought and writing process of the enumerator, albeit to a lesser degree. In either case - choosing a category or writing the answer - responses are filtered through the enumerator. The least amount of influence would be for the enumerator to write verbatim in the local language exactly what the respondent said, thus avoiding any translation. Researchers must pay careful attention to the process of interpreting and translating responses and training given to the enumerators.

3.4.3 Pretesting

Only through the actual implementation of a questionnaire in a pretest can a researcher assess how the instrument works and how respondents interpret and actually answer questions. Pretesting questionnaires was generally conducted by associate researchers and supervisors in non-sample villages in the different survey areas, usually preceding enumerator training. Some researchers discovered that it was easier to train enumerators after they had pretested the instrument, for they had already encountered most of the problems and potential responses.

In other cases, researchers benefitted from the participation of research team members in the design of questionnaires drawing on their experience and knowledge of the area. Using the variables and indicators outlined in a RPM, each research team member worked on the specified questionnaire, after which they synthesized each version to formulate the first draft. Begun four weeks in advance of their implementation, it left sufficient room for pretesting and revisions. In Somalia, extension agents gave the principal researcher feedback on the instrument and helped change wording, explaining where questions were awkward and where there would be potential problems. After revising the questionnaire based on these suggestions, they reformulated the questionnaires and sent them back to the field. Finally, submitting drafts of questionnaires to donors and policymakers for review or approval or to build credibility for the work is often a lengthy process, and needs to be managed carefully to avoid delay to the implementation of the research. In most cases, such formal reviews were not required.

Experience over the various countries shows that it is absolutely essential for the principal researcher to be directly involved in the pretesting process. This allows researchers to observe which questions present problems for either the interviewer or respondent. Direct

researcher involvement also provides an opportunity to gauge where additional questions are required and allows her/him to ask follow-up questions critical in interpreting whether the farmer completely understands the question and whether answers are complete. This can not be judged by reviewing written responses after the pretest. Even if a researcher does not fully understand the language, sitting in on interviews ensures that questions are answered completely and improves his/her ability to interpret correctly the responses.

Involvement can also provide the researcher a sense of the time requirements for the interviews. He or she should discuss the interviews with each enumerator after each day. When structured, precoded questions are used, pretesting contributes to the development of response categories. They also verify the feasibility of using local units of measure in the questionnaires. The length of pretesting is a function of the researcher's satisfaction with the instrument, and often the need to begin a questionnaire at a certain date.

In Senegal, most questionnaires were pretested and modified directly in the field, avoiding the lengthy time required to go to Dakar, modify and return. Pretesting for subsequent questionnaires was interspersed between other activities. In Rwanda, when supervisors pretested future instruments when overseeing the implementation of the current questionnaire.

Food Security II Project Paper

Annex G:

Data Collection and Analysis Methods

RESEARCH IMPLEMENTATION

This chapter discusses a few of the primary tasks involved in the actual field work of the FSA studies. The issues discussed in each section center on the importance of controlling data quality. The first two sections review the experiences of hiring, training, and supervising enumerators from different backgrounds and with different skills. The conduct and supervision of interviews are subsequently examined. Qualitative research methods are next discussed in this chapter because the content of the section focuses on the utility of a different way of interviewing and collecting information. The final section on data processing emphasizes the preliminary tasks - initiated in the field - that must be performed in order to put the data in a computer-readable form.

4.1 ENUMERATOR SELECTION

The selection of effective enumerators to conduct structured survey interviews is an important task for collecting valid and reliable data. Interaction between enumerators and respondents counts as much as an accurately designed questionnaire in obtaining accurate, quality data. Specifying the characteristics or skills of an effective enumerator is very difficult since every type of individual interviewer can potentially bring both advantages and disadvantages to the interviewing process. What constitutes an effective enumerator changes with the type of instrument used, the data desired and the local environment. Although one critical question concerns the ability to develop rapport with the respondent, there are unfortunately no guidelines on how to facilitate human interaction.

In general, FSA researchers hired enumerators who match most closely or can effectively relate to the personal characteristics of the respondents. This meant using enumerators with rural backgrounds to conduct farm-level surveys and those from urban areas to undertake city/market level interviews. In this situation, the location of the survey and the type of respondent influenced the type of enumerator selected. In the farm household component of the Malian FSA, Dioné did not want to hire someone from the city with no feel for agriculture. Enumerators with a rural background are likely to better understand the respondents' frame of reference, and can thus understand the context of responses. The enumerators must be able to communicate with the respondents in their language without underlying biases or tension that may influence responses. Second, individuals from an urban background may not want or be able to spend a large number of days in rural areas. One researcher left the United States

thinking that he would hire and train enumerators from urban areas for village level surveys. He changed his thinking after meeting an anthropologist, who, while working in the villages in the same research area, had used eleven different enumerators from urban areas in less than a year; no one wanted to work in rural villages.

Having a rural background and being familiar with an area does not demand that the enumerator originate from one of the villages under study. In fact, using an enumerator from a local village may present several difficulties due to his/her familiarity with respondents and family ties. In one instance, a local enumerator's parental obligations prevented him from completing the work, necessitating that he be dismissed. This was a difficult and sensitive task for the researcher since the survey was to continue in the village. If an enumerator is too well-known, she/he may receive biased responses or attempt to distort certain information. Researchers also need to be sensitive to ethnic considerations. Some farmers may not wish to give information to members of some castes unless they are highly educated.

The opposite side of the issue concerns the ability to ask sensitive questions. This is a "right" that outsiders may not have. Wehelie felt that if an enumerator from outside the village asked a man in Somalia the number of children in his family, he would be the subject of much laughter and the question would be avoided. For someone with whom the villagers are familiar, the question would not pose a problem. Other researchers argued that the inverse frequently obtains: respondents may not wish to disclose certain sensitive information to a local enumerator for fear informing the whole village.

Local enumerators may also not possess some of the desired levels of education and experience and necessary skills required by some researchers to do the enumeration. In one country in which local enumerators were used, they had a tendency to accept whatever was said. But this action may have been more the result of a lack of training than personal skills. Re-interviewing farm households, however, did not present any problems because local people realized that interviewing was new to the local enumerators and good experience for them. One must weigh the decision of local versus outside people in the local context.

In Mali, Dioné selected enumerators to work in the area closest to the capital, Bamako, from a pool of candidates maintained at the affiliating institution. He considered candidates with at least three years of experience who were familiar with structured, production-focused surveys. In the second area, populated primarily by an ethnic group different than that predominating in the capital area and to which the enumerators in the institution's pool

belonged, he decided to look elsewhere for enumerators. Through informal discussions with extension agents and others familiar with the area, he hired one individual who had been the manager of a farmer association and another who had a two year technical agricultural degree with research experience.

For the trader survey, Dioné felt that older, mature people would be more effective interviewers due to the suspicious environment in which traders act and the need for a more diplomatic approach to develop rapport. He preferred to hire university graduates from urban areas. Additionally, one rural market town enumerator possessed skills appropriate to be a supervisor - he was a former extension agent and regional director of the local, rural development agency - but was used to interview traders because as the son of a commodity trader, he knew most traders and transporters operating in the survey area. He was instrumental in providing them with information on the organization of the rural town, coarse grain markets and traders prior to the reforms.

Researchers refuse frequently to use extension agents, arguing that agents often think that they know most of the question answers. Or farmers may give them answers they expect the agent wants to hear. Moreover, many researchers feel conflicts will develop between the agents' regular job and the survey work. In Somalia, these preconceptions proved to be inaccurate. During initial discussions with collaborators in the Ministry of Agriculture, Wehelie learned that extension agents in the selected survey villages had worked on two other occasions collecting data. With an additional allowance, they could be used for FSA research. Wehelie learned that not only were extension agents knowledgeable about the villages and the credit project, but were accepted as members of the community. Thus, they were able to ask questions pertaining to subjects which would be very difficult for someone from the outside.

Enumerators obviously need to be literate and possess basic mathematical skills. Most enumerators hired by FSA researchers had, at the minimum, some primary education. Beyond this point, enumerator education level does not appear to be highly correlated with performance. Many survey researchers nevertheless bypass hiring teachers and secondary or university students because they are considered to have an urban perspective, are limited to work only during vacations, and often do not want to work in rural areas for long periods of time. Some researchers feel that enumerators with higher educational levels (secondary or above) may be more apt to become bored with the repetitious and tedious interviewing work than someone with less education.

For precoded questionnaires, there may be few advantages to using better educated individuals. For open-ended questions demanding more interviewing skill and initiative, enumerators with a higher educational level may also be required. Finally, experience with survey work is not always the most important criteria for selection. One researcher was advised to avoid hiring enumerators who had previous experience with a national sample because they were considered unreliable and quite expensive.

For those with a lower educational background, training and supervision must be more extensive if they are to develop a commitment beyond the financial remuneration. Losing people during the course of the research can be minimized by choosing enumerators who have fewer alternative employment opportunities. Using more highly educated enumerators may increase turnover as they use the project as a stepping stone, imposing additional costs on the surveys.

Several FSA researchers tested candidates for skills such as their general knowledge of a related research topic to see if they had a prior broad understanding of issues of interest to the project, mathematical skills, and knowledge of agricultural issues. Additionally, Dioné asked enumerator candidates in Mali how they defined a rural household. Others tested their ability to measure field size, observed communication skills, tested their competence in translation, and asked questions to elicit attitudes about rural areas. In general, researchers found informal testing was a more effective instrument to judge the quality of the enumerators than formal evaluation.

Aside from having a certain level of basic skills, human qualities cannot be ignored. It is preferable to find people who are patient and with sufficient curiosity to ask follow-up questions if necessary. Choosing an enumerator who is honest and can establish rapport with and the confidence of respondents increases the odds of obtaining valid responses and limit non-sampling error. In Mali, after the first interviews but before the researchers even sent out the second production measurement form to one of the enumerators, over half of the producers had come to the enumerator and asked if he would be interested in this information, resulting in the collection of 50 percent of the production observations in his notebook for the upcoming survey. This success is an example of the value of and the benefits derived from establishing rapport between the enumerator and the farmer. One enumerator in Mali was asked by the village leaders to stay in the village and work with them and the village group with their problems.

In general, researchers advocated an informal approach to selecting enumerators, speaking with knowledgeable people in different positions to find out who was available and what kind of people are effective. This tactic avoided being overwhelmed with unemployed applicants as might happen in an open search.

4.2 TRAINING

The primary objective of enumerator training is to teach them the information and skills required to implement effectively the instrument with minimum personal influence on the information recorded. Proper enumerator instruction can minimize some of the numerous possible response biases from respondents who wish to be courteous or ingratiating, or who provide socially desirable answers or do not even respond. FSA researchers differ in their belief of what topics should be taught to the enumerators. A researcher must decide what information an enumerator should know in order to accomplish the interviewing tasks.

More specifically, researchers believe that training should include: research objectives, problems in rural areas, use of the data, definitions of the terms (to the appropriate level of specificity), the organization of the questionnaire, how to develop rapport, their jobs and responsibilities. For each questionnaire, researchers and supervisors should explain and discuss the underlying intent of every question with the enumerators, how to record and probe responses, what constitutes a complete or incomplete answer, field coding, and the schedule for implementation. They must also learn any special skills such as field measurement and weighing of products. Enumerators can also be trained to check responses in the context of others in the questionnaires. For example, some enumerators were trained to do a running grain availability balance sheet - adding grain inflows and subtracting grain outflows - and examine this figure in the context of grain stocks and consumption. Conversely, some researchers felt that specific explanations about the survey objectives may compromise research findings as enumerators can provide information to respondents that may bias their answers (e.g., farmer may wish to understate production).

A researcher should not underestimate the significance of building morale among enumerators and a feeling of responsibility for their work. This begins with an explanation of their role and the importance of their performance to the success of the project. Some projects invited local leaders or institute personnel to explain their support of the study. Some researchers stress the importance of psychological conditioning more than others; some researchers believed that one needs to have a strict hand over them and to "scare" them about

the consequences of unacceptable work habits. Such views had been influenced by the experience of discovering an enumerator filling in the questionnaires without interviewing. What to do in this situation is very difficult. On one hand, the project has invested a lot of time and training in this person; on the other hand, allowing this enumerator to continue working would set a bad example for others. In retrospect, the researcher thinks that contracts must include a clause for cheating, making clear the terms for immediate dismissal. Beyond these specific contractual terms, researchers and supervisors must furnish enumerators with sufficient work to keep them busy and closely monitor their performance.

Training consisted generally of classroom work followed by practice interviews in a non-sample village. In Rwanda, researchers used mock interviews to introduce questions, asking the enumerators to write potential responses to the questions in Kinyarwanda, the local language. Enumerators were then divided into groups accompanied by associate researchers to conduct interviews. Each enumerator interviewed one household in the presence of the others in the group who listened and wrote down responses. Households that were a part of the 1984 and 1985 national sample were interviewed in the pretesting since they had the necessary plastic bucket used for measurement.

The duration of the training period is a function of the experience of the enumerators, the length and complexity of the survey instruments, the number of passes, and the different kinds of questionnaires. Every person participating in the training was paid for each day in training. After the initial training, each additional questionnaire to be implemented was preceded by training in the field, lasting one half to a full day. Following training, most researchers remained in the field during the first few days of the interviews for each questionnaire.

Although researchers in Rwanda preferred training enumerators in a group, logistical difficulties, cost considerations, the survey schedule and field tasks prohibited training for subsequent questionnaires to be held in a central location for the entire team. This prevented enumerators from benefitting from the interaction with others and learning from the problems and issues raised by other enumerators. Researchers were obligated to visit each enumerator's location in the field to introduce additional questionnaires. Although it took more time to train individually, researchers, associates, and supervisors took advantage of these field training visits to pretest future questionnaires and conduct qualitative interviews.

Enumerators in Somalia were evaluated by an associate researcher on a scale of 1-10 for various criteria of the survey work: questionnaire coding, frequency of non-response, readability, mistakes. The top five ranked scorers received monetary rewards presented during team meetings. The researcher felt that the competitive spirit underpinning these evaluations provided incentive to do good quality, conscientious work. Investing time to review enumerators' work and provide feedback beyond supervision and data verification is another type of in-service training.

In addition to using financial incentives to improve enumerator performance, enumerators were paid a monthly salary. Some researchers made enumerator salaries contingent on satisfactory performance, withholding a proportion of their monthly salary as a surety against the successful completion of their assignments. The type of contract written depended on local laws and institutions. When working with enumerators who are attached to a local institution, it is necessary to provide them with additional incentives to carry out the extra work demanded by the project. Some FSA researchers provided interest-free loans to enumerators to purchase bicycles for field work, an incentive to assure better maintenance, whereas others gave an allowance for isolation.

43 FIELD SUPERVISION

Supervisors' primary task is to oversee the work of enumerators. Their duties often involve training enumerators, pretesting questionnaires, scheduling interviews, bringing supplies and salaries to the survey site, substituting for enumerators, conducting additional interviews, providing logistical support, resolving interviewing problems, public relations with the community and political authorities, verifying and correcting questionnaire responses, providing moral support to enumerators, and collecting the completed questionnaires. A skillful and conscientious supervisor can anticipate and solve problems in the field, filling a necessary role between enumerator and researcher and allowing the researcher to allocate a greater amount of time to other tasks. FSA studies have generally hired one supervisor for every two to three enumerators.

Throughout the research, supervisors and researchers need to work with and closely monitor enumerators in order to avoid simple acceptance of the first answer provided and to acquire a more complete answer. In the course of asking for more information, enumerators must be trained to avoid asking leading questions. This is very important to be able to correctly interpret the responses. Without close monitoring, FSA researchers felt that there was a

tendency for the enumerators to record a more consistent set of answers than were actually provided -- in a sense, to categorize answers in terms of what they had previously heard.

Depending on the amount of responsibility accorded supervisors, their role in the field and office in reviewing questionnaires is one of the most important steps to assuring good quality data. There is no replacement for critiquing questionnaires in the field. This review is not limited to their legibility and completeness but their logic. If researchers have not trained a supervisor to do this, then they need to be involved. If a field supervisor is trained to detect inconsistencies in responses or mistakes in the questionnaires, he can consult enumerators and have households re-interviewed if needed. If supervisors go back to talk with a respondent to check if the enumerator asked a certain question, they must be careful not to discredit the enumerator in front of the respondent. Allotting time for the supervisor to cross-check questionnaires in the field can save time and money and minimize the number of errors discovered in the office.

The ability of the researcher to manage efficiently the field work is influenced by the physical proximity of the office and research sites. Where the survey area is a long distance from the location of the local institution, researchers may wish to consider establishing a regional office.

Supervisor and researcher presence in the field can assure that questionnaires are always checked in the field and thus avoid numerous return trips from the data entry location in the city to the field. This is especially important at the beginning of surveys before bad habits are formed. During the data-entry phase consistency checks were written into the data entry programs including range checks, cleaning rules as well as running frequencies and descriptive statistics.

4.4 INTERVIEWING

As stated earlier, interviews with farm households and traders were generally spread over a period of one to two years, ranging from four to fifteen structured contacts. Enumerators began each interview clarifying issues or questions from the preceding interview and emphasizing the link and continuity between each questionnaire. An enumerator needs to show respondents that she/he is interested in the information collected in the previous interview and that each interview is a continuation of the others.

Researchers must realize that farmers and merchants are intelligent people and try to sense what would appeal to the researcher and give the kind of information they perceive is

expected. Responses can nevertheless be influenced by an interest in being courteous to the enumerator, in winning approval, or by disinterest or suspicion. These factors introduce biases into the interview. Many of these biases can be minimized by carefully selecting and training the enumerators. A primary objective of training interviewers prior to field work is to minimize the sources of potential bias in both the instruments and responses.

Several situational factors during the interview are also potential sources of bias. It is commonly thought that the presence of others at an interview may encourage a socially desirable answer. In Somalia, however, the presence of village elders at the interview had the opposite effect. Wehelie feels that respondents were urged to speak truthfully and tell, for example, how much grain they really had in stock. In this situation, third parties kept the respondents honest and also helped him/her remember. Demanding that the interview be held in private may not be an effective approach due to negative cultural implications. A respondent may wish to capitalize on the social prestige conferred on the respondent in the act of a public interview.

The length of each interview can have a negative effect not only on the quality of farmer responses but also on the enumerators' ability to ask clear questions and to record exactly what was answered. An exceedingly long interview can prompt the respondent to make up responses in order to finish the interview as soon as possible. In FSA research, the interview times varied from a few minutes in Rwanda to two hours in Zimbabwe. The length of the primary producer survey in Rwanda depended on whether the farm household had conducted any marketing transactions since the last visits. In the event that there had not been any transactions, only four questions were asked - did you buy sorghum, sell sorghum, buy beans, sell beans - totalling about twenty seconds. If there was one transaction, the interview would take five minutes. In a biweekly or monthly survey in which the respondents had been answering production questions twice a week and transactions questions once a week since April 1985, the researcher felt that they would not have continued if there were lots of questions.

It was felt that enumerators in Rwanda could have worked longer hours; Loveridge calculated that when enumerators did not have to measure fields, they worked ten hours a week. When enumerators measured fields, they worked forty hours a week. Loveridge believes that enumerator morale would have improved if they would have had more work to do, reducing the idle time spent with other underemployed people. When considered from a data processing

viewpoint, increasing the enumerators' work load would have further augmented the data processing work, which in retrospect, the researcher feels was too large.¹⁰

In Mali, Dienne felt that shorter interviews were more conducive to the farmers' schedule and spread over a long period, would help cultivate a relationship between enumerator and respondent. He thus designed fifteen short questionnaires through which he collected data related to the farm household component of the survey research program. Aside from the interest in optimizing recall, dividing surveys into several passes allows a researcher to verify questionable responses with respondents and build on information obtained in earlier interviews. This approach is effective when questionnaires are implemented in a sequential process, beginning with the broad picture and progressing to more focused, disaggregated enumeration. Interviews were arranged around communal work days and arranged to best fit the respondents' schedule.

The number of interviews that can be conducted in one day depends on the length of the interview, prior scheduling by supervisors, and the work habits established by the researcher. Enumerators in Zimbabwe interviewed five farm households per day while most others completed three to four in one day.

FSA researchers felt that there is no substitution for spending time in the field during the implementation of the questionnaires. Participating in interviews gives researchers the opportunity to think of the information emanating from the surveys before it arrives in the office. Conversely, if the principal researcher does not spend considerable time sitting in on interviews and actively monitoring questions and responses, he or she risks not knowing how accurate the data really are once they arrive in the office. By resolving problems as they arise in the field, researchers and associates can minimize the need for re-interviews. An extensive field presence also sets a good example for everyone else, demonstrating the researcher's interest to the research team and the respondents and the seriousness and importance of each questionnaire in the study.

Having spent a lot of time observing interviews and checking responses, one researcher concluded that almost every question is subject to misinterpretation and a high margin of error in the answers. To some degree, problems will be identified in the course of pretesting and

¹⁰ Weekly visits to one thousand farm households over a period of fourteen months resulted in approximately 56,000 visits. Recording approximately one transaction for every three visits, the study generated data for 20,000 observations.

questions can be worded in such a way as to yield the most accurate response. Consistency checks can also be used to identify these problems within the questionnaire, though they do little good if the analysis does not begin until well after the data are collected.

In Zimbabwe, Rohrbach concluded after spending lots of time in the field during the interviews that enumerators have a tendency to interpret responses poorly or prematurely categorizing answers resulting in a loss of subtlety in the responses. Enumerators tend to write down the first response without probing, and categorize open-ended responses without recording the supplementary information. Although the problem may be inevitable, researcher presence in the field during interviews can help minimize it.

One researcher thought that giving enumerators a response sheet outlining the transaction data recorded in the previous interview would have been useful as a reference sheet with which to cross-check current responses. In one survey, a farmer reported a sale of 300 kilograms of millet since the last visit by the enumerator. This transaction was reported and recorded a second time when asked the same question in a subsequent pass because the enumerator, supervisor or researcher did not notice the duplication until a later date. Having a response sheet in the field would have permitted the enumerator to verify whether the farmer was reporting the same sale of the previous period. The ability to furnish these sheets to enumerators before the next survey round would hinge on a competent and rapid data processing capability. Researchers would need to monitor carefully the effect of using these sheets on enumerator performance, as they could introduce a potential source of bias.

Researcher participation is important not only in the pretesting phase but also when the surveys are underway, especially during the first week of the implementation of a new survey. Problems of interpretation will always arise in the field no matter how thorough the pretesting. Sitting in on interviews, clarifying enumerator question understanding, and making judgments about how to interpret particular responses are key tasks that only the primary researchers can undertake and potentially a major factor affecting the quality of the survey results.

Beginning processing after the data has been collected and doing some preliminary analysis while the enumerators are still in the field enables the researcher to verify data consistency and accuracy, make internal consistency checks and thus have the opportunity to reconcile inconsistencies directly with respondents. Checking the quality of the data in the field - missing values, unclear responses, inappropriate ranges, inconsistent data - can be advantageous in reducing the volume of data and detecting initial patterns in the data. The ability to do this

depends on the quality of the enumerators as well as the amount of time designated for this task in the design stage. Waiting until all the data are collected to consider coding, entry, and processing inevitably results in numerous problems, delays, and lower quality data.

When a multiple interview approach is used, it is often likely that there will be contradictions in the data. Discussing identified response inconsistencies with respondents requires that enumerators be trained to use tact and care in confronting respondents so as not to create a conflict. In Senegal, disparities between the calculation of cereal inflows and outflows, ending stocks and consumption were frequently inconsistent, a phenomena the researcher assumed was linked to illegal purchases of Gambian rice which was not reported and a sensitive topic of inquiry.

On the other hand, opinions change, so that differences in data are not always contradictory. One farmer, for example, responded that a certain type of fertilizer seemed effective but when asked again in another period of the year said that it was no good. This example illustrates the seasonal nature of responses as the farmer's negative conclusion came after a drought year. Aside from thinking why a respondent would want to suppress information, a researcher needs to recognize that people forget and that opinions, attitudes, and preferences are not always stable. Hence, caution and cross checks should be employed in analyzing data.

4.5 QUALITATIVE METHODS AND IN-DEPTH PROBES

Qualitative research techniques, both informal, conversational and semi-structured interviews, were also used selectively and effectively by some FSA researchers to collect data. Researchers and supervisors conducted both individual and open-group interviews throughout the course of the survey work during their trips to the field. They used these "social chats" to collect information on a variety of issues that would help in the design of questionnaires or in interpreting previously collected information.

In most cases, researchers used an interview guide to direct the open-ended discussions. They allowed farmers to discuss problems or interpret certain events in their own terms amongst each other and were useful in better understanding research findings that were not clear to the researcher. Or, a researcher can use these sessions to learn about how farmers would alter their production or marketing decisions in response to certain changes in institutions. The semi-structured interviews also helped the researcher determine if it is necessary to pursue certain issues in a structured questionnaire in order to obtain quantified information. Finally,

qualitative findings provide insight into the meaning of the data and help interpret statistical relationships.

Traditional research designs focused on specific hypotheses that are developed with minimal empirical information and unmodified through the course of the research seem increasingly inadequate to study African food systems. The multitude and rapidity of changes in agricultural policies and institutions are very likely to render the studies irrelevant by the time the study is completed. Throughout the course of the entire project, FSA researchers and faculty members have become more attentive to and interested in studying anticipated and unanticipated events related to the reforms. As insights are gained, new questions may become more important than prior ones, or the initial questions may need to be reformulated. In response to many questions generated by the research, FSA participants have also attempted to design detailed probes of small subsamples of the population which explore in further detail issues raised by early data collection. This progressive research approach is important for obtaining a sharper, more precise focus through the latter stages of the research.

The ability to study planned and unforeseen events as well as conduct more detailed probes of specific subsamples requires planning, flexibility in the design, an awareness of the social setting, and a capacity to process and analyze rapidly the data collected in prior stages. When events are anticipated and the researcher seeks to design some part of the study around it, planning is critical. A research planning matrix and task calendar are useful tools to specify what data needs to be collected prior to the event and when the measurement or study on that event should be implemented. The researcher then has to implement this second sample by a certain time or possibly in accordance with a certain period in the agricultural calendar or a certain event.

Being able to make more in-depth probes depends on several elements in the research design. First, the opportunity to return to a subsample to examine a topic in more detail is a function of quickly processing and analyzing and determining important issues which would benefit from further precision. A researcher must decide what kinds of and how much information should be collected and analyzed in order to develop new stratifications. The order in which data are analyzed is also critical. Ten percent of the data, for example, could possibly be analyzed quickly in a two-week period, and 25 percent at a one-month lag. Determining what 10 percent to analyze depends on the priority research questions, what interests policymakers

and what issues demand further precision. Scheduling time to conduct intermediate analysis is a key factor affecting the ability to take advantage of the dynamic situation.

Second, a researcher needs adequate personnel and resources to facilitate the field data collection and data processing tasks. Being able to respond to certain events during the course of the survey is a function of the capacity to process and analyze data. Researchers and data processing personnel must be well-trained and capable of efficiently and rapidly processing data before going out to the field. All of these elements combine to minimize the turnaround time crucial in responding to unforeseen events and probing the subsample.

A researcher who is conducting this kind of research for the first time often is not well-informed about not know how long it will take to implement a specific part of the work. Senior researchers with previous experience can be useful in providing guidance in this area. However, not even the most experienced researcher can prepare for all of the potential contingencies since every study encounters unique situations.

This iterative research process is very difficult to conduct with large data sets that demand extensive processing and analysis. Flexibility is also hindered in certain kinds of research, such as cost-route studies which amass large amounts of data collected throughout a tightly scheduled agricultural season. These demands provide little opportunity to conduct intermediate analysis.

During the planning stages of FSA research in Rwanda, the research team scheduled time in the task calendar to conduct in-depth farmer interviews with a subsample of the main survey. Specifying up-front the time and resources to do these probes was an important and necessary step from the standpoint of informing local project administrators. The negotiations needed to convince project leaders of the importance of this smaller study convinced Loveridge of the need to be sensitive to project objectives and interests of the host agency. Many research projects may not allow the researcher to go off on some tangent of their own to analyze a particular interest. Loveridge used this scheduled time to collaborate with an agronomist from another organization to study why the larger farmers who were the net sellers of beans and sorghum did not use as many varieties of seed as did those who were net buyers. They studied the effect of various production techniques and farm household resources on the transaction behavior of different groups of respondents. The success of this subsample survey was due to interest in collaborating with other researchers and project leaders that enabled them to plan

and execute the work. It also depended on the ability to turn around the data and identify net buyers and sellers within 6 months of the end of a growing season.

Some probes can be based on qualitative interviewing, such as occurred in Mali. In 1986, a rural development agency, following financial losses incurred because of the fall of world market cotton prices, attempted to limit cotton production. The research team also learned that the agency would not purchase the maize crop on behalf of the state marketing board due to the latter's inability to repay the agency's funds used to finance 1985 official maize marketing. The research team used this occasion to ask a group of farmers how they intended to react to these two events. From the answers obtained, it appeared that farmers planned to make significant adjustments in their allocation of land between crops. This information served as a starting point for a formal interview, based on a structured questionnaire, on the main determinants of farmers' planting intentions prior to the 1986 rainy season.

In another situation in Mali, the research team asked a group of farmers what their cereal sales strategy had been between December 1985 and April 1986, when government intervention to support producer prices had raised post-harvest coarse grain prices in rural markets. Most of them answered that they chose to postpone the sales of a significant proportion of their marketable surplus, based on their expectation that prices would continue to rise until the end of the rainy (hungry) season. This information subsequently helped the research team understand why, for the 1985/86 campaign, the normal seasonal pattern of coarse grain prices was significantly distorted, as most surplus producers in the zone made the bulk of their sales after April 1986, thereby depressing price levels throughout the hungry season.

Finally, researchers may find it useful to conduct "capstone" interviews after having completed a significant portion of the analysis of data collected from these same farm households. Researchers return to farm households or groups of farmers to discuss results, test preliminary conclusions, and probe for better insights as to why they behave in a certain way. This method helps the researcher gain a better understanding of the issues with the same set of respondents and may assist in the interpretation of the survey results.

4.6 PREPARING FOR DATA ENTRY

Many of the aspects that are usually embraced in what is called data processing - definition of data type and scale, data level and files, coding, data entry - were discussed in earlier chapters. Minimizing non-sampling errors during the data processing stage demands consideration of several other aspects, such as the design of questionnaires, hiring

165

knowledgeable computer personnel, planning the type of analysis to be completed, and selecting computer hardware and software that satisfy researcher needs throughout the project.

Integrated data entry and analysis software facilitates the ability of researchers to create data files and enter data into a usable and analyzable form. Although a quantum leap from the days of sorting strips and tables, using these sophisticated tools does not alleviate the need to plan carefully for the effective completion of data management tasks. FSA faculty and researchers believe strongly that the key to efficient data management rests with the understanding that the entire design and implementation of the research project contributes to timely coding, processing and data entry and analysis. It should not be conceptualized as a task easily completed by programmers after the data have been collected.

If a researcher waits until all the data have been collected before thinking of data entry, data management difficulties can easily preclude the researcher from promptly producing relevant information. Moreover, the ability to enter data on a timely basis is an important part of controlling data quality and designing additional focused research probes. If a researcher does not develop the capacity to turn around the data quickly, it is easy to fall six to twelve months behind schedule, leaving no time to accomplish some of the project objectives. The first part of this section discusses the use of computer software for data entry and the data management process following data collection. The second part focuses on important issues affecting data entry.

4.6.1 Creating Data Files

FSA researchers, faculty, and computer staff have found that using an integrated software package such as SPSS/PC+ with both data entry and analysis modules can minimize many problems of file transfer and alleviate the need to write complex data entry programs. Although some software packages may be very effective for completing certain tasks, they may be either ineffective or unable to do other necessary applications. Choosing the software to use thus entails assessing computer needs and balancing the tradeoffs between the features of the packages.

Concurrently or shortly after the questionnaire design, researchers need to spend time designing data entry files. The structure of data entry files parallels closely the decisions made on the level of data (discussed in Section 3.2.1 of this paper) and on the kinds of analysis desired. To the extent that the researcher has considered these issues, the initial groundwork for creating data files has been established.

Creating data files involves variable definition, developing a data entry form that appears on the computer screen, and designing validation programs to enter data according to specific rules and to check the values entered against defined ranges and logical expressions. More specifically, each data file can be programmed to include range and logical rule consistency checks, data entry screens that resemble the section of the questionnaire corresponding to the specific file, and skip and fill patterns. Ranges specify minimum and maximum values for continuous variables and acceptable values for categorical variables. The data entry program can check interactively for inconsistencies and invalid codes as data are being entered or after the data have been entered in the file. Programming skip and fill rules accelerates data entry since variables can be bypassed or assigned specific values if certain conditions or values exist in other variables. Given the short interval between data collection, postcoding and data entry, it may be difficult to finish programming ranges and rules prior to the beginning of data entry. Instead of cleaning interactively, the cleaning ranges and rules can be checked periodically throughout or after the data are entered.

Designing screens that resemble sections of the questionnaire help some data entry operators to enter the data quickly and accurately. Some data entry operators may find that these screens facilitate comparing the data entered with the contents of the questionnaire. For questions in which data are recorded in a table, using a spreadsheet format as the data entry screen may be easier for the operator. These forms are an additional help for data entry personnel to keep track of their position concurrently on the document and the screen.

Researchers should recognize that software programs are limited in their cleaning ability. For example, data ranges can protect against entering extreme values but not against inadvertently entering a 2 rather than a 3. It is thus necessary to use additional methods to verify that the data have been entered correctly.

4.6.2 Sight Editing and Postcoding

Enumerators should be trained to check for completeness and accuracy in respondent answers after interviews while the field supervisor checks interviewer errors and response consistencies. Completing these tasks before the questionnaires reach the office can minimize delays in data entry.

It is very useful to maintain a log in the main office documenting which questionnaires have been received, which ones have been edited, and which ones have had their data entered. It is very easy to lose track of the questionnaire status in a large multiple-visit survey in which a

researcher is implementing several questionnaires using many enumerators, supervisors and data entry operators. The first cleaning step in the office following the field supervisor's review consists of sight editing or checking questionnaires for completeness and legibility, cross-checking answers for consistency, and flagging extreme values. FSA researchers examined relationships frequently between important variables such as quantity of maize consumed and the number of household members as a check on the logic of the data being reported. The data entry program can check for coding and data entry errors. Additional cleaning should also be conducted with the data analysis program to look, for example, for duplicate cases. Researchers cannot underestimate the importance of investing time and resources in detecting and correcting these errors.

Depending on the size and type of the survey and number of project staff, postcoding must take place at the same time or concurrently with the sight editing. It is important that the researcher be involved in deciding rules for assigning new codes, when to assign codes for missing values, "don't know" or non-response. Each of these categories represents a different situation with different implications for analysis. Additionally, staff must be trained what to look for and how to code. Once the rules have been established and the researcher has been involved in postcoding a few villages, an office supervisor can do the postcoding, assigning new codes to every different response that is not obviously the same one so that at a later date, the researchers can combine and recode categories. The staff member responsible for coding should thoroughly document problems or questions pertaining to the interpretation of responses and the assignment of codes that the researcher must later decide.

4.6.3 Codebook and File Documentation

The listing of codes established during postcoding is the basis for a codebook and future file documentation. Creating a codebook is extremely important not only for others but also for the researcher months later when transformed data files and variables make little sense. A codebook serves as an index to the data files and the data. It is also an essential component of academic research as it is the only guide for other researchers to use the data set or verify the research results.

A codebook describes the structure of data files including a description of the case, level, key variables, variable and value names, modifications, and with what questionnaire the data was collected. This documentation becomes even more important as data are cleaned and transformed. New variables are created, data are recoded and all must be recorded. The

codebook serves as the basis for creating a fully documented research project which should summarize the subjects and levels of different questionnaires, dates and place of implementation, and sample.

SPSS/PC+ provides a number of commands that can facilitate the documentation process. Commands can be executed to print out the labels or names for variables and their values - response codes. This information can be combined easily with a description of the structure and composition of the data files - cases and key variables - and a list of the commands used to create and modify variables. The ease of transferring numbers and text between SPSS/PC+ and word processing programs facilitates the documentation process.

Finally, researchers may find it helpful to create an annotated questionnaire, containing the names of the data files written directly on the sections of the questionnaire corresponding to the questions and variables. Some researchers also found it useful to meet with enumerators to discuss the implementation of every question, differences in interpretation, difficulties of the respondents, and an evaluation of the accuracy of the responses. Typed up, this is another supplement to documentation and to the researcher throughout the analysis.

4.7 DATA ENTRY

Some software packages such as SPSS/PC+ used by most FSA researchers for data entry do not allow the user to open several files simultaneously. FSA researchers and computer staff concluded that it is more efficient to enter data for one file for all respondents before moving on to the next file. Entering all the data for one questionnaire would require successive opening and closing of every file. Having the questionnaire structured and ordered according to data level and data file minimizes the time needed to locate the data to be entered. Entering the data continuously for one file for all questionnaires enables the data entry operator to develop a greater sensitivity to responses. He/she would be more apt to detect inconsistencies in the data since they remain on the same level pertaining to the same topics for all the cases before moving on to another part of the questionnaire. Some FSA researchers entered data two times, relying on the data entry program to compare both values and identify discrepancies.

The ability of the project to complete data entry in the time set out by the task calendar depends on the size and skill of the data processing staff and the amount of time and attention accorded by the principal researcher to oversee the work. In theory, FSA projects hired a sufficient number of people to carry out data entry. All personnel were trained by the project and some received additional formal computer training outside the project. In reality,

researchers encountered frequently unexpected difficulties with the personnel accomplishing the tasks for which they were hired. Researchers need to make explicit in contracts the duties of personnel hired to do data entry work. This is especially important when the collaborating institution's personnel fill certain positions.

Many researchers processed personally a large amount of the data collected. Although this demanded a lot of time and may have had a high opportunity cost, researchers felt that it was the only way they were able to assure data quality. Entering the data also permitted them to see the responses early in the research, to read enumerator comments in the margins, and to analyze this information useful in designing subsequent questionnaires. In other words, it was the first step in thinking through the analysis and preparing for new surveys.

Nonetheless, personnel decisions must be examined in the context of the whole project. Wherever the researcher decides to allocate his/her time implies tradeoffs in other areas. Some of the personnel problems were unforeseeable and beyond the researchers' control. Combined with an underestimation of the time required to initiate and firmly establish the data processing, over-ambitious scheduling, difficulties mastering the intricacies of software programs, and exigencies of field work, data entry and processing did not always proceed as well as expected. In some situations, data entry did not get underway until after the second or third questionnaires had been implemented. Once personnel are trained and have begun to enter data, the data management aspect becomes very routinized, taking increasingly less of the researcher's time and leaving more time for analysis and writing working papers.

In the future, FSA researchers would consider rotating enumerators between interviewing in the field and data processing tasks in the office as a way to increase their interest in the research and help in the verification of the data. Logistical problems and concern with decreased contact between enumerator and respondent influenced the decision not to do it. There may be a potential problem in keeping good village relations between the enumerator and villagers, although one could introduce two enumerators to the villagers at the same time.