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DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON 25. D. C.

27 SEP 1971

AUG 11 1971

OFFICE OF
THE ADMINISTRATOR

Dr. William L. Boyd
President
State University of Iowa
Iowa City, Iowa 52240

SEP 14 9 58 AM '71
O/ACC/WAB

Dear President Boyd:

I am pleased to inform you that pursuant to the authority contained in Section 211(d) of the Foreign Assistance Act of 1961, as amended, Grant No. AID/csd-3294 in the amount of \$265,000 is hereby made to the State University of Iowa. This Grant is for the purpose of implementing the project "Comparative Legislative Studies," as set forth in the Final Proposal, dated May 25, 1971, and agreed to by the Agency for International Development and the State University of Iowa.

The Grant funds are obligated as of the date of this letter, and shall apply to costs incurred in furtherance of the project for five years.

This Grant is made to the State University of Iowa on condition that the Grantee shall administer the funds provided under this Grant in accordance with the terms and conditions set forth in the Final Proposal (including Budget Summary), the Standard Provisions, and Appendix "A", attached hereto and made a part hereof. To the extent of any inconsistency between the Proposal and the Standard Provisions, and any other provisions which are made a part of this Grant, by reference or otherwise, the Standard Provisions shall control.

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PREVIOUS EDITION ON PAGE 2

OFFICE OF V. P. FOR RESEARCH

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Please acknowledge this Grant by signing the original and six (6) copies of this letter and one copy of the Statement of Assurance of Compliance. Please return all documents to the Grant Officer.

Sincerely yours,

John A. Hannah
For John A. Hannah

Attachments:

- 1. Assurance of Compliance
- 2. Final Proposal & Budget Summary
- 3. Standard Provisions
- 4. Appendix "A"

ACCEPTED:

BY *E. J. Jolliffe*
 E. J. JOLLIFFE
 VICE PRESIDENT
 TITLE FOR BUSINESS AND FINANCE

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FUNDS AVAILABLE
 Date Sept 16 1971
 Project No. 931-11-995-136-73
 Obligation No. 3121236
 Object Class 259
 Allotment 254-31-697-03-34-21
 Amount \$245,000.00
 By (initials) JAB
 JAB/PCSI/KCC/KAB

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ASSURANCE OF COMPLIANCE WITH THE AGENCY FOR
INTERNATIONAL DEVELOPMENT REGULATION UNDER TITLE VI
OF THE CIVIL RIGHTS ACT OF 1964

THE UNIVERSITY OF IOWA

(hereinafter called the "Grantee")

(Name of Grantee)

HEREBY AGREES THAT it will comply with title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the Agency for International Development (22 CFR Part 209, 30 FR 317) issued pursuant to that title, to the end that, in accordance with title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, religion, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under and program or activity for which the Grantee receives Federal financial assistance from the Agency; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Grantee by the Agency, this assurance shall obligate the Grantee, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Grantee for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Grantee for the period during which the Federal financial assistance is extended to it by the Agency.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Grantee.

THE UNIVERSITY OF IOWA

(Grantee)

BY (Signature) _____

E. T. Jolliffe

TITLE _____

TYPED NAME _____

E. T. JOLLIFFE
VICE PRESIDENT
FOR BUSINESS AND FINANCE

DATE _____

August 27, 1971

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PROPOSAL FOR SUPPORT UNDER THE
AGENCY FOR INTERNATIONAL DEVELOPMENT
INSTITUTIONAL GRANTS PROGRAM

Name of Applicant: State University of Iowa
Date of Application: May 25, 1971
Title: Comparative Legislative Studies
Duration: 5 years from date of grant
Amount of the Grant: \$265,000

SUMMARY

The University of Iowa proposes, with support from the Agency for International Development, to enhance its capacity in the field of comparative legislative studies, with primary area emphasis on Africa and Asia. The University of Iowa will use grant funds to carry out studies of legislatures in relation to political and social development, develop an archive of data on legislative materials, expand and improve curricula in this field of study, and bring to the University guest professors and scholars from LDCs and other U.S. institutions to enrich the program at Iowa. The University of Iowa has special competence in social science research methodology, comparative study of legislative behavior, and the development of multifactored data sets. Building upon this competence, the University of Iowa will use grant funds to develop comparable measures of cross-country and historical data on legislative development, initiate studies of traditional factors and salience of legislative institutions, and expand and improve upon material for teaching at Iowa through establishing collaborative research arrangements with relevant scholars in the U.S. and overseas.

This proposal is one of three closely coordinated grant proposals from the University of Iowa, Duke University and the University of Hawaii. The University of Iowa will participate as a member of an Inter-University Advisory Committee which will plan symposia, promote publication of research results, avoid duplication of effort among the three grantee institutions, and facilitate exchange of students and faculty with foreign institutions when desirable.

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II. Introduction: Three-University Cooperative Participation

This Grant to the University of Iowa is one of three for closely related and coordinated efforts at the University of Iowa, Duke University, and the University of Hawaii to establish a program of comparative legislative studies. Although the programs of each of the three Grantee universities will be directed toward the creation of a special competence in the subdiscipline of comparative legislative studies, each University's program will have a slightly different focus.

The University of Iowa will focus on inter-country comparative studies, building upon its extensive data archives. These studies will look at the comparative social and economic background of legislators, performance of legislatures in strengthening (or weakening) national integration and legitimacy, and the relationship between legislatures' performance in this regard and their relative place within the governmental structure. Asia and Africa would be the primary geographic areas of focus, but not exclusively. Disciplinary emphasis would be in political science and history. Additionally, Iowa would build and make available a computerized data bank on legislative development and function.

Duke University will concentrate on legislative influence in relation to specific development problems as, for example, urbanization, population, education and to a lesser extent rural development. Its geographic focus in studying these issues would be largely Africa and Latin America, though with some work in South Asia. Its staff would be interdisciplinary with primary emphasis in political science, sociology, economics, and history.

The University of Hawaii will build upon its existing geographic focus on Asia and integrate a program of legislative studies within its country and area specialization programs. Korea, Indonesia and Thailand are prominent areas in Hawaii's program, along with comparative work in the Pacific Islands. Studies by Hawaii will, for example, compare the legislative roles in economically successful countries with their roles in countries with lesser economic growth. It will, conversely, compare economic implications of countries of relatively strong with those of relatively weak legislative systems. Hawaii's approach would be interdisciplinary to include political science, and history plus a strong language program.

III. Major Purposes and Activities

This grant is to achieve two purposes: 1) the enhancement at the University of Iowa of institutional capacities for skills relevant to the comparative study of legislative organization, function, and development, as these relate to the process of societal modernization-development; and 2) the generation and collation of a body of principles that can be utilized by A.I.D. in policy decisions that relate to requests for technical support of legislative institutions in facilitating development. These two purposes can be served by pursuing the following specific activities:

1. Training domestic and foreign students in the design and execution of systematic research on the varying role that legislatures play in the process of modernization-development. The results of their efforts will become part of a body of knowledge upon which ~~the~~ ~~University of~~ ~~Iowa's~~ own program will draw.

2. Increasing the existing skills and redirecting the interests of domestic and foreign scholars to the comparative legislative field. The University of Iowa generally will be enriched by the presence of these scholars and its comparative legislative program, in particular will be enhanced by the new knowledge that is generated.

3. Cooperating with and otherwise facilitating the work of scholars of less developed countries in multidisciplinary work at the University of Iowa on the role of legislatures in the character of regime legitimacy, as well as on the development of a centralized data bank at Iowa assembling materials on legislatures and development, the logic behind the bank, and the techniques related to its use.

4. Diffusing relevant methodological and conceptual tools in less developed countries through the above enrichment and redirection of individuals, and the development of the data bank, thereby multiplying both the quantity and quality of the research from which existing curricula at Iowa can be expanded and new curricula developed.

5. Increasing the size of the worldwide pool of professional and expert consultants available not only to Iowa, Duke, and Hawaii to draw on, but also to A.I.D. in the pursuit of several aspects of its development mission.

6. Creating through the program at the University of Iowa the substance of a subdiscipline and, in cooperation with similar programs at other universities, an organizational structure that can mobilize continuing international interest in and support from organizations interested in development.

Selected key problems for study

With support from this Grant, the University of Iowa will concentrate efforts in this program on legislative behavior variables that help explain three specific system characteristics: 1) the scope of politics; 2) the style of government, and 3) the legitimacy of the regime. For this purpose, the program will examine relevant comparative factors in a large number of African and Asian legislative institutions. The University of Iowa will also undertake the study of these legislatures at various points in time. This would require the use of time series data and historical sources not comparable to contemporary sources of information.

For each of the legislatures included for study, Iowa will seek to analyze such characteristics of the legislative system as: 1) the attributes of members--the process of their recruitment, their social and occupational backgrounds, their politically relevant skills, their role orientations including their concept of representation, and the average length of tenure in the legislature; 2) the distribution of power within the legislative system--the party and committee structures, the formal and informal rules of procedure, the leadership groups, the composition and role of legislative staffs, and the kinds and frequency of legislative sessions; 3) the outputs of the institution--the agenda of issues, the modes of contention, and the quantity and kinds of decisions.

However, unlike studies of these factors in the past, Iowa is planning under this program to develop and employ uniform concepts, and equivalent, though not identical, measures.

The formulation of theory for this comparative research, of appropriate concepts for testing this theory, and of indicators which will permit equivalent cross-system measurements, are among the most important aspects of the project. It may be one of the most valuable results of Iowa's efforts, and will require close collaboration among the participants.

A Comparative Legislative Research Archive

Although a substantial amount of legislative data has been collected in many different countries, very little of this material is comparative. Most of it has been collected by individual researchers on a single country. Comparison in legislative research is thus difficult because data on many countries are not available at a single location in a single format. There is a clear need for the centralized acquisition of the available data to permit the formulation and comparative testing of theories about legislative behavior. As a major part of this program, the University of Iowa plans to establish a data archive to begin to bring the existing legislative studies together at a single location and to make them accessible to the growing number of interested scholars in this field.

Once these data have been brought together they will contribute to the program at Iowa in two important ways. First, the data will be utilized in training graduate students. The reanalysis of data to test hypotheses comparatively will be one of the most important elements of the teaching program. Second, the data in the archive will provide a comparative base for the collaborative research to be carried out by

faculty at the University of Iowa and from overseas. Without such an archival base those studies would be very limited in the hypotheses they could test. The quality of this research experience will be considerably enhanced by the availability of data for comparison with the data generated through the collaborative research sponsored by the training program.

Once gathered and reformatted the data will be made available to scholars, students, and other interested persons outside of the University of Iowa. For example, appropriate data sets would be available to other institutions that are cooperating in this program, i.e., Hawaii and Duke. These could then be used in curriculum development at those schools as well as in the program at the University of Iowa. Finally, data could be made available to individual scholars and institutions overseas for use in their research and training programs. The cumulative effect of this dissemination and sharing of data will be an enrichment of research, an increased flow of new data to the University of Iowa and a greatly enhanced ability at Iowa to analyze legislative behavior and development.

IV. Associates

The University of Iowa will involve as Associates individual U.S. and foreign scholars from other institutions; in some instances for activities at Iowa, in others as recipients of support for research and other activities which complement and enrich the program at Iowa. These Associates will be involved in such activities as serving as University of Iowa guest professors, guest lecturers and visiting faculty, participants in conferences and symposia, and as collaborating research

workers under joint projects with colleagues from developed and less developed countries. Several such projects are already under way, and many potential Associates have been identified and their interests in participating in the program ascertained.

V. Scope of the Program

The present personnel and facilities of the University of Iowa provide a very strong basis for the research and training programs which we are proposing. However, the further development of legislative studies and a permanent strengthening of the program of Iowa is a major objective of our proposal.

a. Professional Development. Grant funds will be used by the University of Iowa for increasing the number of faculty specialists in legislative development and for developing new and modifying existing courses in subjects related to the subject matter. Specifically, grant funds will be used to add one permanent faculty member in political science with special interests in legislative behavior and political development and an area competence in African politics, and to bring faculty members from less developed countries to spend a period of time at the University of Iowa adding special expertise to the work at Iowa. Other personnel will be brought to Iowa as needed to support those now on the faculty. Grant funds will also be used to finance data collection expenses for the research work of the faculty, the Associate scholars working with the University of Iowa and visiting faculty.

b. Student Preparation. With support of this grant, the University of Iowa will establish a four-year graduate curriculum specifically

designed to train U.S. and foreign-born students in legislative research. Students will be admitted annually to a program which would include a thorough grounding in the methods of comparative analysis, the substance of comparative politics generally, and the comparative study of legislative behavior in particular. The University intends to associate these students directly with research in which faculty members are engaged, to encourage them to draw upon the skills and resources available in this field in many departments of the University, to enable them to spend up to one year in field research, and to have them share their findings with their student and faculty colleagues. The program will also involve foreign scholars who are expert in the legislative process of their own countries in the teaching program, both by holding visiting appointments at the University of Iowa and by supervising field research.

c. Redirection of Established Scholars. The University of Iowa plans to extend an invitation to several foreign scholars during the grant period to participate in a comparative legislative research seminar during their visit. Their participation will add a unique dimension to the seminar because of their knowledge of the legislature in their own country. Because this seminar will be dealing with the most current research on legislatures as well as discussing designs for research to fill lacunae in our present knowledge of legislative behavior, we believe that it will be a learning experience for all the participants--including faculty at the University of Iowa and visiting scholars.

Research experience will constitute yet another phase of the preparation of foreign scholars. Faculty members at the University of

Iowa will work collaboratively with the foreign scholars to design and carry out a research project. These projects will contribute to the retraining of foreign scholars and will also add to our own understanding.

d. Research. The principal emphases in research were outlined in Section III. above, i.e., to focus on comparative studies in which legislative behavior can be helpful in explaining the scope of politics, the style of government and the legitimacy of regimes. Variables which will be studied most closely include the persistence of institutional norms in the legislature over time, the relationship of the legislature to other institutions in forming public conceptions of politics, and the historical context determining public expectations of the legislature.

This research has both academic and practical objectives. Academically, it promises to tie legislative behavior research to other major concerns in political science, such as research on system stability and performance. Its general substantive objective is to assess the role which legislatures play in determining the capability of political systems, especially their ability to deal with social change.

Practically, the study may offer guidance to policy-makers on the role which legislatures may be expected to play in newly established political systems, and on the reforms in established legislatures which may be required to achieve specific system effects. The study will require the association of members of legislative staffs and academic colleagues in the several nations under investigation, providing training for all of them in legislative research, and facilitating a valuable exchange of knowledge of the operation of legislative institutions.

e. Acquisition and Collation of Data. As noted, the University of Iowa will use grant funds to establish a data archive to begin to bring the existing legislative studies together at a single location and to make them accessible to the growing number of interested scholars in this field. Personnel of the Data Archive will search broadly for all available data on legislatures in the possession of individual researchers. These data sets will be acquired, reformatted for ease in analysis, and stored in the Archive. The Archive will assemble the extant data on legislative organization and procedure, the socialization and recruitment of legislators, legislative decision-making processes, and legislative outputs. To facilitate access to the data, a retrieval system will be designed that will allow researchers to find quickly data sets that contain information relevant to their research problems. Bibliographic citations and abstracts of research reports on legislative behavior will be gathered and a bibliographic retrieval system will be developed to aid researchers.

VI. Linkages with Other Universities

A central premise underlying the proposal for three closely coordinated grants in the area of comparative legislative studies is that, because no single U.S. institution has the necessary expertise or resources to develop adequately a subdiscipline of comparative legislative studies, efforts of the most competent and interested institutions must be coordinated and their programs enriched by drawing on special skills and institutional resources located elsewhere. The University of Iowa will participate as a member of an Inter-University

Advisory Committee to be chaired initially by a faculty member of Duke University. This Committee will contain representatives of the three grantee institutions and other associated scholars. It will advise the grantee institutions on such matters as monitoring activities at the three universities, evaluating research for possible publication subsidies and other matters related to information dissemination, coordinating research efforts to avoid duplication, facilitating exchanges of students and faculty members with foreign institutions when desirable, trying to fill lacunae in curriculum, helping to arrange conferences and symposia, and generally trying to promote the development of comparative legislative studies as a subdiscipline.

Grant funds will be used to support the University of Iowa's participation in the Advisory Committee, the development of conferences and symposia which promote the interests of the program at Iowa through exchange of data and information, and the making available of data sets between institutions to facilitate collaborative research with scholars elsewhere in the U.S. and overseas in related facets of legislative studies.

VII. Institutional Capabilities at the University of Iowa

Existing personnel and facilities at the University of Iowa provide a very strong base for the development of a program of training in comparative legislative studies. These resources are threefold: faculty, facilities to aid research training, and skill in archival work.

Faculty Resources

Six members of the faculty of the Department of Political Science at the University of Iowa are presently engaged in legislative research. Two members of the Department of History are engaged in research on the British Parliament in the eighteenth and nineteenth centuries. For the past six years an advanced seminar has been offered by members of the Department of Political Science and the Department of History on comparative legislative behavior. This extensive collaboration will make it possible to develop a fully inter-disciplinary program for the students and visiting faculty. In addition, faculty members in Sociology interested in organization theory and in the College of Law interested in legislative processes provide further expertise available to students interested in the study of legislative behavior. The presence of these specialists on the faculty is reflected in the extensive library and other data resources existing at Iowa in this field.

The University of Iowa offers an unusually extensive program of training in research methods. Four members of the Department of Political Science teach in the field of research methods. Courses in statistics can be taken in the Departments of Sociology and Educational Psychology. This program provides a very solid grounding in research training and data analysis.

Laboratory for Political Research: Research Training

The laboratory for Political Research is the research and research training facility of the Department of Political Science. Graduate students receive extensive research experience through working in the Laboratory. The Laboratory is also an integral part of the training offered in course work for graduate students.

The full-time staff of the laboratory includes: a director, an assistant director, a technical director, a supervisor of study processing, a supervisor of data processing, and a programmer. At present thirteen graduate students work in the Laboratory receiving training in data collection and data analysis. The facilities of the Laboratory include: a card reader/line printer connected to the University's IBM 360 model 65 computer, two typewriter terminals for interactive programming, three key-punches, unit record equipment, and substantial disk and tape storage for data.

The program of training in comparative legislative research will rely heavily on the Laboratory for teaching graduate students. Visiting faculty members will be able to utilize the facilities of the Laboratory for their own research training.

Laboratory for Political Research: Archival Capability

The University of Iowa has special competence in procedures for computer organization of data banks and for the processing of large data sets, as well as in the study of national and state legislatures. The University is a member of the Inter-University Consortium for Political Research and has contributed to the development of data sets and data systems for the Consortium.

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VIII. Administrative Direction and Organization

The University of Iowa will administer the Grant through its normal administrative channels and in accordance with its normal policies and operating procedures. The Director of the grant-supported program will be a senior faculty member of the University of Iowa with extensive experience in the subject field. Associate Directors with similar qualifications will also be appointed. The Director and Associate Directors will serve as members of the Inter-University Advisory Committee established to coordinate A.I.D. grant-supported programs at Iowa, Duke University and the University of Hawaii in this field. These relationships are indicated in the following administrative organization chart.

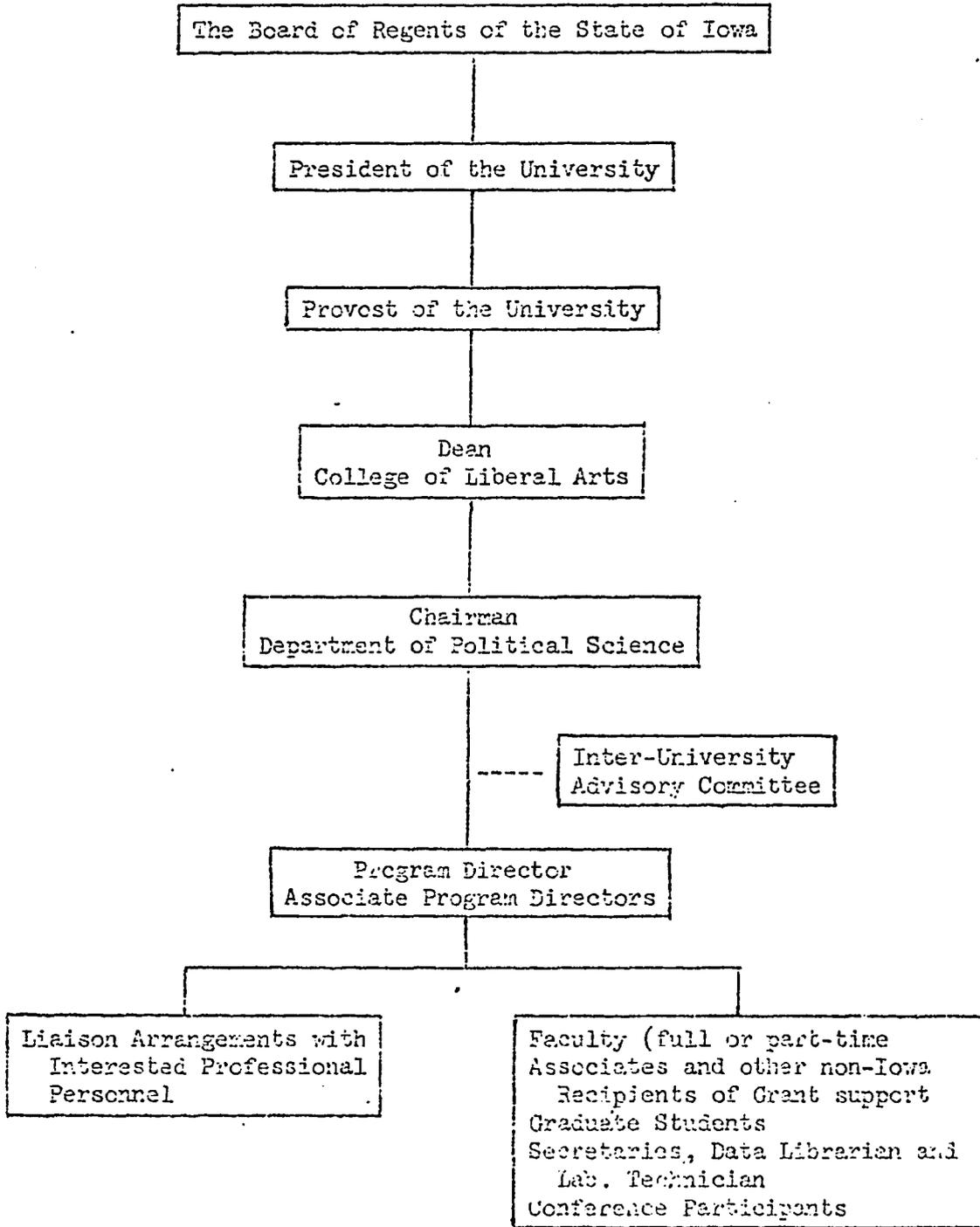
IX. University Contribution

The University of Iowa assures A.I.D. that this Grant will not replace existing funds for any current activity and will be additive to existing programs of the University. In direct support of this Grant, the University will provide: a) Administrative costs, including time of senior officers of the University; b) Office and research space, and library and computer facilities; c) Provision of ancillary university personnel for consultation or work with the program.

X. Reports and Reviews

There will be submitted an annual technical report for the purpose of A.I.D.'s review of activities under the Grant. This will include an evaluation of progress, administrative and financial considerations, plans for the following year, and discussions of the possible utilization

Administrative Organization



of the evolving competence by A.I.D. and others. In addition there will be periodic assessments of the grant activities between the three cooperating universities and the monitoring A.I.D. office.

XI. Budget Description

The University of Iowa budget of \$265,000 is to be devoted to the development of institutional competence in comparative legislative studies at Iowa and to the expansion of a data bank which will be utilized as a vehicle for increasing the scope of the sub-specialty.

Within Iowa's budget, approximately 33% has been allocated to a multi-nation comparative study of the legislative role in political development, principally to faculty released time for data collection, to travel and per diem expenses for faculty involved in this research, and to salaries for interviewers in field research and secretarial assistance. Another 11% of the Iowa budget is designated for an American Associate scholar and one or more scholars from LDC or predominantly black U.S. universities who will be associated with the legislative research program at Iowa, and 11% has been set aside for visiting professors from LDC nations who will primarily be involved in teaching and research training.

With respect to institutional enhancement, 13% of the budget has been allocated to the development of one new faculty position, and another 12% is provided for the support of graduate students in the form of stipends.

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Finally, approximately 19% of the budget will be devoted to the proposed data bank that will archive not only data generated from the research of scholars at Iowa, Duke, and Hawaii, but also at other U.S. and foreign institutions. Primary and secondary analyses of these data will become an integral part of comparative legislative studies curricula. The ability to utilize the data bank for teaching purposes also should have a significant impact on professional preparation of future legislative specialists. In summary, the funds will be allocated to research, teaching, and training activities that are entirely consonant with the philosophy underlying the utilization of 211(d) grants to achieve institutional development.

Conclusion

The University of Iowa regards the research and teaching components of this program to be closely related and mutually reinforcing. The University of Iowa offers a strong base for the program because of the interests of faculty members here now, because of their contacts with scholars in this field in other American and foreign universities, because of their experience with the international exchange of faculty, and because of the distinctive data gathering and processing facilities available in our Laboratory for Political Research. The program which we have formulated is designed not only to accomplish specific research and teaching objectives, but to contribute to the long-term development of the University of Iowa in an area in which it has already exhibited special interest.

The program on Comparative Legislative Studies, with support from this Grant, will develop the capacity at the University of Iowa to provide assistance, under separate financing arrangements, to developing countries in a number of ways and through a variety of channels. This assistance, which would be arranged for and negotiated separately from this Grant, may be in the form of technical assistance, advisory service, training, research and information exchange, etc. It will be available by mutual agreement to appropriate agencies, national and international, public, private and mixed, and directly to the less developed countries. Most especially, this added special competence will inevitably become incorporated through the processes of scholarship and education, into the competence of U.S. and foreign scholars and institutions concerned with this topic of great significance to the developing and the more highly developed countries alike.

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BUDGET SUMMARY
UNIVERSITY OF IOWA

Salaries	\$173,090
Graduate Student Stipends	32,400
Fringe Benefits	19,209
Travel	13,800
Equipment and Services	6,501
Other	<u>20,000</u>
TOTAL	\$265,000

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SPECIAL PROVISIONS

TO

STANDARD PROVISIONS

1. Under Standard Provision 4.B. Fiscal Receipts, line 4, delete "on an accrued basis". Under this same provision, line 6, delete "of Termination" and insert "or termination" in lieu thereof.
2. Under Standard Provision 7. Allowable Costs and Payment, delete "Bureau of the Budget" and insert "Office of Management and Budget" in lieu thereof.

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C/O

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My copy - J. Silverstone
copy - N. Hoge
29 AUG 1977 PPC/PDA

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

ORIGINAL

4 AUG 1977

FUNDS AVAILABLE
CENTRAL SERVICES DIVISION

AUG 11 1977
o/c 2590
8/11/77

Dr. Willard L. Boyd
President
University of Iowa
Iowa City, Iowa 52242

Subject: Supplement to Grant No.
AID/csd-3294
Amend # 3

Dear Dr. Boyd:

I am pleased to inform you that pursuant to the authority contained in Section 211(d) of the Foreign Assistance Act of 1961, as amended, a supplemental grant in the amount of \$200,000 is hereby made to University of Iowa. These supplemental grant funds are provided to support the activities which are described in your Proposal dated May 6, 1977 for the implementation of your program entitled "Political Conditions for Effective Small-Scale Rural Assistant Projects".

This supplemental grant is made to University of Iowa on condition that your institution shall administer the funds provided under this Grant in accordance with your May 6, 1977 proposal (including Budget Summary) and the Standard Provisions (as incorporated by Amendment No. 1) which have been agreed to by your institution. To the extent of an inconsistency between the Proposal and the Standard Provisions, and any other provisions which are made a part of this Grant, by reference or otherwise, the Standard Provisions shall control.

The new Duration Period for this Grant shall be August 11, 1977 through August 10, 1979.

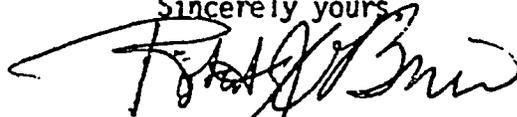
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The total amount of funds obligated under the grant is increased to reflect a new total obligated amount of \$465,000.

Please sign the Statement of Assurance of Compliance and the original and seven (7) copies of this letter to acknowledge your understanding of the conditions under which these funds have been granted. Please return the Statement of Assurance of Compliance and the original and six (6) copies of this supplemental Grant to the Office of Contract Management.

Sincerely yours,



Robert J. O'Brien
Grant Officer
Central Operations Division
Office of Contract Management

Attachment:
May 6, 1977 Proposal and
Budget Summary

UNIVERSITY OF IOWA

ACCEPTED:

BY: 

D. C. SPRIESTERSBACH

TITLE: _____

Vice President For

DATE: 8-22-77 Educational Development & Research
Dean of The Graduate College

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FUNDS ADMIN. RESERVED	
Approp. No.	72-114026
Allot. No.	446-30-099-00-34-71
Obl. No.	3072103
Obj. Cl.	2590
Amount \$	200,000.00
Proj. No.	930-0136
By	
Date	8/11/77

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211(d) Grant Program

Proposal of the University of Iowa

POLITICAL CONDITIONS FOR EFFECTIVE SMALL-SCALE
RURAL ASSISTANCE PROJECTS

Submitted to
Civic Participation Division, AID

May 6, 1977

Amount requested: \$ 199,987

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I. THE DEVELOPMENT PROBLEM

Political Conditions for Rural Development

The Comparative Legislative Research Center of the University of Iowa proposes to undertake a two-year study to investigate the role of local leaders and the rural public in the implementation of small-scale development projects in less developed countries.¹ The study will use and extend the capacity which the University of Iowa developed under a 211(d) grant to investigate and assess the impact of local politics on rural development. At the completion of the study, Iowa will be in a position to advise the Agency on the design and evaluation of small-scale projects which will be politically viable and effective in assisting the rural poor.

As students of development, we approach our task with the assumption that the problems of development and underdevelopment are fundamentally ones of political economy, and as such, can only be solved through a simultaneous consideration of economic and political factors. Efforts which focus almost solely on economic factors, like those of many organizations engaged in dispersing foreign aid, or efforts which focus almost exclusively on political factors, fail to take account of the interdependence between these two dimensions of underdevelopment, and

¹We have formulated this proposal in a manner consistent with the current policies and interests of the Agency. We have been guided in our task by four Agency documents: "Implementation of 'New Directions' in Development Assistance: Report to the Committee on International Relations on Implementation of Legislative Reforms in the Foreign Assistance Act of 1973," (July, 1975); "Revised Project Development Review and Approval System" (AIDEO Circular A-241, April 23, 1975); S.H. Butterfield, "Draft Summary Statement of a Practical Agency Approach to Rural Development," (AA/TA, February 28, 1975), and "A Conceptual Overview of Rural Development, No. 1", (Working Group on the Rural Poor, February, 1975).

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can meet with only limited success.

Our concern with the impact of local politics on the process of rural development is a result of our interest in the basic question of how LDC governments, and the donor agencies which assist them, can become more effective in raising the standard of living of the rural poor. We seek answers to the following aspects of that basic question:

- 1) What political conditions must exist, both within rural communities and between them and central governments, to raise agricultural production where small-scale agriculture is the dominant pattern?
- 2) What are the political conditions for a more rapid expansion of the informal manufacturing and service sector comprised of labor intensive small-scale industries located in the rural areas?
- 3) What political structures and activities are most crucial for the provision of welfare and economic support services—such as agricultural extension, marketing, and transportation—to the rural areas?
- 4) What political conditions must exist to insure that economic growth in the rural areas is not accompanied by excessive and intolerable inequalities between socio-economic classes and/or between regions?

Center-Periphery Linkage in LDCs

To determine the political conditions for rural development, we have in previous studies examined the institutions and processes through which rural populations are integrated into the national political systems of the countries in which they live. A gap exists in most less developed countries between the peasantry residing on the periphery and the central political institutions staffed by a Western-educated bureaucratic elite. We are aware of the other major institutional discontinuities which comprise

the basic cleavage between the developed and underdeveloped sectors of these dual societies. Bridging these gaps is essential if these societies are to develop into viable nation states. For until those on the periphery of the political system participate in that system and support and comply with the authority of central political institutions, neither economic development in the rural areas nor a stable polity will emerge.

Bridging the discontinuities in these new political systems requires establishing and institutionalizing linkages, or networks for communication and exchange of resources between decision-makers at the center and the rural public on the periphery. Three types of institutional linkages are most prominent in less developed countries: 1) those consisting of the state administration composed of the bureaucratic elite; 2) those consisting of a revolutionary political party composed of the ideological elite; 3) and those consisting of patron-client hierarchies composed of the political/entrepreneurial elite.

Of these three, linkages consisting of the state administration are the most extensive and pervasive in virtually every LDC. Such linkages, however, exist primarily as instruments of the center to penetrate the periphery. Central government officials are formally charged with bringing development to the people. This is a mission which conceives development as a process through which a traditional peasantry is transformed and assimilated into the modern center which is steadily expanding to embrace it. Agents of the center invariably have more resources to achieve their objectives than do local political leaders, but because they are frequently strangers in the communities in which they function, they are often unable



to implement the policies of the center without working through the local establishment.

Though sometimes significant, linkages consisting of revolutionary party organizations such as those found in China and Vietnam do not exist in most LDCs because of the special historical and economic conditions required for their development. As with the administrative state, however, the linkage apparatus of such political parties is primarily an instrument of the center whose mission is to penetrate and mobilize those on the periphery.

In contrast, patron-client hierarchies are linkages which represent the periphery at the center, and mediate between these two disparate sectors of the political system. Though normally overshadowed in scale by the state administration, patron-client hierarchies are found in almost every LDC, and constitute the most significant network through which rural populations and their leaders influence the decision-making process at the center. Patron-client hierarchies exist in a wide variety of organizational forms ranging from informal networks of individual political leaders in "no-party" systems in Sub-Saharan Africa to extensive political machines in both one-party (Africa, Mexico) and multi-party systems (Turkey, India). Despite their importance as the primary means through which peasants in LDCs participate in their political systems, patron-client hierarchies have only recently become an object of analysis by students of political development,² and do not appear in even the most sophisticated studies of

² See John Duncan Powell, "Peasant Society and Clientelist Politics," American Political Science Review, 64 (June, 1970), pp. 411-25; Rene Lemarchand and Keith Legg, "Political Clientelism and Ethnicity in Tropical Africa," American Political Science Review, 66 (March, 1972), pp. 68-90; James C. Scott, "Patron-Client Politics and Political Change," American Political Science Review, 66 (March, 1972), pp. 91-113; and Friends, Followers and Factions, edited by Steffan Schmid and James C. Scott (Berkeley: University of California Press, 1977).

economic development.³ Administrators of developmental assistance programs have too often regarded patron-client hierarchies as impediments to development instead of recognizing their potential utility.

Findings on Patron-Client Hierarchies

The importance of patron-client hierarchies for linking the periphery to the center is one of the major findings emerging from a study of the relationships between legislators and their constituents in Kenya, Korea, and Turkey which the Comparative Legislative Research Center is now completing under its 211(d) grant from AID. This study has examined the creation of linkages between the periphery and the center through more than 10,000 interviews with members of parliament, local leaders, and peasants in the three countries. The findings are being systematically set out in a book-length monograph. Nearly a dozen research reports have already appeared (see Appendix C). Propositions about the nature of political behavior of rural populations and the roles of local political elites, derived from the research, can be summarized as follows:

1. Elected representatives play a significant role in the creation and maintenance of linkages between the center and periphery by developing local political machines in which they function as patrons of their constituents. In turn they serve as clients of political leaders of national stature who control central government institutions.

2. By attempting to establish linkages based on patron-client relationships, elected representatives are responding to public expectations that their primary duty is to obtain resources from the center to promote local development. Many elected representatives spend most of their time on self-help community development projects such as the building of schools, health clinics, irrigation works and roads, because such projects provide

³ For example, in a widely respected and useful analysis of rural development in Sub-Saharan Africa, Uma Lele of the World Bank notes the problems of creating an administrative infrastructure in the rural areas that is sensitive to local socio-political conditions. She does not, however, consider how local leaders, operating outside of administrative structures, might contribute to the development of the rural areas. See Uma Lele, The Design of Rural Development: Lessons from Africa, (Baltimore, The Johns Hopkins University Press, 1975), pp. 127-61.

30 18

their constituents with desired services and at the same time provide the representatives with an organization which can be used as a political base.

3. More than 90 percent of the rural population is capable of articulating the problems facing their local community, and two-thirds discuss these problems with their fellow citizens on a regular basis.

4. Three-quarters of the residents of the rural areas can identify the public officials who serve them--both civil servants and elected representatives--by name. Most are knowledgeable about the activities of these officials. Almost one-fifth, moreover, have discussed community problems with these officials, particularly those working at the grass-roots level. Residents of rural villages actually have a higher level of political knowledge than their counterparts in the towns.

5. Elections in the rural areas evoke a highly rational pattern of voting despite the effects of ascriptive, or "traditional" considerations. Incumbents are primarily evaluated in terms of their record in fulfilling the public's expectations of what they should do. Elections are essentially referenda on incumbents' performance, especially their performance in the area of constituency services such as bringing development projects to the districts.

6. Local development projects have a relatively high symbolic value, generating constituency support for local leaders and the central government at low cost.

7. These projects help build a local political infra-structure which can also be utilized by central government civil servants to implement other policies designed to achieve rural development.

The Impact of Local Politics on Rural Projects

Having explored the development of linkages through which the periphery is represented at the center, and through which the periphery attempts to share in the center's resources, we now propose to build upon our initial investigations by examining in greater detail the impact of local political conditions on specific problems of rural development. We propose to examine the developmental activities of local leaders and the rural public by examining a sample of fifteen to twenty small-scale development projects in each of the three countries which constituted the sites for our initial

study of center-periphery relations. The appropriateness of this approach, and the methodology through which it will be implemented, is discussed in section III. Because the methodology of investigation is in large part the result of our previous research experience, we first turn to a review of the existing competence of the Comparative Legislative Research Center in this area.

II. GRANTEE'S EXISTING COMPETENCE

In 1971, the University of Iowa received a 211(d) grant to develop its capacity to do research on the role of elected representatives in the process of modernization. On the basis of this grant, the University established a research center which planned and carried out a research project on the role of elected representatives as links between the central government and rural populations in Kenya, Korea, and Turkey. The project served to develop the University of Iowa's research capability in this field, established ties between the University and scholars in the host countries, and generated a large and unique body of relevant data.

In that project we focussed our attention on the activities of elected representatives in their constituencies, notably in their contacts with local political leaders, voters, and civil servants. To determine the nature of the linkage function performed by the representatives, we designed our research to explore the subject from three perspectives:

- 1) we examined the subject at the grass roots, by conducting a series of sample surveys of 200 to 300 adults in each of 12 to 14 parliamentary constituencies in each of the three countries;
- 2) we examined the subject at the center, by interviewing MPs from the constituencies in which we

had conducted sample surveys, and higher civil servants with whom they had contact; and 3) we examined the subject from an intermediate level by identifying and interviewing local social and political leaders in the MPs constituencies. We used survey research methods because we were embarking on the study of an entirely new subject for which little relevant documentary data existed, and on which there were few secondary sources. As a result, we have unparalleled experience with survey research in the rural areas of less developed countries.

The surveys which constituted the major part of our field work were planned in collaboration with scholars from the host countries. They were carried out in each constituency by student interviewers in the appropriate language. More than 10,000 respondents were interviewed for the project. Given the visibility and sensitivity of this undertaking, approval for the research was sought and obtained from the host governments prior to the collection of data. No objections were raised by these governments at any stage of the research. The data obtained have been made available to scholars in the host countries, and some of the basic findings have been published in periodicals in these countries.

The Comparative Legislative Research Center which administered the project has also developed extensive experience in the study of political leadership in other countries. It has obtained substantial support from the Ford Foundation and the Rockefeller Foundation, has worked in collaboration with European as well as Asian and African scholars, and is engaged in a major study of the role of elected and non-elected leaders in the management of social conflict. Because it has conducted research in a variety of settings, the Center has an exceptional capacity to

determine how the relationships between political institutions and economic problems differ in developed and less developed countries.

In the course of the major research projects the Center has administered, it has gained highly specialized experience in identifying political leaders in a great variety of settings, conducting systematic interviews with them, collaborating with scholars in the host countries, and in coding and utilizing large files of data to answer specific research questions.

The Center has also undertaken to publish the results of its research in three forms. It issues codebooks to the data, enabling scholars at other locations to use the data expeditiously; it publishes research reports in the form of "Occasional Papers"; and it publishes a scholarly periodical devoted to the presentation of research findings to an international audience.

The Center utilizes the data analysis facilities of the Laboratory for Political Research of the University of Iowa, and draws on the unusual number of specialists in comparative politics and survey research in the University's Department of Political Science. The Center itself has the services of an administrative secretary and a clerk-typist, maintains its own extensive archives, and its own publications program. It is equipped to assist scholars and government officials outside the University of Iowa. The participants in its projects are full-time faculty members whose undergraduate and graduate teaching is closely related to their research. As part of the teaching program, the Center has attracted students from the countries in which the research projects have been conducted; these students have participated in the projects,

have obtained training in other fields of political science, have received University of Iowa degrees, and have returned to teach and to do research in their own countries.

III. PURPOSE, OBJECTIVES, AND METHODS

Purpose of Study

The purpose of the proposed grant is to extend the capacity of the University of Iowa to determine the political conditions in the rural areas of less developed countries which favor the establishment and growth of small-scale development projects. The objective is to put the University of Iowa in a position to assist the Agency in designing small-scale rural development projects, providing guidelines for carrying out social soundness analyses of such projects, and advising in the evaluation of projects. We will discuss the utilization of the University's capacity in detail in section IV below.

We propose to concentrate our investigations on the political conditions surrounding small-scale rural projects. Such projects have distinctive advantages. They maximize the political participation of the rural populations both in determining the direction and implementation of development efforts and in defending the interests of periphery vis-à-vis the urban-based bureaucratic elite. Small-scale projects stimulate entrepreneurial activity on the part of the rural citizens, and growth of the informal manufacturing and service sector. They require less lead time and less administrative overhead to become operational than large-scale capital-intensive projects centrally administered. Such projects yield rapid and direct benefits to

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the rural populations and are consistent with their human rights--both political and economic. However, small-scale projects pose special problems for administrators of developmental assistance programs because they require the donor to assess the local politics, particularly the rural politics, of the host country.

Development administrators primarily concerned with assisting rural populations must therefore recognize the range of political variables affecting these projects. Small-scale projects offer great opportunities for developmental assistance programs because they can be easily targeted to help rural populations, require low capital costs, and need not be concentrated in one or two localities. Such projects, however, require the administrator to have more political knowledge than large-scale projects on which his primary task is guiding the work of other "experts".

Questions for Investigation

To determine the political conditions most conducive to the establishment and growth of small-scale rural projects, we propose to address our inquiry to the following specific questions:

1. To what extent, and why, do local political leaders seek to establish small-scale development projects within their communities?
2. To what extent, and why, do local leaders other than politicians initiate and/or provide leadership for small-scale development projects?
3. How do the relations between different types of local leaders (political and non-political), and between these leaders and central government civil servants posted to the rural areas, affect the conduct of development projects?
4. How do existing authority relationships between these different leadership groups and the rural public affect the organization and operation of small-scale development projects?

5. What is the nature of public participation in the establishment and operation of small-scale projects, and what are the outcomes of this participation? Under what conditions is such participation most likely to occur?

We seek answers to these questions in order to determine the effect of different configurations of local leadership and public participation on the outcomes of small-scale rural projects. We are particularly concerned with the impact of these configurations on the rate of economic growth and the distribution of wealth within the local community, on the perceptions of small-scale projects by central government personnel and the rural public, and on the organization of future projects.

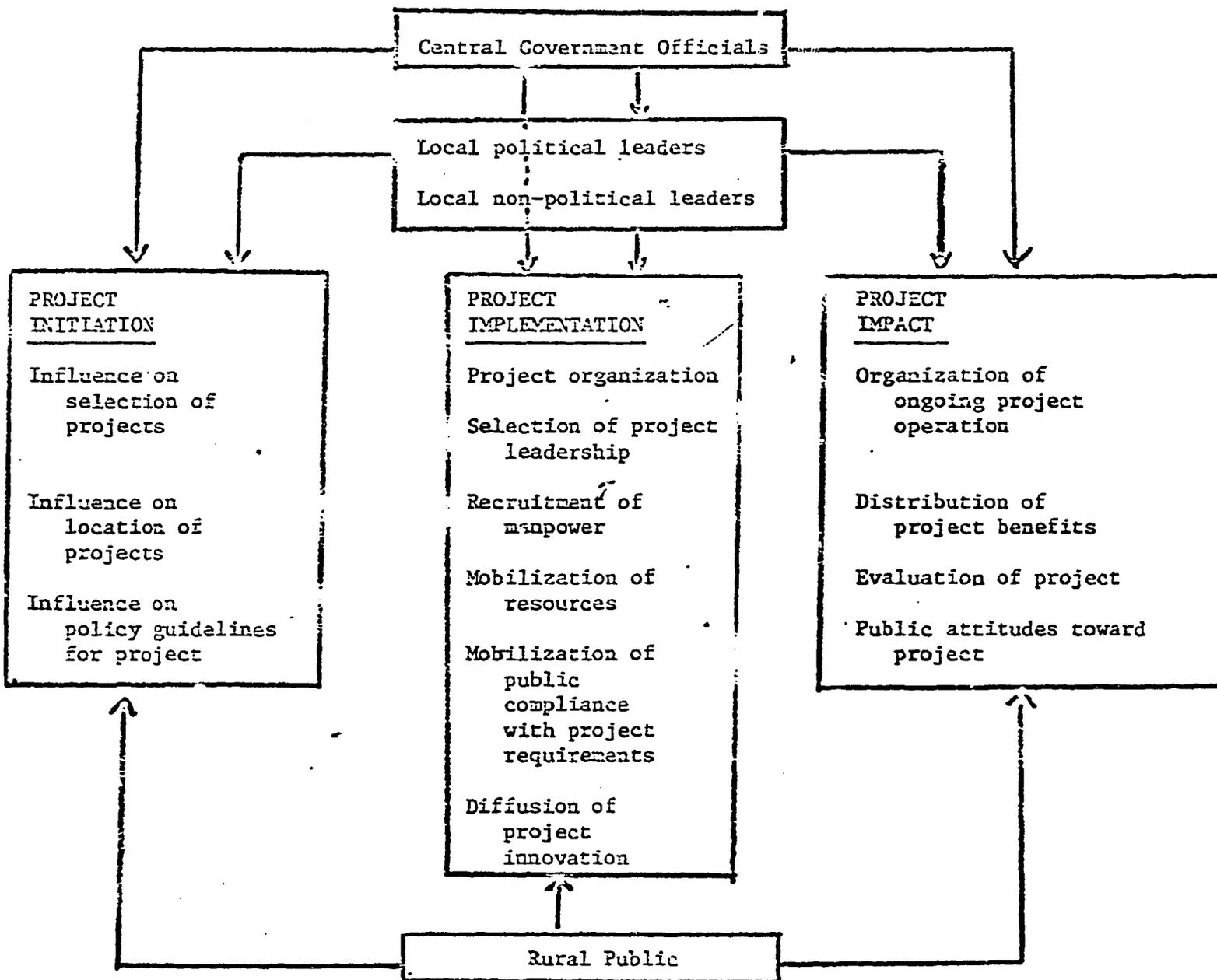
To answer these questions, it is our intention to study the initiation, implementation, and impact of a sample of small-scale rural projects in Kenya, Korea, and Turkey in the same communities in which we carried out our initial investigations in 1973-75. The relationships between the various configurations of local leadership and public participation, and the three phases of project development are shown in Figure 1. We will examine projects to promote the adoption of new agricultural techniques by small and moderate landholders; the building of feeder roads, irrigation ditches and other simple infrastructure; the organization of farmers' cooperatives and other local associations concerned with rural development; the establishment of rural health clinics and schools, and the setting up of craft and service industries.

Sites for Study

We plan to return to our original set of localities because we possess a rich body of relevant data on the extent to which linkages exist between

Figure 1

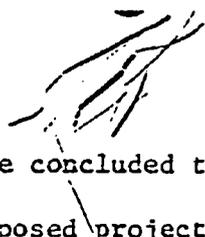
TYPES OF INFLUENCE OF CENTRAL GOVERNMENT OFFICIALS,
LOCAL LEADERS AND THE RURAL PUBLIC ON THREE
PHASES OF RURAL DEVELOPMENT PROJECTS



these areas and the central political institutions of the three countries, and on the attitudes of the rural population, local leaders, and elected legislators regarding their problems of development. Since such data is unavailable for alternative locales, a return to the areas in which we have previously done much research enables us to build on a uniquely valuable body of information.

A return to Kenya, Korea, and Turkey is also highly desirable from the standpoint of effective research organization. The Comparative Legislative Research Center has developed close collaborative relationships with several highly competent social scientists in these countries, and with the academic institutions with which these scholars are associated. We have also developed cooperative relationships with government officials in these countries, which should facilitate obtaining approval for our further work.

In proposing to document the origin, implementation, and impact of one to three small-scale development projects in each of 35 localities we have two considerations in mind. First, because our primary goal is to determine the political conditions for rural development, we wish to examine development in as many different settings as feasible. Only in this way can we control for some of the major socio-cultural variations that exist among rural populations in less developed countries. These include the overall level of economic development in the community, the nature of the indigenous culture and relationships of authority, and the proximity of the community to major urban areas and centers of central government administration. Since our original study sites were carefully



selected to represent these variations, we have concluded that these 35 localities would be ideal sites for the proposed project.

Second, in order to determine the impact of local leaders and public participation on rural projects, we intend to compare projects in which local leaders and members of the public have played a major role with projects in which they have not. We also will compare projects initiated by the central government with projects which have been locally initiated. These considerations give us a typology for selecting projects as depicted in Figure 2.

Figure 2

FIVE TYPES OF RURAL PROJECTS ACCORDING TO INFLUENCE OF CENTRAL GOVERNMENT, LOCAL LEADERS AND RURAL POPULATION

Level of Participation by Rural Population	Locus of Project Initiation	
	Local Community	Central Government
HIGH	1. Projects initiated by local leaders and providing for participation of the rural population	2. Projects initiated by the Central Government, and administered in cooperation with local leaders and the rural population 3. Projects initiated by the Central Government and providing for the participation of the rural population, but by-passing local leaders
LOW	4. Projects initiated by local leaders, but not involving participation of the rural population	5. Projects initiated by the Central Government, and administered in cooperation with local leaders but not involving participation of rural population

We recognize that the socio-cultural setting of rural development projects varies significantly within and across less developed countries. By focussing on a representative sample of localities in Kenya, Korea, and Turkey, we can take account of many, though not all of these variations. While some of our substantive findings will not be directly generalizable beyond the countries in which we propose to conduct our study, we expect that our basic methods and findings will be applicable to national and sub-national settings elsewhere in the developing world. This is partly due to the fact that the hierarchy of patron-client relations which we regard as a critical factor in rural development exists in most LDCs. It is also due to the fact that the methodology for identifying local leadership configurations and for studying local politics, which we are perfecting, can be used to assess local political conditions in a large variety of countries even when the conditions themselves differ significantly.

Methods of Investigation

The data needed to assess the impact of local leaders and mass participation on rural development fall into two categories. Some are contained among the data gathered for the research project we are currently completing. Others will require additional field research.

The following data are already in hand:

1. Data on the social landscape of each local community, including aggregate data on level of economic development, demographic characteristics, political participation, ethnic loyalties, and rates of socio-economic change during the past decade.
2. Identity of local leaders, including both political and non-political leaders, and both legislators and other politicians.
3. Perceptions of existing problems and their possible solution among

general public, local leaders, and civil servants.

4. Level of political knowledge among local citizens and local political leaders.

5. Political and social values among local citizens and local political leaders.

6. Expectations of leadership roles among the local public, and elected and non-elected leaders.

7. Patterns of communication among local leaders and between local leaders and the central government.

These data, which we already have in hand, can be subjected to analyses which will provide the foundation for our further work on rural development projects. A part of our work therefore will consist of further analyses of existing data.

New data of the following kinds are also required:

1. Documentary data on the origin and evolution of particular small-scale development projects in the rural areas.

2. Data on project costs, both initial investment and recurring operating costs, and data on project outputs, i.e., pupils in schools, miles of road completed, number of hospital admissions, production of factory, agricultural productivity.

3. Data on project organization, number of local inhabitants participating in establishment of project, number of local inhabitants subsequently involved in project.

4. Data on the perception of projects by local leaders, members of the local public, and by civil servants; data on the perception of how each project was initiated, organized, who benefitted, and what its future implications are.

These types of data will require field work involving both documentary research at the relevant ministries of the central government and in local government authorities, and informal, open-ended interviews with local political leaders, elected representatives and other local leaders whom we had previously interviewed in a structured, systematic manner.

Grant Organization and Timetable

We propose to undertake the research outlined above beginning in the fall semester, 1977. During that term, Professors Barkan and Kim, as principal investigators for the new project, will contact their collaborators in the host countries. They will also seek the collaboration of an additional American scholar specializing in rural development with the aim of getting additional advice on sources of data and suitable indicators for the measurement of rural development projects.

At the end of the fall semester, Professors Barkan and Kim will make a trip to their research sites to discuss details of the research organization with their collaborators in the host countries, and to recruit student assistants. They will devote the spring term, 1978, to further analysis of existing data at the University of Iowa.

The gathering of additional data in the field will begin in the summer of 1978. Professors Barkan and Kim will direct this work personally. We expect that its completion will require three to six months. This work will involve the evaluation of central and local government reports on the projects under investigation, extensive on-site observations of the projects, and open-ended interviews with the principal participants. Our principal respondents will be the local leaders and elected representatives we have previously identified in the localities in which we have worked, and a sample of active participants in the particular development projects being studied. Where necessary and appropriate, surveys of the general public will be undertaken to assess the impact of a given project on the rural poor. We do not, however, need to conduct systematic sample surveys

of the rural population as we did in 1974.

In the organization of this research project, we intend to reconstruct the research teams we employed during 1973-75. We shall again seek the collaboration of Professor Seong-Tong Pai of Seoul National University, Professor Ilter Turan of the University of Istanbul, and Professor John J. Okumu of the University of Khartoum. Similarly, we contemplate directing the field research from the same academic research organizations we previously used: Seoul National University, the University of Istanbul, and the Institute for Development Studies, University of Nairobi. As before we will train students from these institutions to serve as interviewers.

The analysis of the open-ended interviews and of documentation on rural development projects will be a more time-consuming process than the analysis of closed interviews. It will require a high commitment of time from the principal investigators. We expect to hold a conference at the University of Iowa among all the principal participants in the research project during the spring, 1979, to evaluate the newly collected data. We expect to be able to write reports of the results during the summer, 1979 (see Figure 3).

IV. LINKAGES AND UTILIZATION

At the end of the grant period, the University of Iowa will be able to

- 1) advise the Agency on the design of small-scale rural projects to assist the rural poor;
- 2) provide guidelines for social soundness analysis of small-scale projects for the rural areas of LDCs;
- 3) consult with the Agency on the evaluation of rural projects; and
- 4) provide LDC governments

Figure 3

GRANT TIMETABLE

DATES	S I T E S			
	University of Iowa	Kenya	Korea	Turkey
Fall, 1977	Planning of rural development project Barkan, Kim			
Winter, 1977		Preparation of field research, rural development project; consultation at research sites Barkan/Okumu Kim/Pai Turan/Barkan/Kim		
Spring, 1978	Analysis of existing data Barkan, Kim		Preparation of field research Pai	Preparation of field research Turan
Summer, 1978		Field research on rural development projects Barkan/Okumu Kim/Pai Turan		
Fall, 1978	Data processing Barkan Kim	Completion of field research Okumu	Completion of field research Pai	Completion of field research Turan
Spring, 1979	Data analysis conference among all principal investigators at University of Iowa Barkan, Kim, Okumu, Pai, Turan			
Summer, 1979	Completion of rural development project Barkan Kim			

with specialists on rural development among their own citizens who have participated as collaborators in the Iowa projects.

In the proposed project, we will test a series of hypotheses concerning the political conditions of rural development which run counter to common assumptions concerning the influence of rural politics on project effectiveness. As a result, we will be able to assist the Agency in designing and evaluating such projects from the point of view of their political viability. The hypotheses we will test suggest that the patron-client relations existing in the local politics of most LDCs are not necessarily impediments to rural development but are aspects of the political structure which can be used to facilitate small-scale rural projects which will raise the standards of living of the rural population. As a result of our study, we expect to be able to pin-point the local leadership configurations and the relationships between local leaders and rural populations which are most conducive to successful development efforts. We believe that we will be able to perfect a methodology for identifying the political conditions for rural development, one which is transferable from the countries we have specialized in to other LDCs.

We propose to develop specific guidelines to assist administrators charged with selecting, evaluating and monitoring rural development projects, to assess these projects in terms of their social and political viability. The outcome of such projects is determined not only by the effectiveness with which they use scarce economic resources, but by the manner in which they engage the support of local leaders and rural populations, by their effect on social and economic equality, and by

their consequences for human rights. We plan to establish criteria by which the probable outcomes of projects in these social terms can be anticipated.

The study we propose will be undertaken by faculty at the University of Iowa, in collaboration with faculty at other American institutions and institutions in the host countries. We will build on the extensive contacts between the Comparative Legislative Research Center of the University of Iowa and other institutions with which we have worked. One major result of our collaborative study will be the existence of a network of competent scholars, both in this country and overseas, experienced in working together, sharing a common teaching and training experience, in close contact through the effective publications program developed by the Comparative Legislative Research Center. The expertise of this group of individuals will be available to other scholars, to the Agency, and to LDC governments for specific policy advice. The expertise developed as a consequence of this project will extend beyond the nationals of the countries involved, since the universities engaged in the project attract students from outside their own countries. For example, the teaching and research program in the Department of Political Science of the University of Istanbul, heavily affected by the participation of its faculty members and graduate students in our projects, attracts students throughout the Middle East for whom the University of Istanbul is the major institution of higher education in the region. The Institute for Development Studies is similarly a focal point for students and faculty in East and Central Africa; Seoul National University attracts students from other Asian countries. In this way, the capability developed among the participants

in our work is diffused widely. To the extent that the ability to assess rural development projects in terms of their social soundness is increased both in the United States and in countries receiving development assistance, the capacity of recipient countries to absorb aid is increased.

We propose to draw up an inventory of personnel available in the United States and in other countries who are able to consult with development administrators on the design of rural development projects and on their evaluation. We will draw first of all on individuals who have been directly associated with our work in the past or on the proposed project, and extend the list to include graduate students and government officials with whom these individuals have worked.

We will utilize the existing publication program of the Center, described above, to disseminate our findings. The Center has specialized mailing lists of interested individuals and institutions in all parts of the world and its reports can therefore reach the most relevant audience directly and regularly.

BEST AVAILABLE DOCUMENT

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X - AID-914-13
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CONTRACT/GRANT/COOPERATIVE AGREEMENT DATA SHEET

SER/CM/SD/SUP Action Monitor MVS

SER/CM/SD/SUP Action Office COD/OTR

INSTRUCTIONS: AID/W - Complete 4 copies of the form. Original SER/CM/SD/SUP Statistical Section Copy; Copy 2 SER/CM/SD/SUP Administrative Copy; Copy 3 Contracting Officer's Copy; Copy 4 SER/CM/SD/SUP Admin. (Suspense) Copy. Missions - Complete 2 copies of the form. Original SER/CM/SD/SUP Statistical Section Copy, and Copy 2 will be retained in the Missions.

PART IA.

Contractor/Grantee Name

University of Iowa

PIO/T Number 930-0090-3013411 A#5	Appropriation Number 72-1111021.6	Allotment Number 146-30-099-00-20-11	Project Number 930-0090
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Project Title

Social and Political Aspects of Development - Conference to Report Research Findings

Amount of this PIO/T \$10,397 (increase)	Project Manager's Name and Office Symbol P DPR/CP: Jonathan Silverstone	Contractor's D-U-N-S Number
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Negotiator's Typed Name A.G. Hoppel	Signature A.G. H.	Date 4-8-81
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Contract/Grant Officer's Typed Name J.E. Stauffer K.R. Bluteau	Signature K.R. Bluteau	Date 4-8-81
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PART IB.

Contract/Grant Number AID/CSD-3294	Type Order n/a	Order Number n/a	Amendment/Modification Number #5	Date PIO/T Received by CM/SD, SUP or Mission Contract Office 3/20/81
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PART II.

Effective Date of Document 4-15-81	Signature Date of Document 4-8-81	Estimated Completion Date 12-31-81	Contract/Grant funded through (date) 12-31-81
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Host Country Institution (University contract ONLY) n/a	Campus Coordinator (University contract ONLY) n/a	Amount Obligated/Deobligated/Subobligated by this Action \$10,397	Cumulative Obligation thru this Action \$475,397
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PART III.

Description of Contract/Grant: Please 'X' ONLY ONE item under each heading. IF OTHER, please specify. (Complete both pages 1 and 2). NOTE: Not to be completed for Amendment or Modification Actions.

Req. for Validation 4/9/81

M03 - TYPE ACTION

Amend. No. 5

- 0. Contract/Grant/Cooperative Agreement
- 1. Task Order (BOA)*
- 2. Work Order (IOC)*
- 3. Delivery Order (Requirements)*
- 4. Purchase Order

*If 1, 2, or 3 have an 'X', complete M12 ONLY.

M04 - CONTRACT/GRANT TYPE

- 0. MOA, (BOA, BMA, etc.)
- 1. Fixed Price (Specify: FFP, FPRD, FPEPA, FPI) _____
- 2. Cost Reimbursement (Specify: CR, CPFF, CS, CPAF, CPIF) _____
- 3. Cooperative Agreement
- 4. Grant - General Support*
- 5. Grant - Specific Support*
- 6. Grant - 211(d)*
- 7. Do Not Use
- 8. IQCs
- 9. Host Country Contract/Grant*

*Complete ONLY through M51.

M05 - SELECTION PROCEDURES

- A. Formally advertised (IFB) (AIDPR 7-2.4 & FPR 1-2.4)
- B. Negotiated Price Competition, General Procedure (RFP) (AIDPR 7-4.56)
- C. A & E (AIDPR 7-4.10)
- D. Ed. Inst. and/or Int'l Research (AIDPR 7-4.57)
- E. Collaborative Assistance (AIDPR 7-4.58)
- F. Predominant Capability (AIDPR 7-3.101-50(b)(3))

- G. Unsolicited Proposal (AIDPR 7-3.101-50(b)(6))
- H. Procurement to be Performed by the Contractor in Person (AIDPR 7-3.101-50(b)(1))
- I. Sole Source (AIDPR 7-3.101-50(b)(4))
- J. Impairment of Foreign Policy Objectives (AIDPR 7-3.101-50(b)(7))
- K. 8(a) Selection (FPR 1-1.713-1)
- L. Grant (Handbook 13)
- M. Do Not Use
- N. Cooperative Agreement (Handbook 13)
- O. Small Business Set-Aside (FPR 1-1.706-8)
- P. Overseas Procuring Activities (AIDPR 7-3.101-50(b)(2))

M06 - TYPE SERVICE

- A. Training of Participants
- B. Technical Assistance (Program, Project related except A & E Services)
- C. A & E Services
- D. Construction
- E. Research
- F. Technical Services to AID (other than training; usually operating expense)
- G. Training Service for AID
- H. Equipment, Materials, Supplies, Commodities
- I. Translation Service

M07 - TYPE CONTRACTOR/GRANTEE

- A. Firm - All profit-making firms (other than A & E)
- B. A & E Firms

- C. Individual (Non-personal service)
- D. Individual (Personal Service)
- E. University/Other Educational Institutions
- F. Non-Profit Organization, Institutions (other than Ed or PVO)
- G. Private Voluntary Organization (PVO)
- H. International Agricultural Research Organization
- I. Public International Organizations (UN Agencies, ICRC World Bank, etc.) (HB 13, Chapter 5)

M08 - TYPE AWARD

- A. SB Set-Aside - Awarded to Non-Minority
- B. SB Set-Aside - Awarded to Minority
- C. SB Not Set-Aside - Awarded to Non-Minority
- D. SB Not Set-Aside - Awarded to Minority
- E. 8(a) SBA Awarded to Non-Minority (Women-Owned, Veterans, etc.)
- F. 8(a) SBA Awarded to Minority
- G. Personal Service Contract - Non-Minority
- H. Personal Service Contract - Minority
- I. Individual Non-Personal Service Contract - Non-Minority
- J. Individual Non-Personal Service Contract - Minority
- K. Not Small Business (Univ., Non-Profit, Large Firms) Non-Minority
- L. Not Small Business (Univ., Non-Profit, Large Firms) Minority
- M. U.S. Government

STAT Section
MAY 6 1981
ENTERED

(Continued on Page 2)

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APR 29 1981

ORIGINAL

MODIFICATION OF GRANT

PAGE 1 of 2
A.H.

1. Amendment No. 5	2. Effective Date April 15, 1981	3. Grant No. AID/CSD-3294	4. Effective Date 8-11-71
5. GRANTEE (Name and Address) Professor Gerhard Loewenberg Comparative Legislative Research Center Dept. of Political Science University of Iowa Iowa City, Iowa 52240		6. Administered by - Office of Contract Management Central Operations Division OTR Branch Agency for International Development Washington, D. C. 20523	
7. PIO/T No. 930-0090-3013411 A#5 Appropriation No. 72-1111021.6 Allotment Symbol - 146-30-099-00-20-11 Amount Obligated by this Amendment - \$10,397		8. Previous PIO/Ts - 931-11-995-136 930-11-995-136-73-3078103	

9. The above numbered Grant is hereby modified as follows:

1. Amount obligated prior to this amendment	\$465,000
2. Amount obligated by this amendment	\$ 10,397
3. Total obligated amount (1 & 2)	\$475,397

Delete the amount "\$465,000" and substitute in lieu thereof the amount "\$475,397."

FUNDS AVAILABLE
Perkinson
 APR 13 1981
OK H/90
 Program Acctg. Division
 OFFICE OF FINANCIAL MANAGEMENT

10. This amendment is entered into pursuant to the authority of the Foreign Assistance Act of 1961, as amended. Except as herein provided, all terms and conditions of the grant referenced in Block #3 remain unchanged and in full force and effect.

11. Grantee is required to sign this document and return 1 original and six copies to issuing office.

12. GRANTEE
 THE UNIVERSITY OF IOWA
 By: *Ray B. Mosman*
 (Name typed or printed)
 RAY B. MOSMAN
 BUSINESS MANAGER &
 TREASURER
 Title _____
 Date APR 22 1981

UNITED STATES OF AMERICA
 AGENCY FOR INTERNATIONAL DEVELOPMENT
 By: *K. R. Bluteau*
 K. R. Bluteau
 (Name typed or printed)
 Title Grant Officer
 Date 9 APR 1981

ORIGINAL

AID funds in the amount of \$10,397 are hereby provided for the activities which are described in your proposal (including Budget Summary) entitled "Conference to Report Research Findings on the Study of Political Conditions for Effective Small-Scale Rural Assistance Projects in Kenya, Korea and Turkey" dated February 17, 1981 and made a part of the Grant by reference.

BUDGET SUMMARY

<u>Line Item</u>	<u>Estimated Costs</u>
Travel	\$ 5,888
Per Diem	5,100
Other Direct Costs	<u>2,500</u>
	\$13,488
Less existing 211(d) grant funds	<u>3,091</u>
Total Amount Obligated by this Amendment	<u>\$10,397</u>

Note: Indirect costs of \$3,950.86 associated with these activities will be contributed by the University of Iowa.

BEST AVAILABLE DOCUMENT

ORIGINAL

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CONTRACT/GRANT/COOPERATIVE AGREEMENT DATA SHEET

SER/CM/SD/SUP Action Monitor

SER/CM/SD/SUP Action Office

INSTRUCTIONS: AID/W - Complete 4 copies of the form. Original SER/CM/SD/SUP Statistical Section Copy; Copy 2 SER/CM/SD/SUP Administrative Cop; Copy 3 Contracting Officer's Copy; Copy 4 SER/CM/SD/SUP Admin. (Suspense) Copy.
Missions - Complete 2 copies of the form, Original SER/CM/SD/SUP Statistical Section Copy, and Copy 2 will be retained in the Missions.

PART IA.

Contractor/Grantee Name <i>Univ. of Iowa</i>			
PIO/T Number <i>n/a</i>	Appropriation Number <i>n/a</i>	Allotment Number <i>n/a</i>	Project Number
Project Title <i>Comparative Legislative Studies</i>			
Amount of this PIO/T <i>- 0 -</i>	Project Manager's Name and Office Symbol <i>J. Silverstone, PPC/PDPR</i>		Contractor's D-U-N-S Number
Negotiator's Typed Name <i>A. G. Hoppel</i>	Signature <i>A. G. Hoppel</i>		Date <i>12-15-80</i>
Contract/Grant Officer's Typed Name <i>L. E. Stanfield</i>	Signature <i>[Signature]</i>		Date <i>12-15-80</i>

PART IB.

Contract/Grant Number <i>AID/csd-3294</i>	Type Order <i>n/a</i>	Order Number <i>n/a</i>	Amendment/Modification Number <i>#4</i>	Date PIO/T Received by CM/SD/SU or Mission Contract Office <i>n/a</i>
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PART II.

Effective Date of Document <i>12-2-80</i>	Signature Date of Document <i>12-2-80</i>	Estimated Completion Date <i>12-31-81</i>	Contract/Grant funded through (date) <i>12-31-81</i>
Host Country Institution (University contract ONLY) <i>n/a</i>	Campus Coordinator (University contract ONLY) <i>n/a</i>	Amount Obligated/Deobligated/Subobligated by this Action <i>- 0 -</i>	Cumulative Obligation thru this Action <i>- 0 -</i>

PART III.

Description of Contract/Grant: Please 'X' ONLY ONE item under each heading. IF OTHER, please specify. (Complete both pages 1 and 2). NOTE: Not to be completed for Amendment or Modification Actions.

M03 - TYPE ACTION

- 0. Contract (Grant/Cooperative Agreement)
- 1. Task Order (BOA)*
- 2. Work Order (IQC)*
- 3. Delivery Order (Requirements)*
- 4. Purchase Order

*If 1, 2, or 3 have an 'X', complete M12 ONLY.

M04 - CONTRACT/GRANT TYPE

- 0. MOA, (BOA, BMA, etc.)
- 1. Fixed Price (Specify: FFP, FPRD, FPEPA, FPI) _____
- 2. Cost Reimbursement (Specify: CR, CPFF, CS, CPAF, CPIF) _____
- 3. Cooperative Agreement
- 4. Grant - General Support*
- 5. Grant - Specific Support*
- 6. Grant - 211(d)*
- 7. Do Not Use
- 8. IQCs
- 9. Host Country Contract/Grant*

*Complete ONLY through M51.

M05 - SELECTION PROCEDURES

- A. Formally advertised (IFB) (AIDPR 7-2.4 & FPR 1-2.4)
- B. Negotiated Price Competition, General Procedure (RFP) (AIDPR 7-4.56)
- C. A & E (AIDPR 7-4.10)
- D. Ed. Inst. and/or Int'l Research (AIDPR 7-4.57)
- E. Collaborative Assistance (AIDPR 7-4.58)
- F. Predominant Capability (AIDPR 7-3.101-50(b)(3))

- G. Unsolicited Proposal (AIDPR 7-3.101-50(b)(6))
- H. Procurement to be Performed by the Contractor in Person (AIDPR 7-3.101-50(b)(1))
- I. Sole Source (AIDPR 7-3.101-50(b)(4))
- J. Impairment of Foreign Policy Objectives (AIDPR 7-3.101-50(b)(7))
- K. 8(a) Selection (FPR 1-1.713-1)
- L. Grant (Handbook 13)
- M. Do Not Use
- N. Cooperative Agreement (Handbook 13)
- O. Small Business Set-Aside (FPR 1-1.706-8)
- P. Overseas Procuring Activities (AIDPR 7-3.101-50(b)(2))

M06 - TYPE SERVICE

- A. Training of Participants
- B. Technical Assistance (Program, Project related except A & E Services)
- C. A & E Services
- D. Construction
- E. Research
- F. Technical Services to AID (other than training; usually operating expense)
- G. Training Service for AID
- H. Equipment, Materials, Supplies, Commodities
- I. Translation Service

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- D. Individual (Personal Service)
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- M. U.S. Government

(Continued on Page 2)

[Handwritten Signature]

JAN 2 1981

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ORIGINAL

MODIFICATION OF GRANT

PAGE 1 of 1
A.H.

1. Amendment No. 4	2. Effective Date 12-2-80	3. Grant No. AID/csd-3294	4. Effective Date 8-11-71
5. GRANTEE (Name and Address) Professor Gerhard Loewenberg Comparative Legislative Research Center Department of Political Science The University of Iowa Iowa City, Iowa 52240		5. Administered by - Office of Contract Management Central Operations Division OTR Branch Agency for International Development Washington, D.C. 20523	
7. PIO/T No. N/A Appropriation No. 72-11X1026 Allotment Symbol - 426-30-099-00-34-71 Amount obligated by this Amendment-0-		8. Previous PIO/Ts - 931-11-995-136 930-11-995-136-73-3078103	

9. The above numbered Grant is hereby modified as follows:

Supplement to Grant

Change the duration period sentence to read:

"The Duration Period for this Grant shall be August 11, 1971 through December 31, 1981

- 1. Amount obligated prior to this amendment \$465,000
- 2. Amount obligated by this amendment -0-
- 3. Total obligated amount (1&2) \$465,000

10. This amendment is entered into pursuant to the authority of the Foreign Assistance Act of 1961, as amended. Except as herein provided, all terms and conditions of the grant referenced in Block #3 remain unchanged and in full force and effect.

11. original and six
Grantee is required to sign this document and return 1 copies to issuing office.

12. GRANTEE

By: Gerhard Loewenberg
Gerhard Loewenberg
(Name typed or printed)

Title Director, Comparative Legislative Research Center

Date 12/8/80

UNITED STATES OF AMERICA
AGENCY FOR INTERNATIONAL DEVELOPMENT

By: L. F. Stanfield
L. F. Stanfield
(Name typed or printed)

Title Grant Officer

Date 12-2-80

THE UNIVERSITY OF IOWA
Ray B. Mossman
BUSINESS MANAGER & TREASURER

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