

UNCLASSIFIED



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**AGENCY FOR
INTERNATIONAL
DEVELOPMENT**

ANNUAL BUDGET SUBMISSION FY 1979

**TECHNICAL ASSISTANCE BUREAU
OFFICE OF URBAN DEVELOPMENT**

**DEPARTMENT
OF
STATE**



MAY 1977

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ANNUAL BUDGET SUBMISSION, FY 1978 AND FY 1979,
OF THE OFFICE OF URBAN DEVELOPMENT (TA/UD)

SUMMARY

Within the context of Agency policies, program priorities, and budget allocations, urban development is one of a number of activities which are described collectively as Selected Development Activities. This category of activities represents 5.5% of the estimated development assistance budget for FY 1977 and 7.6% of the proposed budget for FY 1978. Of those totals, the urban development component is approximately 2% for each fiscal year; in other words, nearly two-tenths of one percent of each of the overall development assistance budgets.

The Office of Urban Development (TA/UD) has a primary responsibility for urban development in the Agency. It functions within TAB's mandate of assisting the Agency with ongoing programs (the technical support role) and with developing and gaining access to new knowledge and skills (the technical leadership role). It helps the Agency (a) identify, understand, and address problems and opportunities in the urban and regional aspects of development, their relationship to rural development, and their role in overall national development, and (b) identify and make available appropriate knowledge, skilled personnel, and other resources to assist the Agency in the foregoing.

Policies

TA/UD's program is based on two Agency Policy Determinations -- namely, FD-54, "Guidance Statement on Urban Development" of June 15, 1973, and FD-67, "Urbanization and the Urban Poor" of May 27, 1976. They note the Agency's continuing interest in such broad developmental issues as the process of rapid urbanization, regional development, and the problems of the urban poor. These issues are to be addressed in the light of host country situations. Existing Agency programs which benefit the urban poor -- e.g., PL 480, health, population, HIG, PVOs -- are to be exploited further, while new activities of a research and development and pilot demonstration nature will be concerned with employment generation, especially in the informal sector, improved urban planning and analysis, and the impact and distribution of social welfare programs and services.

From its inception TA/UD has defined urban development as including the following: (a) the functioning of the urban place per se, (b) the role of the urban place in and its linkages to the surrounding region (or hinterland), and (c) the role of the urban place and its relationships in the national economy. The initial thrust of TA/UD's program has emphasized the role of the urban place in its regional context, in keeping with the Agency's predominant emphasis on the rural aspects of development.

Strategies

The low priority and the consequent limited resources given to urban development in Agency programming have suggested a selective program which is essentially probing and informing in design. It seeks to increase Agency and host country competence to deal with the problems and opportunities of rapid urban growth and development. As a rule TA/UD projects are designed to address generic problems which have manifestations in many developing countries. Solution-seeking ideas, approaches, and techniques are sought and are tested in at least one location in each of the Agency's geographic regions. The results of these efforts are evaluated and synthesized and are made available to host governments, other donor agencies, and interested individuals and organizations. Thus, TA/UD projects serve multiple purposes, including assistance with a problem in a particular place, increasing Agency and host country experience and competence in the areas pursued, and contributing to the state-of-the-art.

TA/UD's program consists of technical support and research and development activities. The technical support activities are in response to Agency policies and to increasing requests from central and regional bureaus and field missions. Included is assistance with field mission-initiated country analyses and project design and implementation. The research and development activities are centrally funded and include also pilot demonstration projects. There is heavy emphasis on field application and on host government and field mission collaboration in these activities, and wherever possible they are integrated with field mission projects. In collaborating with field missions and host governments on these projects, TA/UD considers the Project Agreement to be the key implementing document and prefers to have it signed by the field mission involved. Thereafter, the project is managed jointly by TA/UD and that field mission.

Activity Clusters

The program of TA/UD is divided into four interrelated activity clusters. In order of priority, they are regional development, employment and productivity, urban finance and management, and urbanization problems in national development. There is also a non-cluster component which consists of program development and support activities.

The Regional Development activity cluster, as was noted earlier, has had priority in TA/UD's program. This is a result not only of the definition of urban development as being concerned with the functional linkages of the urban place to its surrounding region, but also of the Agency's primary focus on rural development. Equally important is the fact that host governments are concerned with growth poles and similar concepts, and have translated them into regional development, decentralization, the development of backward regions, and other manifestations in their five-year national development plans. There is a further reason for giving high priority to Regional Development in TA/UD's program. In the recent Agency exercise to determine interregional R&D priorities in urban development, Regional Development was ranked a close second to the top priority, Employment and Productivity.

The Employment and Productivity activity cluster is second in TA/UD's list of program priorities. The development of this activity cluster has been constrained by the lack of staff; that situation, however, is expected to be remedied by summer. The importance of this activity cluster has been recognized in the current foreign aid legislation's expressed concern for equity and for increasing job and income-producing opportunities. It has been underscored recently by the response from field missions who felt that R&D activities in this subject matter area should have top priority. This gives further impetus to the current development of a major initiative in this area.

The third activity cluster, Urban Finance and Management, seeks to be responsive to Agency concerns about equity and about increasing the participation of more people in the management and benefits of development. In contrast to the Regional Development activity cluster which focusses on the functional linkages of the urban place with its surrounding region, this activity cluster deals with the functioning of the urban place per se. The emphasis is on the provision of essential services for the urban poor and on their participation in the provision, management, maintenance, and

benefit of those services. While fewer Agency respondents considered this activity cluster to have much priority, they singled out "access to services" as being worthy of special mention. The further development of this activity cluster, as with the previous one, requires additional staff, who is expected during the summer.

The final activity cluster is Urbanization Problems in National Development. This addresses the third part of TA/UD's definition of urban development -- namely, the role and relationships of the urban place in the national economy. This has not been an operational part of TA/UD's program. The concern is with those urban problems and solutions which affect not only specific urban areas and their surrounding regions but also the entire national economy or system. Of particular concern are population issues, such as migration and differential fertility patterns, and energy and environmental issues. While some of these issues were felt to be urgent and important in the Agency's interregional R&D priority exercise, the activity cluster per se did not appear in the airgram circular.

The non-cluster activities include the provision of additional resources which can be responsive to Agency (especially field mission and regional bureau) requests for assistance with aspects of urban development which are not contained in the foregoing activity clusters. Included also are workshops, seminars, conferences, and other means of disseminating the results of and information from TA/UD's R&D probes, pilot demonstration projects, and other activities.

Country-financed Services

As a part of its technical support role, TA/UD has assisted with the Agency's program of country-financed and reimbursable technical assistance services. This involvement to date has been sporadic and not very demanding. However, were the Agency to give greater attention to this program and to adopt an explicit policy of assisting the so-called middle-income countries (MICs), there is considerable reason to expect that requests for assistance with the urban aspects of development would increase. It is an axiom that there is a close correlation between development and urbanization ; thus, MICs would seem to be highly probable candidates for assistance with the results of rapid urban growth and of growing disparities in those countries.

The demand for such technical assistance is not likely to be a ground swell, however great is the need. As with individuals, so it is that host governments seek assistance where they perceive there is receptivity, interest, and potential or demonstrated capacity to deliver. The Agency's expressed priorities have been in other areas than in urban development, and, therefore, host governments have not been inclined to seek assistance from A.I.D. with their urban problems. When it is known to them that A.I.D. will entertain such requests and has demonstrated capacity to deliver, then the demand is likely to increase sharply. Meanwhile, it is difficult to assess the extent of the possible demand.

The potential nature of the demand is considered in some detail later in this submission. However, the kinds of problems to be addressed are not expected to be very different from those in less developed countries. The difference will be primarily in the greater potential ability of the MICs to do something about their urban problems and opportunities, in terms of the availability of more trained personnel, financial resources, institutional development, awareness, political will, and absorptive capacity, among other things. More advanced techniques -- e.g., computer and data-rich urban systems models for planning -- may be more usable in the MICs than in other developing countries. Even so, there are few "shelf items" awaiting use.

Any involvement of TA/UD in providing technical support for country-financed and reimbursable technical assistance services beyond an occasional, ad hoc, short-term effort would require additional resources probably quite similar in kind to those being used in the existing TA/UD program.

Resources

To develop and manage these activity clusters and other activities, TA/UD has a five-member staff consisting of four direct-hire and one IPA employees. There are three urban specialists, a secretary-stenographer, and a clerk-stenographer. The Director, his Deputy, and the two secretaries are direct-hire employees; the Urban and Regional Planner is an appointee under the Intergovernmental Personnel Act (IPA). Two additional, direct-hire positions for urban specialists are in the current personnel ceiling. One is filled and the other is about to be filled; both staff members are expected to be on board by this summer. The IPA appointee is scheduled to return to his university at the end of this summer; another specialist is being recruited as an IPA appointee to fill this forthcoming vacancy.

The current year (FY 1977) budget for TA/UD is \$1.579 million. The proposed budget for FY 1978 is \$1.715 million and the requested budget for FY 1979 is \$2.2 million. The latter amounts to \$1.4 million for the minimum decision package, \$1.85 million for the current decision package, and \$2.2 million for the proposed decision package.

To be involved meaningfully in urban and regional development requires a staff with a certain range of experience and subject matter expertise. TA/UD's experience and its assessment of the problems and opportunities which are appropriate for this Agency to address within its policy and program priorities have helped to determine the size and capabilities required of an urban development staff. Thus, a multidisciplinary staff has been assembled which can provide the expected technical support and leadership in urban and regional development.

This seven-member workforce will be needed to carry out the proposed program for FY 1978 and will require the addition of about eleven workmonths of assistance from outside specialists. In FY 1979 at the level of the minimum decision package, which represents the elimination of two major projects in the Regional Development cluster and a small project in the Urban Finance and Management cluster, fifty fewer workdays of service from outside specialists will be required. In the current decision package, the small project in the Urban Finance and Management cluster, one project in the Regional Development cluster, and twenty-five workdays of service from outside specialists will be restored. Finally, the proposed decision package will continue an additional project in the Regional Development cluster and a total of twelve workmonths of service from outside specialists.

This allocation of workforce resources calls for one direct-hire or IPA specialist to have primary responsibility for one activity cluster with technical support from outside specialists as required. Provision has been made for comparatively less use of specialists in the Regional Development activity cluster because the state-of-the-art and the projects in the cluster are more developed.

A great deal of design and development work will be required to implement the proposed pioneering efforts in the other activity clusters. None of these clusters has had the fulltime attention of a staff member, and by the beginning of FY 1978 three of these clusters will be managed by three new staff members. Knowledge is limited in the Agency and in most countries about the difficult areas which are to be explored. There is need to know better the state-of-the-art and to mine whatever talent exists. Since few urban and regional development specialists are available elsewhere in the Agency, the task of managing these projects also will be greater, particularly in the least developed countries and where collaboration across traditional programming sectors will be required.

Beyond the needs of the current and proposed projects is the need for assistance to replenish the resources of the Office, help renew staff members, and revise program strategies and content to meet changing conditions and new demands.

Project development and management are expected to consume 50% of the workdays of the regular staff in FY 1978 and 49% in FY 1979. In those years 18% and 24%, respectively, has been allocated for technical support to field missions and regional bureaus. These will be the two major activities of direct-hire and IPA staff members. Planning and strategizing will consume 13% of the staff's time in FY 1978 and 11% in FY 1979, while administration and supervision will take 12.5% and 9% in those years, respectively. The rest of the staff time, 6% and 7% in the corresponding fiscal years, will be used to maintain liaison with international agencies and professional organizations.

The services of outside specialists in FY 1978 have been allocated to planning and strategizing (59%), project development (29%), and technical support of field missions and regional bureaus (12%). In FY 1979, the proposed corresponding figures are 19% for planning and strategizing, 46% for project development, and 35% for technical support to field missions and regional bureaus. The FY 1979 figures are based on the proposed decision package. In the current decision package,

the figures would be 21% for planning and strategizing, 40% for project development, and 39% for technical support to field missions and regional bureaus. Corresponding figures in the minimum decision package would be 23%, 33%, and 44%, respectively. The comparison of these figures in the three decision packages indicates that the successive reductions in the services of outside specialists would be felt most severely in project development and management (from 46% proposed to 33% minimum), while the greatest gain would accrue to technical support activities (35% proposed to 44% minimum). Actually the absolute number of workdays of specialist services devoted to technical support to field missions and regional bureaus would remain constant in all three decision packages.

Not to be overlooked in consideration of TA/UD staff resources is the question of secretarial support. The two secretarial staff members already are carrying a workload which requires them to put in considerable overtime, despite the two vacancies on the staff. The secretary-stenographer, whose assignment is secretary to the Office Director, never has served that function exclusively. Until a year ago she was the only secretarial staff member in the Office, and she continues to provide assistance as required to all staff members, including also interns and graduate work-study students. With the scheduled arrival this summer of two new direct-hire specialists, there will be an increase in the administrative load of the secretary-stenographer, and enough new demand for secretarial services will be created to occupy fully an additional secretary. Since TA/UD has reached already the prescribed Agency ratio of one secretary for every two and one-half specialists, a new secretarial position was not included in Table V or in any other of the workforce elements in the tabular presentation. Nevertheless, additional secretarial support is an important management consideration which should be given careful attention.

Cooperation with Other Offices

Urban development is horizontal in nature and in scope; it cuts across familiar subject matter sectors and has an impact on them. Consequently, approaches to urban development problems and opportunities are necessarily multidisciplinary and multidimensional, taking into consideration also sectoral and other approaches to sectoral problems. This suggests the need for extensive cooperation, collaboration, and liaison with other units in TAB and in the Agency.

Throughout this submission there are references to this kind of activity in relation to the design, development, and implementation of R & D and pilot demonstration projects. All of TA/UD's projects are of interest to other units in the Agency and often are related to or complement projects and activities in those units.

As a result TA/UD has had liaison with TAB's Offices of Development Administration, Rural Development, and Science and Technology and with the Office of Engineering, Office of Labor Affairs, PPC's Office of Policy Development and Analysis, and PHA's Office of Private and Voluntary Cooperation on projects in all four of TA/UD's activity clusters and on a number of projects in those Offices.

TA/UD has collaborated with PHA's Office of Population and the Office of Housing in several ways. In both relationships there is a recognition of common interests and of the need and desire to collaborate. Collaborative efforts with the Office of Population have been in the joint development and implementation of research studies in migration and fertility. There also has been some participation in one another's special meetings and workshops.

There has been more extensive collaboration with the Office of Housing. Activities have included the sharing of resources, participation in each others seminars and workshops, joint participation in the design of field mission projects, and efforts to develop and implement centrally-funded field demonstration projects jointly.

Much more cooperation and collaboration will be required as the number and complexity of TA/UD's R & D and technical support activities increase, and will be possible when the full complement of staff members is available. FY 1978 could be a programming watershed in this respect.

Looking Ahead

TA/UD's program is small by design and is in keeping with current Agency program priorities. It is intended to be cognizant of, but not responsive in a major way, to developing country concerns about urban and regional development. Those concerns are to be found in the broad areas TA/UD has identified as its activity clusters. Much more can be done in each of these categories than the more selective approach suggested by TA/UD's program.

Many field missions are not yet ready to become even selectively involved in the urban aspects of development. Most of them still are wrestling with the problems of rural development, the Agency's top priority, and have yet to give serious attention to the new policy on urban development (PD-67) which is not quite a year old. In addition, the staffs of most field missions do not contain any urban specialists.

The reluctance was expressed in the number of replies in the recent Agency exercise to determine interregional R & D priorities which expressed an inability to consider such matters on anything but a regional, country, or goal specific basis. Caution was reflected in the frequency with which there were suggestions for compendia of experience, guidelines, and general state-of-the-art studies as being necessary aids to a consideration of what might be done.

At the same time, a number of field missions identified with many of the suggestions in the inquiry and seemed to welcome the program development opportunities represented by PD-67. Their priorities have been cited above; some efforts along these lines already are underway and more are being planned.

Were the Agency to make a larger response to the urban realities and trends in developing countries and give the urban aspects of development a higher priority in Agency programming, a greater response capability would be required. Current and planned probing and testing efforts are designed to contribute to Agency and developing country understanding and experience, ^{and} to increase competence. They are expected thereby to contribute to the stockpile of available resources. However, a much greater effort would be required, including an expansion of the workforce assigned to urban development, a reorientation of other aspects of the Agency's program, and a reallocation of existing resources.

A significant start could be made without addressing immediately the more difficult question of personnel ceilings. For example, urban development could be included in the areas of competence to be covered through Indefinite Quantity Contracts. The Agency's in-service training programs -- i.e., the Administrator's Development Seminar and the Development Studies Program -- could remove the negative connotation which is given to the urban aspects of development by providing some more positive orientation to these matters in their course offerings. The career development programs could offer opportunities for existing officers and other staff members to pursue courses of study in urban development. Participant training which, except in the Bureau for Africa, has been tied to specific projects in recent years, rather than being oriented to more general human resources development, could be used to increase the skilled workforce in host countries to work in urban development.

The matter of personnel with urban development expertise in the Agency would have to be addressed also if a larger program were to be mounted. In addition to revising existing training programs and opportunities (cited above), there is need to revise the Agency's static and outmoded personnel and position codes to reflect current realities in the development field. Among other things, such a revision would open the existing barriers in the recruitment of International Development Interns to the consideration of young professionals who are qualified in urban and regional development. It also would reveal and make better use of the urban and regional development expertise which current Agency employees possess.

As an initial step towards staffing for a larger program, there would need to be a fulltime urban and regional development specialist in each regional bureau. There is none now, representing a deterioration during the past five years. The position was eliminated in the Bureau for Africa; the division was abolished in the Bureau for Latin America; other duties have diminished the time spent on urban development by the specialist in the Bureau for Asia; and urban development is one of the several responsibilities of the specialist in the Bureau for the Near East. The recently increased activity of some field missions and others in urban and regional development indicates a need for an internal specialist in each regional bureau to help provide focus and direction and technical support.

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A second staffing priority would be a spatial planner for each field mission with a significant or substantial regional development program, be it urban or rural.

A larger Agency response to the urban dimensions of development in developing countries would require also the increased use of external resources. In some respects it would be more appropriate to say that the requirement would be helping to expand the reservoir of external resources. While a few individuals and still fewer institutions and organizations have addressed some of the challenges posed in the activity clusters cited above, their number is limited. Large international consulting firms have difficulties finding specialists with the necessary educational background and relevant work experience, and the growing demand will increase the shortage of skilled personnel.

Another consideration is the acceptability of specialists in host countries. Recipient expectations and requirements have escalated. The developing countries have become increasingly prescriptive in their requests for and selective in their acceptance of outside expertise. This also contributes to the dearth of resources, not only in terms of using what is available, but also in terms of providing the kind of overseas experience which young professionals require to become fully qualified.

This situation is not just a result of limited numbers and of acceptability; it is also a function of the state-of-the-art. For example, finding the resources to meet the increasing demand for more essential urban services is a universal problem which is made even more difficult of solution when the national resource base by definition is limited. There are few "answers" anywhere. When the effort is to structure urban places in order to make them more supportive of the surrounding rural regions or less consuming of limited national and natural resources, the state-of-the-art is considerably less well developed.

Thus, in order to be responsive, the Agency will need to consider ways of helping to improve the state-of-the-art and of increasing the number of skilled personnel. In the short term, the use of Indefinite Quantity Contracts and of small research grants to U.S. and developing country individuals and institutions can help relieve the situation and may suggest the kind of actions for the longer term.

With this kind of ordering and reordering within the Agency, augmented by external resources as required, a substantially larger response can be made to the problems and opportunities of rapid urban growth and development in developing countries.

TABLE V - FY 1979 PROPOSED PROGRAM RANKING			DECISION UNIT TA/UD	REVISED BY	CONSOLIDATED BY						
RANK	DECISION PACKAGES/PROGRAM ACTIVITY/SUPPORT ITEM DESCRIPTION	APPROPRIATION ACCT	CUMULATIVE MISSION OPERATING EXPENSES (000)	RESOURCE REQUIREMENTS				PROGRAM FUNDING (000)			
				WORKFORCE (DH ONLY)				INCREMENT	CUMULATIVE	INCREMENT	CUMULATIVE
				INCREMENT		CUMULATIVE					
US	FN	US	FN								
	<u>Decision Package - Minimum</u>	ST	N/A								
	Workforce			7	N/A	7	N/A				
1	1803 Regional Development	ST				7		700	700		
2	1801 Employment and Productivity	ST				7		200	900		
3	1802 Urban Finance and Management	ST				7		200	1,100		
4	1899 Urbanizations Problems in National Development	ST				7		300	1,400		
	<u>Decision Package - Current</u>	ST	N/A								
5	1803 Regional Development	ST				7		350	1,750		
6	1802 Urban Finance and Management	ST				7		100	1,850		
	<u>Decision Package - Proposed A</u>	ST	N/A								
7	1803 Regional Development	ST				7		350	2,200		

27-1-77 TA/UD

Technical Assistance Bureau Program Review

Priority _____

Office Summary of Proposed Obligations by Activity
(\$ in thousands)

Date _____

RBA #18 Title Urban Development

	Page in ABS	Des. Cat.	Obl. Stat.	RPA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru			
					Revised OYB	Work Days		Unliqui- dated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount		Work Days		
						Total	Consul- tants				Total	Consul- tants			Total	Consul- tants	
A. Planning and Strategizing						137	0				288	136		173	48		
B. Regional Review/Indian Support						128	0				233	28		163	90		
C. Project Development and Management						350	0				636	66		630	67		
D. Contacts with Other Organizations						43	-				71	-		79	-		
E. Administration and Supervision						112	-				143	-		108	-		
Total TA/UD						1,579	0				1,715	1,715	1,371	230	2,200	1,533	205

-) Project also has significant amount of research activity
-) Project also has significant amount of adaptation or application activity
-) Project also has significant field service element

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TA/UD

Office Summary of Proposed Obligations by Activity

Priority _____

Date _____

PBA #18 Title Urban Development

Office Summary of Proposed Obligations by Activity
(\$ in thousands)

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978		FY 1979			Project Service Apprv'd Thru			
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	C. P. Redist	Work Days			Reqst'd Amount	Work Days	
						Total	Consultants				Total	Consultants			Total	Consultants
A. Planning and Strategizing						137	0			288	136	173	48			
B. Regional Bureau/Mission Support						128	0			233	28	363	90			
C. Project Development and Management						350	0			636	66	655	92			
D. Contacts with Other Organizations						43	-			71	-	79	-			
E. Administration and Supervision						112	-			143	-	108	-			
Total TA/UD						1,579	770	0	1,715	1,715	1,371	230	1,850	1,378	230	

- (*) Project also has significant amount of research activity
- ***) Project also has significant amount of adaptation or application activity
- ***) Project also has significant field service element

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Office TA/UD

Office Summary of Proposed Obligations by Activity
(\$ in thousands)

Priority _____

NSA #18 Title Urban Development

Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revis or N PP D Mo/Y:		
					Revised OYR	Work Days		Unliqui- dated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount			Work Days	
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
A. Planning and Strategizing						137	0				288	136		173	48		
B. Regional Bureau/Mission Support						128	0				233	26		353	90		
C. Project Development and Management						350	0				636	66		680	117		
D. Contacts With Other Organizations						43	-				71	-		79	-		
E. Administration and Supervision						112	-				143	-		108	-		
Total TA/UD						1,579	170	0		1,715	1,715	1,371	230	2,200	1,498	255	

- a) Project also has significant amount of research activity
- b) Project also has significant amount of adaptation or application activity
- c) Project also has significant field service element

17

Office

Office Summary of Proposed Obligations by Cluster
(\$ in thousands)

Priority
Date

RDA #18 Title Urban Development

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Re on PF Mo	
					Revised O/B	Work Days		Unliqui- dated 9/30/77	C. P.	Work Days		Reqst'd Amount	Work Days				
						Total	Consul- tants			Total	Consul- tants		Total	Consul- tants			
REGIONAL DEVELOPMENT					1,039	398	0		200	200	386	20	700	350	5		
EMPLOYMENT AND PRODUCTIVITY					300	121	0		465	465	327	50	200	347	75		
URBAN FINANCE AND MANAGEMENT					0	81	0		300	550	362	100	200	288	25		
URBANIZATION IN NATIONAL DEVELOPMENT					-	59	0		-	-	157	60	300	198	100		
TOTAL FOR CLUSTERS					1,339	659	0		965	1,215	1,232	230	1,400	1,183	205		
NON-CLUSTER ACTIVITIES					240	111	-		750	500	139	-	-	170	-		
TOTAL TA/UD					1,579	770	0		1,715	1,715	1,371	230	1,400	1,353	205		

- (*) Project also has significant amount of research activity
- ** Project also has significant amount of adaptation or application activity
- ** Project also has significant field service element

18

Office TA/UD
 RDA#18 Title Urban Development

Technical Assistance Budget Review
 Office Summary of Proposed Obligations by Cluster
 (\$ in thousands)

Priority _____
 Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Rev or PP Mo/	
					Revised OYB	Work Days		Uniquet dated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount	Work Days			
						Total	Consul- tants				Total	Consul- tants		Total			Consul- tants
REGIONAL DEVELOPMENT					1,039	398	20		200	200	386	20	1,050	350	5		
EMPLOYMENT AND PRODUCTIVITY					100	121	0		465	465	527	30	200	147	75		
URBAN FINANCE AND MANAGEMENT					0	81	0		300	550	362	100	300	313	50		
ORGANIZATION IN NATIONAL DEVELOPMENT					-	59	0		-	-	157	60	300	198	100		
<u>TOTAL FOR CLUSTERS</u>					1,339	659	0		965	1,215	1,232	230	1,850	1,208	230		
NON-CLUSTER ACTIVITIES					240	111	-		750	500	139	-	-	170	-		
<u>TOTAL TA/UD</u>					1,579	770	0		1,715	1,715	1,371	230	1,850	1,378	230		

Project also has significant amount of research activity
 Project also has significant amount of adaptation or application activity
 Project also has significant field service element

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Office TA/UD

Office Summary of Proposed Obligations by Cluster
(\$ in thousands)

Priority, _____
Date _____

RDA #18 Title Urban Development

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Re or Pl M	
					Revised OYB	Work Days		Unliqui- dated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount	Work Days			
						Total	Consul- tants				Total	Consul- tants		Total			Consul- tants
REGIONAL DEVELOPMENT					1,039	398	0		200	200	386	20	1,400	375	30		
EMPLOYMENT AND PRODUCTIVITY					300	121	0		465	465	327	50	200	347	75		
URBAN FINANCE AND MANAGEMENT					0	81	0		300	550	362	100	300	313	50		
URBANIZATION IN NATIONAL DEVELOPMENT					-	59	0		-	-	157	60	300	198	100		
TOTAL FOR CLUSTERS					1,339	659	0		965	1,215	1,232	230	2,200	1,233	255		
NON-CLUSTER ACTIVITIES					240	111	-		750	500	139	-	-	170	-		
TOTAL TA/UD					1,579	770	0		1,715	1,715	1,371	230	2,200	1,403	255		

- (*) Project also has significant amount of research activity
- ***) Project also has significant amount of adaptation or application activity
- ***) Project also has significant field service element

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1. Regional Development

The spatial and locational dimensions of urban and rural development programs still are not well understood and efforts to incorporate them into contemporary programs are relatively new. However, recognition of their importance is growing and is intensifying the need to develop practical approaches and methods to meet rising demands and expectations.

The objectives of the Regional Development activity cluster remain unchanged -- namely, to help the Agency and host countries increase their understanding and competence to deal with urban and rural development issues in the context of regional development in the many instances in which this approach is appropriate. For example, one salient feature of the regional development context is that it facilitates the identification and location of specific target groups and the structuring of projects and programs which influence them directly.

Regional development is one of the more rapidly growing edges of the development field. The international development community and developing nations are becoming caught up in implementation of theories which have emerged over the past two decades. The greatest needs in this pursuit appear to be the adaptation and development of practical analytical and planning approaches and the evaluation of their results. Moreover, since regional development in and of itself is a neutral tool, careful attention must be given to adapting it specifically to the problems and needs of the poor majority. This latter is at the heart of TA/UD's efforts in this field.

TA/UD has produced a series of papers in this area which progressively have helped move us towards fulfillment of our objectives. These papers, all of which have evoked considerable demand, have become the bases for our projects. These projects have resulted in field level applications which now span some six AID countries with several other field applications imminent.

Ongoing projects address activity cluster objectives from several different perspectives. The Land Use Programming for Intermediate-Sized City project seeks to develop and demonstrate practical and adaptable approaches to planning and development in non-metropolitan cities and towns which are important focal points for regional and rural development and for national

decentralization efforts. Still more complementary to AID and LDC rural development objectives, TA/UD's Urban Functions in Rural Development project is designed to help strengthen the contribution of city- and town-based activities and services to rural development efforts within a given sub-national region. The project seeks specifically to accommodate a host of rural development needs through helping to strengthen urban-based, rural-oriented services and functions.

TA/UD perceived a need within Agency and LDC regional development efforts for analytical tools and approaches to support urban poverty programs, integrated urban-rural development, and to gain a more complete understanding of regional (sub-national) urban systems and their role in rural and national development. The Urban and Regional Analysis project, based on field application, testing, and refinement of TA/UD's "Guidelines for Urban and Regional Analysis," is designed to meet this need.

A new project is proposed for implementation in FY 1979 which will build on the experience gained in the foregoing projects. It will carry the concept of regional planning and urban functions in rural development closer to the individual farmer. This project, Structuring Urban Systems Through Farm Unit Demand, is based on the notion of modeling a regional urban structure or system through direct assessment of urban-based needs as seen by farmers extension workers, and others at the level of the farm unit. This project would be geared specifically for application in the poorest nations where regional urban systems still are in a relatively nascent stage.

Much of the work in this cluster contributes to and draws upon the interests and activities of TA/RD. The areas of complementarity are recognized and exploited by both Offices. For example, TA/RD tends to emphasize integrated service delivery in its area development project while TA/UD emphasizes spatial organization and location of urban-based rural development services and functions in several activities in its Regional Development activity cluster. Both Offices recognize the importance of the other's focus in the rural development context and note the complementarity in project documents. There is considerable conceptual cross-fertilization of ideas among project managers in the two Offices. One ramification of this is the potential sharing of technical resources which promises to be one highly effective means of building complementarity into the research and field programs of the two Offices.

There is similar potential in the activities of this cluster for use of information and techniques husbanded by the Office of Technology (TA/OST) -- e.g., remote sensing and other computer-oriented technologies. While direct applications have yet to be made, the two Offices continue to explore the possibilities actively.

Work within this activity cluster, given present objectives, and current and proposed projects, could be completed within the next five years. It is difficult to speculate on requirements in the more distant future since the results of contemporary efforts are yet to be evaluated. Rapidly evolving global resource constraints and interdependencies may suggest the need for a new generation of applied theory in the regional development field.

The entire activity cluster is of very high priority within TA/UD's overall program, and is the most active of the clusters. Rated a close second to the Employment and Productivity activity cluster, it is the most nearly related to the Agency's predominant concern with rural development.

"The Coming Surge in Regional Planning," an article by a noted development planner, discussed the mounting attention being given by the developing countries to the spatial aspects of development, as was noted above. Should the Agency respond with a significant commitment in this area, steps will have to be taken to augment internal and external technical resources. Some of these measures are outlined in the summary section (pages 10 - 13 above).

Through conducting project-related state-of-the-art and feasibility studies and through involvement in implementation and evaluation of field resources, university-based and other professionals already are being strengthened and prepared for further work in this field. This practice will be intensified in future project work. In addition, other measures to increase available technical resources in the areas covered by this cluster are being considered in connection with specific projects, as described, for example, in the PID on "Structuring Urban Systems through Farm Unit Demand."

It should be noted in this context that while regional planning and development are not widely practiced in the USA, American scholars are among the leading contributors to theory, synthesis, and analytical methodologies in this field. The U.S. strength in this subject matter will continue to shape the kinds of contributions TA/UD and the Agency make to it in the developing countries. However, more attention should be given to practical application of this expertise if the challenge is to be met fully.

Responsibility for management of the Regional Development activity cluster is the principal responsibility of the Urban and Regional Planner, presently an IPA position. However, it is considerably more than one individual, however competent, can manage. The fact that the incumbent is returning to his university after one year of service presents problems of continuity and of an additional recruitment burden. Considerable project management time on the part of the Director and his Deputy have been and will continue to be required in the implementation of this activity cluster.

Recruitment is underway to keep the IPA position filled. The time involved in recruiting and orienting this individual, the heavy workload in this activity cluster, and the high level of demand for TA/UD's services in regional development suggest strongly that the position should be converted from IPA to direct-hire. In fact, this position could be established as a Foreign Service position, since there are individuals within the Agency who have been trained in this field.

Office CA/MD
 Cluster No. 1801 Title Regional Development
 Activity Coordinator Michael McNulty

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related A-1
 Priority Base
 Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru			
					Revised O/YB	Work/Days		Unliqui- dated 9/30/77	C. P.	C. P. Redist	Work/Days		Reqst'd Amount		Work/Days		
						Total	Consul- tants				Total	Consul- tants			Total	Consul- tants	
A. Planning and Strategizing						44	0				33	6		30	3		
B. Regional Bureau/Mission Support						40	0				88	8		106	2		
C. Project Development and Management						280	0				228	6		185	0		
D. Contact with Other Organizations						4	-				5	-		9	-		
E. Administration and Supervision						30	-				32	-		20	-		
Cluster Total						1,039	398	0		200	200	386	20	700	350	5	

25

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

Office TA/UT
 Cluster No. 1803 - Title Regional Development
 Activity Coordinator Michael McNulty

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related A-1
 Priority 1
 Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Re- or PP Mo	
					Revised OYB	Work Days		Unliqui- dated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount	Work Days			
						Total	Consul- tants				Total	Consul- tants		Total			Consul- tants
A. Planning and Strategizing						44	0				33	6		30	3		
B. Regional Bureau/Mission Support						40	0				88	8		106	2		
C. Project Development and Management						280	0				228	6		185	0		
D. Contact with Other Organizations						4	-				5	-		9	-		
E. Administration and Supervision						30	-				32	-		20	-		
Cluster Total						1,039	398	0	200	200	386	20	1,050	350	5		

26

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

Office 1A/11
 Cluster No. 1303 Field Regional Development

Technical Assistance Bureau Program Review

Priority 2

Activity Coordinator Michael McNulty

Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Rev or PP No/		
					Revised OYs	Work Days		Unliqui- dated 9/30/77	C. F.	C.F. Redist	Work Esys		Reqst'd Amount			Work Days	
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
A. <u>Planning and Strategizing</u>						44	0				33	6		30	3		
B. <u>Regional Bureau/Mission Support</u>						40	0				88	8		119	13		
C. <u>Project Development and Management</u>						280	0				228	6		197	12		
D. <u>Contact with Other Organizations</u>						4	-				5	-		9	-		
E. <u>Administration and Supervision</u>						30	-				32	-		20	-		
Cluster Total						1,039	398	0	200	200	386	20	1,400	375	30		

27

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

PROJECT IDENTIFICATION DOCUMENT FACESHEET

TO BE COMPLETED BY ORIGINATING OFFICE

A = ADD
 C = CHANGE
 D = DELETE

PID

2. DOCUMENT CODE

3. COUNTRY/ENTITY
 TAB-Interregional

4. DOCUMENT REVISION NUMBER

5. PROJECT NUMBER (7 DIGITS) 931

6. BUREAU/OFFICE
 A. SYMBOL TA/UD B. CODE Q8

7. PROJECT TITLE (MAXIMUM 40 CHARACTERS)
 Structuring Urban Systems (through Farm Unit Demand)

8. PROPOSED NEXT DOCUMENT

A. 3 2 = PRP
 3 = PP

B. DATE MM YY 6 7 8

10. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 =)

FUNDING SOURCE		445529
A. AID APPROPRIATED		1,550
B. OTHER U.S.	1.	
	2.	
C. HOST COUNTRY		
D. OTHER DONOR(S)		
TOTAL		

9. ESTIMATED FY OF AUTHORIZATION OBLIGATION

a. INITIAL FY 7 9

b. FINAL FY 8 1

11. PROPOSED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. FIRST FY		LIFE OF PROJECT	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) SD	701	860		1,400		1,550	
(2)							
(3)							
(4)							
		TOTAL					

12. SECONDARY TECHNICAL CODES (maximum six codes of three positions each)

120 | 010 | 710

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH)

BU | BR | BL | BF | TNG

14. SECONDARY PURPOSE CODE
 200

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS)

Strengthen the contributions of city and town based activities and services to rural development in the least developed regions.

16. PROJECT PURPOSE (MAXIMUM 460 CHARACTERS)

To develop, apply, and disseminate an approach for strengthening urban functions in rural development based on an analytical process which begins at the level of the farm unit.

17. PLANNING RESOURCE REQUIREMENTS (staff/funds)

a) \$25,000 small research grant in FY 1978 (c) Consultants
 (b) Direct hire project manager

18. ORIGINAL OFFICE CLEARANCE

Signature: *William R. Miner*
 Title: Director, TA/UD

Date Signed: MM 5 98 YY 7 7

19. DATE DOCUMENT RECEIVED BY: AID/W, or for AID/W DOCUMENTS, DATE OF DISTRIBUTION

MM DD YY

PID

Structuring Urban Systems Through Farm Unit Demand

Background. TA/UD has initiated an adaptation and application project, Urban Functions in Rural Development. It is based on a small research study entitled Urban Functions in Rural Development: An Analysis of Integrated Spatial Development Policy. This project is designed to help strengthen the contribution of city- and town-based activities and services to rural development. The vehicle is spatial analysis and planning within a given sub-national region.

The focus of this project is on the supply side of the development equation; in this instance, the city- and town-based services and activities needed to support rural development plans and programs. It is intended to identify gaps in existing urban systems in this context and is most appropriate in regions in which reasonably well-developed systems of urban centers are in place and which are to be the target of concerted rural development activities.

The Urban Functions in Rural Development project is applicable in many of the regional or area-focused rural development programs in which the Agency and host countries currently are engaged. It is less applicable in regions which have a newly emerging urban system or structure and in which agricultural potential is yet to be exploited or developed in a concerted way. In such settings the urban structure required for rural development conforms less to existing models or norms of spatial organization than to simple patterns of reflecting largely the directly perceived needs of local farmers. This is the hypothesis on which the proposed project in this PID is based. It is, in effect, an extension of the concept of the Urban Functions in Rural Development project to the lesser developed regions in which the Agency increasingly is becoming involved. However, a different approach attuned more directly to the basic needs of the individual farm unit is required.

The Problem. The urban-based functions and activities needed for farm support are as critical in areas characterized by extreme underdevelopment as they are for more favorably endowed regions. However, the absorptive capacity of the severely underdeveloped regions is limited. They easily can be overloaded with urban-based or other improvements if great care is not taken in developing programming. On the other hand, these areas often find it difficult to attract or to generate development resources sufficient to meet even their basic needs. The problem becomes one of achieving an appropriate fit between resources and needs so that (a) basic requirements can be met with available resources, (b) no resources will be wasted on projects or activities that do not represent felt demands or needs in the region, and (c) basic needs and demands can be articulated so as to attract resources that otherwise might not be forthcoming.

Response. TA/UD is proposing an approach to urban functions in rural development which is tailored to conditions in impoverished or newly emerging development regions. This approach begins the analytical process essentially at the level of the farm unit; in other words, on the demand side of the urban functions in rural development equation. After a spatial overview of the region (including the potential influence area of existing centers) is defined, individual farmers, extension workers, and others who work at the level of the farm unit are queried to ascertain existing and prospective needs for urban-based services and identify constraints to farmer access to them. This analysis will require a combination of sensitivity, analytical and survey skills, and knowledge of the local area. Processing of these data to come up with a recommended plan or structure for introducing services at various levels of the urban hierarchy will require some innovative applications of locational analysis.

The products of such an approach, applied in specific field situations, are intended to be (a) a regional or area framework for structuring urban-based services or the local urban system per se to improve their support of farm improvement and rural development; (b) identification of specific projects to achieve this objective; (c) a local staff trained in the concepts and analytical planning methods of the project; and (d) an institutional base in the government for continuation of this mode of analysis and planning.

Taken collectively, it is intended that these field applications lead to development of a compendium of approaches and methodologies for analysis and planning of urban functions in rural development and a summary of the field applications -- preferably with representative cases from the least developed countries of Africa, Asia, Near East, and Latin America. This paper would become a companion piece for the final report of the Urban Functions in Rural Development project and would be shared widely with developing countries, field missions, and international development agencies with interests in rural and urban development.

The proposed Structuring Urban Systems project and the Urban Functions in Rural Development project are complementary to several TA/RD activities and will contribute to and draw upon them. The TA/RD Area Development, Rural Development Analysis, Rural Marketing Systems, Off-Farm Employment, and Rural Development Participation activities are cases in point. Some of the TA/RD program documents already mention this complementarity and it has been discussed mutually and at length by project managers in both Offices.

Another contribution to be made through this project will be identification and expansion of U.S. expertise to work in the conceptual and technical areas covered in the Structuring Urban Systems project. This concern will be addressed more fully in the Project Paper and will be explored specifically in project evaluations. One approach under consideration is the strengthening of the TA/RD resource networks by involving some of the people in field applications and evaluations and disseminating to and through them the methodologies developed in the TA/UD project. Other means of institutionalizing and expanding the expertise to be developed through this project are being explored.

Development of the Project. Project development is made easier by the fact that it is an outgrowth of the Urban Functions in Rural Development project described in the background section above and will follow nearly the same pattern.

During FY 1977 or early FY 1978 a small "front end" study will be produced that will add to the state-of-the-art assessment contained in the TA/UD report Urban Functions ... noted earlier. However, this paper, in keeping with the thrust of the proposed project, will focus on approaches dealing with the structuring of urban systems from the perspective of the farm unit. This brief study will be done as a small research activity and will add to the technical content of the Project Paper.

Meanwhile, TA/UD will be seeking prospective field situations which can constitute the specific regional applications of the project concept. Sudan, Nepal, Bangladesh, Paraguay, and Honduras are prospective candidate countries.

The Project Paper should be completed by June 1978, depending upon progress on the proposed small "front end" study. The first field application should be ready for implementation early in FY 1979 with subsequent sites planned for implementation later in that fiscal year. The evaluation of field results, synthesis and packaging of a final report should be completed by the end of CY 1981.

The project will be managed by TA/UD's Urban and Regional Planner with "start-up" and field implementation assistance from the Director and Deputy. Use of consultant and contractor time for implementation will be maximized in order to reduce TA/UD workload and to help develop skilled resources for the Agency in the mode of analysis being developed.

Financial Management and Plans. A small contract in the range of \$25,000 will be needed to do the "front end" study which is to be part of PP development. The project per se is estimated to require on the average of \$350,000 per field application (FY 1979) and \$150,000 for evaluation reviews and development and dissemination of the final report in FY 1981.

Total project costs, including the initial design work, are estimated at \$25,000 in FY 1978, \$1,400,000 in FY 1979 (assuming four field applications), and \$150,000 in FY 1981. Total costs: \$1,575,000.

Issues. No issues of a policy or programmatic nature are anticipated.

2. Employment and Productivity

There is general concern in AID that its programs and activities address the problems of income distribution and equity, among other things. In new activities focussed on the urban poor, specific priority has been given to employment and income-producing projects. These emphases in Agency programming derive from a recognition that everyone, and especially the poor majority, is not benefitting sufficiently or equitably from development and development assistance efforts, and that people must have the means if they are to improve the quality of their lives. A basic method of participating in and of benefitting from development and of acquiring the income which usually is needed to improve the quality of life is employment.

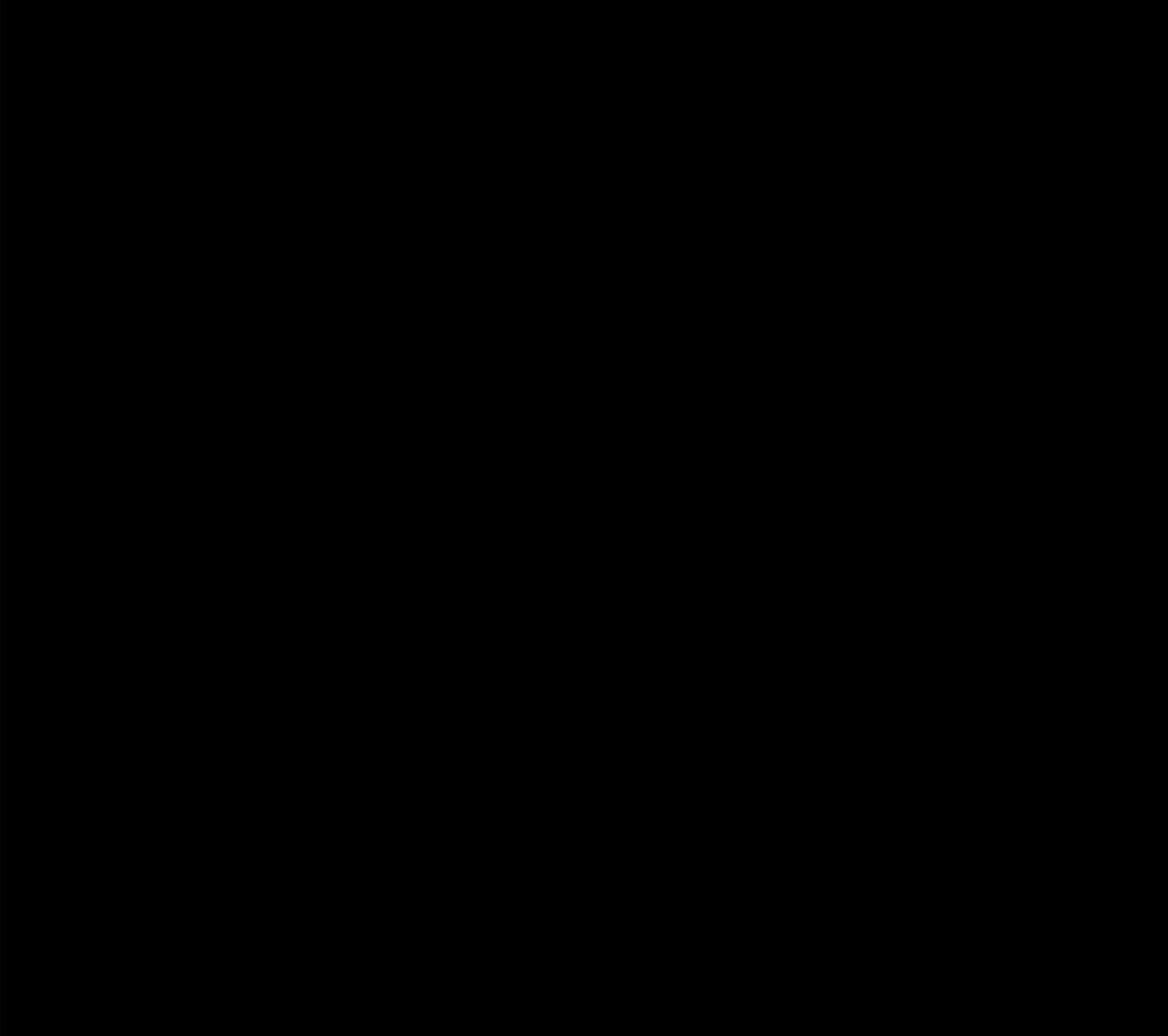
In most developing countries employment opportunities in the formal and industrial sectors of the economy are not keeping pace with demographic needs and rising expectations. This is particularly true in urban areas. On the other hand, many people lack the requisite training and skills in order to have access to those opportunities which do exist. Meanwhile, some are finding or are making opportunities in the small enterprise sector. Relatively little is known about the nature, role, and function of this sector and the extent to which it does or can be made to produce job opportunities and increased productivity for unskilled and semi-skilled laborers -- that is, for the urban poor.

The purpose of this activity cluster is to help define points of intervention and to design projects that increase income-producing opportunities for the urban poor.

Several activities have been completed already. TA/UD contracted for and has the results of two studies which are being used. A preliminary study, "Informal Small-Scale Enterprise Sector of the Economy: Problems and Suggested Approaches," outlined some of the considerations and dimensions of addressing this sector. The two-volume workbook, GUIDELINES FOR FORMULATING PROJECTS TO BENEFIT THE URBAN POOR, contains sections on how to address urban employment and productivity issues. A "brainstorming" workshop in April brought together outside specialists and Agency representatives to help the Agency think through what might be done appropriately and effectively. These efforts are expected to lead initially to activities of an exploratory or probing nature beginning late in FY 1977. A contract is proposed, within whose scope a number of required studies and analyses are to be made in an intensive and systematic approach to closing some of the knowledge gaps noted above and to developing potentially effective ideas for field application and demonstration in subsequent years.

There appears to be no label for the so-called small enterprise sector of the economy which characterizes it sufficiently. The more common terms, marginal, informal, small-scale, and so forth, are deficient or misleading in some essential manner and the few theoretical, structural models of it, generally speaking, have not been tested empirically. While the manifestations of the sector appear to be similar across disparate locations, the small enterprise sector probably functions in as many different ways as there are locations. In a similar manner the problems of the lack of employment and of income among the urban poor seem to be universal. However, the causes and, therefore, what might be done to address these problems vary according to historical, cultural, economic, and other factors.

It is for these reasons that the initial probes are expected to be country specific, making heavy use of individuals and institutions in each country, and to emphasize also cross-national and comparative research. Based on these findings in a number of places, we intend to develop a knowledge base and to



A goodly percentage of the people who will be affected by this project are likely to be women; they are heavily involved in the small enterprise sector in developing countries. Among other things, the project should develop ways of enhancing and supporting their enterprising and leadership abilities and of increasing their technical and managerial skills and the benefits derived from their labor. If it is true that income is associated negatively with fertility, then that and other related factors suggest that the more active involvement of women in the labor force would be associated with decreased fertility. The various impacts of employment in this sector on women also need to be explored.

A newly recruited staff member, whose estimated entry on duty date is July 1977, is expected to spend most of his time developing and managing this activity cluster. (What has been done to date is a function of the occasional efforts of staff members who had other primary responsibilities.) This will include not only managing the existing contract, but also working with field missions and central and regional bureaus in response to their already active interest in this area of activity. Field missions have given highest priority to this activity cluster.

Cluster No. 1801 Title Employment & Productivity
 Activity Coordinator William R. Miner

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related A-1
 Priority BASE
 Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Approved Thru	Rev or PP Mo/		
					Revised OYB	Work Days		Unliquit dated 9/30/77	C. P.	Work Days		Reqt'd Amount	Work Days				
						Total	Consul- tants			Total	Consul- tants		Total			Consul- tants	
A. Planning and Strategizing						27	0				54	20		37	10		
B. Regional Bureau/Mission Support						26	0				53	10		107	45		
C. Project Development and Management						39	0				179	20		178	20		
D. Coord. w/ Other Organizations						9	-				16	-		12	-		
E. Administration and Supervision						20	-				25	-		13	-		
Cluster Total						300	121	0			465	465		200	347	75	

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

Office 1801
 Cluster No. 1801 T.L.C. Employment & Productivity
 Activity Coordinator William R. Hines

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Priority 1
 Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revi or N PT D Ho/Y		
					Revised OYB	Work Days		Unliqui- dated 9/30/77	C. P.	C. P. Redist	Work Days		Reqst'd Amount			Work Days	
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
A. Planning and Strategizing						27	0				54	20		37	10		
B. Regional Agency/Field Support						26	0				50	10		107	45		
C. Project Development and Management						39	0				179	20		178	20		
D. Contact with Other Organizations						9	-				16	-		12	-		
E. Administration and Supervision						20	-				25	-		13	-		
Cluster Total						300	121	0		465	465	327	50	200	347	75	

37

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

Cluster No. 1301 Title Employment and Productivity
 Activity Coordinator William R. Miner

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Priority 2
 Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Thru	Revised P. No.		
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	C. P. Redist	Work Days		Reqst'd Amount			Work Days	
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
A. Planning and Strategizing						27	0				54	20		37	10		
B. Regional Bureau/Mission Support						26	0				53	10		177	45		
C. Project Development and Management						39	0				179	20		173	20		
D. Contact with Other Organizations						9	-				16	-		12	-		
E. Administration and Supervision						20	-				25	-		13	-		
Cluster Total						300	121	0			465	465	327	50	200	347	75

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

1. Urban Finance and Management

The unprecedented rate and scale of urban growth in developing countries has had a serious and generally negative impact on facilities and services. The existing ones either have been inundated or are not accessible to a growing majority of the residents in many cities. The cost of providing essential services has risen almost as rapidly as has the demand for them, while the resources needed to provide them and the means for getting those resources have not kept pace.

In addition to the sectoral issues (education, health, housing, nutrition, and population) involved in the foregoing, there also are the Agency's longstanding concern for civic participation (Title IX) and the more recently articulated concern for equity in development. The problems of providing equitably the kinds and amounts of services people need and are demanding increasingly are not confined to developing countries, as officials in crisis-stricken U.S. cities will attest. However, the resource base is much more limited in most developing countries than in the USA. The much-burdened property tax in American cities, for example, is not available in many cities in developing countries, nor is there already in place the basic water, sewer, transportation, and local governmental and other institutional infrastructure on which to build and expand. Laws and policies often do not encourage this kind of local development.

The purpose of this activity cluster is to develop appropriate ways and means of supporting essential services and developmental activities at the local level. It is related to one aspect of TA/UD's definition of urban development -- namely, the functioning of the urban place per se.

The planning and management of the provision of needed facilities and services entail the financial, technical, and administrative aspects, as well as the participation of the people in their support and utilization. Among the primary considerations are cost effectiveness and equity in the provisions of essential services, as well as what is politically feasible and culturally acceptable.

As with many aspects of urban development, so it is in the area of urban finance and management. There are few off-the-shelf "remedies" which are appropriate to the varied needs and circumstances in today's cities in developing countries; what is available and may be adaptable quite often has not been tried or, in fact, is unknown. Thus, an exploratory or probing posture seems appropriate, at least in the beginning, leading eventually to pilot demonstration projects.

In addition to the limited state-of-the-art, a low priority approach is suggested also by PD-67 which gives "the impact and distribution of social welfare programs and services" the least emphasis. A more limited effort in this activity cluster is appropriate also in light of the low priority given to it in the recent Agency exercise of ranking interregional R&D activities. Of the three suggested areas, the Urban Finance and Management activity cluster ranked the lowest consistently. Even so, a number of respondents singled out "access to services" as being a particular activity in the cluster which should be highlighted. This would seem to be responsive to the concern for equity noted above. In this same context, however, it is interesting to point out the fact that respondents generally ignored or rated low in priority "participation of the poor" which is an equally important emphasis in the foreign aid legislation and in Agency priorities.

Meanwhile, the yields from two studies for which TA/UD contracted provide useful guidance. The two-volume GUIDELINES workbook (cited above) contains sections on how to identify, design, and evaluate projects in water supply and sanitation, health services, education, housing, transportation, and management and finance which benefit the urban poor. Another study, PARTICIPATION, PLANNING, AND ADMINISTRATIVE DEVELOPMENT IN URBAN DEVELOPMENT PROGRAMS, looks at the issues concerned with administration, planning, and participation in urban development programs. It suggests ways of improving program design and implementation generally and especially participation at the interface of the local bureaucrat and the citizen.

One project, Integrated Programming for the Urban Poor, is expected to be underway by the end of FY 1977. The PID has been approved and the Project Paper is being reviewed. The project involves field application of the Guidelines cited above to integrated development approaches to urban poverty. Proposed field sites are in Indonesia, Peru, and Tunisia. The Tunisia project is expected to be complementary to and carried out collaboratively with SER's Office of Housing's expanded HG program which is targeted initially for a project area in Tunis.

Two projects, Urban Financial Management and Participatory Planning, are to be initiated in FY 1978 and will extend into FY 1979 and probably into FY 1980. The first project is concerned with developing culturally acceptable and politically feasible resource bases which can help meet in an equitable manner the increasing demand for essential services in developing countries. The second project focusses on the more effective involvement of the urban poor in the development and management of those services at the

local level and in civic affairs generally. These activities will be related and complementary to those which are being initiated in TAB's Office of Development Administration and of Rural Development and in SER's Office of Housing. As TA/UD and SER/H have used some of the same resources, thereby providing for cross-fertilization of ideas and for broadening and deepening competence in these matters, so too it may be advisable and possible for TA/UD to tap some of the resources which are identified by TA/DA for related activities in managing decentralization and the decentralized delivery of services and by TA/RD for its sizable project in the participation of the landless, women, and local organizations and institutions in rural development programs.

A newly recruited staff member, now scheduled to begin work in July, will have primary responsibility for the design and implementation of the two projects in FY 1978 and for developing this activity cluster. Without this staff resource, little more is likely than an occasional small research activity.

ce TA/UD
 iter No. 1802 Title Urban Finance & Management
 vity Coordinator Orba Traylor

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related A-1
 Priority BASE
 Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Revised or New PP Due Mo/Yr	
					Revised OYB	Work	Days	Unliquidated 9/30/77	C. P.	C. P. Redist	Work	Days	Reqst'd Amount	Work			Days
						Total	Consul-tants				Total	Consul-tants		Total			Consul-tants
Planning and Strategizing						45	0				121	60		32	5		
Regional Bureau/Mission Support						5	0				38	10		65	20		
Project Development and Management						8	0				159	30		160	0		
Contact with Other Organizations						8	-				19	-		18	-		
Administration and Supervision						15	-				25	-		13	-		
Cluster Total						150	0		300	550	362	100		200	288	25	

42

Project also has significant amount of research activity
 Project also has significant amount of adaptation or application activity
 Project also has significant field service element

Office FA/UD
 Project NO: 1802 TITLE Urban Finance & Management
 Activity Coordinator Orba Traylor

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related A-1
 Priority 1
 Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revised or New PP Due Mo/Yr		
					Revised OYB	Work	Days	Uniquet dated 9/30/77	C. P.	C.P. Redist	Work	Days	Reqst'd Amount			Work	Days
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
Planning and Strategizing						45	0				121	60		32	5		
Regional Bureau/Division Support						5	0				38	10		65	20		
Project Development and Management						8	0				159	30		185	25		
Contact with Other Organizations						8	-				19	-		18	-		
Administration and Supervision						15	-				25	-		13	-		
Cluster Total						150	81	0		300	550	362	100	300	313	50	

43

Project also has significant amount of research activity
 Project also has significant amount of adaptation or application activity
 Project also has significant field service element

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ter No. 1802 Title Urban Finance & Management
 vity Coordinator Orba Traylor

Technical Assistance Bureau Program Review

Office Summary of Proposed Obligations by Cluster & Activity
 (\$ in thousands)

Cluster Related

A-1

Priority 2

Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revised or New PP Due Mo/Yr		
					Revised OYB	Work	Days	Unliqui- dated 9/30/77	C. P.	C. P. Redist	Work	Days	Reqst'd Amount			Work	Days
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
Planning and Strategizing						45	0				121	60		32	5		
Regional Bureau/Division Support						5	0				38	10		65	20		
Project Development and Management						8	0				159	30		185	25		
Contact with Other Organizations						8	-				19	-		18	-		
Administration and Supervision						15	-				25	-		13	-		
Cluster Total						150	81	0		300	550	362	100	300	313	50	

object also has significant amount of research activity
 object also has significant amount of adaptation or application activity
 object also has significant field service element

44

PROJECT IDENTIFICATION DOCUMENT FACESHEET

TO BE COMPLETED BY ORIGINATING OFFICE

A

A = ADD
C = CHANGE
D = DELETE

PID

2. DOCUMENT CODE
1

3. COUNTRY/ENTITY: TAB - Interregional

4. DOCUMENT REVISION NUMBER:

5. PROJECT NUMBER (7 DIGITS): 931

6. BUREAU/OFFICE: A. SYMBOL: TA/UD B. CODE: 08

7. PROJECT TITLE (MAXIMUM 40 CHARACTERS): Urban Financial Management

8. PROPOSED NEXT DOCUMENT: A. 2 = PRP 3 = PP B. DATE: MM YY 4 7 8

10. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 =)

FUNDING SOURCE	465E8F
A. AID APPROPRIATED	450
B. OTHER U.S.	
C. HOST COUNTRY	
D. OTHER DONOR(S)	
TOTAL	

9. ESTIMATED FY OF AUTHORIZATION OBLIGATION: A. INITIAL FY: 7 8 B. FINAL FY: 8 1

11. PROPOSED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		E. FIRST FY 78		LIFE OF PROJECT	
		D. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) SD	720	860		150		450	
(2)							
(3)							
(4)							
		TOTAL					

12. PRIMARY TECHNICAL CODES (maximum six codes of three positions each): BUCC 710

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH): BU INTF

14. SECONDARY PURPOSE CODE: 660

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS): Improve the resource base for the equitable provision of essential services and the poor's access to them in urban centers in developing countries.

16. PROJECT PURPOSE (MAXIMUM 480 CHARACTERS): Help develop and test effective and innovative means of national and local financing of essential services.

17. PLANNING RESOURCE REQUIREMENTS (staff/funds):

- (a) Small research activities in FY 1977 \$20,000 - \$30,000 (d) Consultants
- (b) Small research activities in FY 1978 \$30,000 - \$40,000
- (c) Direct hire project manager

18. ORIGINATING OFFICE CLEARANCE: Signature: William R. Miner *William R. Miner* Date Signed: MM DD YY 5 10 77

19. DATE DOCUMENT RECEIVED BY: AID/W, or for AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM DD YY

PID

Urban Financial Management

Background. In addition to the problems of employment, the urban poor are faced with the problems of physical survival. Many of them are able to meet, however marginally, their basic housing needs -- that is, a roof over their heads and some semblance of walls around them -- through various self-help efforts. They are less able by this means in an urban context to provide other essentials, such as water, sewerage, transportation, education, and health and welfare services, and they usually do not have access to the existing facilities and services which, in any case, already fall short of the growing demand from those residents who do have access.

TA/UD's interest in this problem area is directed towards developing a better resource base for the providing of essential services to the urban poor and helping them gain a more equitable access to those services. This proposed project, Urban Financial Management, is in the activity cluster, Urban Finance and Management.

Project Goal. The goal of this project is to improve the resource base for the equitable provision of essential services and the poor's access to them in urban centers in developing countries.

Project Purpose. The purpose of the project is to help develop and test effective and innovative means of national and local financing of essential services. These means can be used to establish an adequate resource base for the equitable provision of these services and can help the urban poor gain access to them.

Problem. The cost of providing essential services has risen almost as rapidly as has the demand for them, and the required resources have not kept pace. Laws and policies in developing countries often do not encourage development of this kind at the local level. Institutional infrastructure, where it does exist, tends to be archaic and not oriented to dealing with the new conditions. Few resources are available to be tapped and the means of doing so methodologically and administratively are woefully inadequate.

At the same time there is little already in place on which to build. Few cities have even the makings of a comprehensive water or sewer system, for example, and the available facilities for other essential services are equally limited and fragmented. It is not just a case of rationalizing and of extending existing facilities and services and of improving their distribution; it is also a matter of "starting from scratch" in many instances. Substantial capital investments will be required as will be the means by which to pay for and to maintain whatever is developed.

There probably are existing approaches which can be adapted to some of the varied needs and circumstances in today's cities in developing countries. However, the fact that the funding and provision of essential services are universal problems and are not confined to developing countries suggests that there are few ready-made remedies to apply. Nevertheless, the growing need has stimulated more research and research and development activity along these lines. The responses from field missions, while not entirely clear on this subject, indicate that there is a need and an opportunity to improve the resource base for providing essential services and poor people's access to them.

Response. TA/UD proposes to explore for and to develop possible approaches to (a) financing essential services in urban centers and (b) increasing the urban poor's access to them, and then to determine which ones may be appropriate for developing country situations. It is anticipated that small research grants made in late FY 1977 will assist this effort. Additional small research grants are planned for FY 1978.

In addition, one or more field tests will be initiated in FY 1978 using the results of the foregoing efforts, preferably in the context of ongoing field mission programs. In the identification, design, and evaluation of the proposed field demonstration projects, the two-volume workbook, GUIDELINES FOR FORMULATING PROJECTS TO BENEFIT THE URBAN POOR IN DEVELOPING COUNTRIES, will be used. It contains sections on water supply and sanitation, health services, education, housing, transportation, and management and finance.

The Project Paper will provide more detailed information on the rationale, selection of field sites, methodology, evaluation, and the identification of the results.

Financial Requirements. A total of \$150,000 has been requested for this project for FY 1978, plus \$30,000 - \$40,000 in small research grants. Funding at that level probably would help launch only one pilot demonstration with the assistance of a regional bureau or field mission.

The nature of the subject matter suggests that more than one demonstration in one set of circumstances would be desirable and that TA/UD funds should be available to encourage and to assist field missions in such efforts. Therefore, an additional \$300,000 is proposed for FY 1979. Were there to be an unexpected increase in field mission requests, then greater reliance would have to be placed on the field mission than on TA/UD resources to meet them.

Implementation. The further delineation of the rationale for this project and the development of the Project Paper and of the methodology and schedule for implementation are contingent on the expected availability in July 1977 of a newly recruited staff member whose primary responsibility will include this proposed project.

PROJECT IDENTIFICATION DOCUMENT FACESHEET

TO BE COMPLETED BY ORIGINATING OFFICE

A

A = ADD
C = CHANGE
D = DELETE

PID

8. DOCUMENT CODE
1

1. COUNTRY/ENTITY: TAB - Interregional 4. DOCUMENT REVISION NUMBER:

5. PROJECT NUMBER (7 DIGITS): 931 6. BUREAU/OFFICE: A. SYMBOL: TA/JD B. CODE: 08 7. PROJECT TITLE (MAXIMUM 40 CHARACTERS): Participatory Planning

3. PROPOSED NEXT DOCUMENT:
A. 3 2 = PRP 3 = PP
B. DATE: 16 7 8

10. ESTIMATED COSTS
\$1000 OR EQUIVALENT, \$1 = 1
FUNDING SOURCE: 485e2f
A. AID APPROPRIATED: 150
B. OTHER: 1. U.S. 2.
C. HOST COUNTRY:
D. OTHER DONOR(S):
TOTAL:

9. ESTIMATED FY OF AUTHORIZATION OBLIGATION:
A. INITIAL FY: 7 8 B. FINAL FY: 2 9

11. PROPOSED BUDGET AID APPROPRIATED FUNDS (\$1000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. FIRST FY <u>78</u>		LIFE OF PROJECT	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) SD	720	860		150			
(2)							
(3)							
(4)							
		TOTAL					

12. SECONDARY TECHNICAL CODES (maximum six codes of three positions each):
731 | 740 | 750 | 710 | | |

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH):
BJW | PART | PVON | TNG | | | | 14. SECONDARY PURPOSE CODE:

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS):
To improve the functioning of the relationship between frontline, local bureaucrats and technocrats and the people they are expected to serve.

16. PROJECT PURPOSE (MAXIMUM 460 CHARACTERS):
To determine what is required to encourage and support the involvement of citizens in policy making, planning, implementation and benefits of development programs.

17. PLANNING RESOURCE REQUIREMENTS (staff/funds):
(a) Small research activities in FY 1978 \$30,000 - \$40,000.
(b) Direct hire project manager.
(c) Consultants.

18. ORIGINATING OFFICE CLEARANCE:
Name: William R. Miner
Signature: *William R. Miner*
Title: Director
Initials: TA,UD
Date: 5 10 77

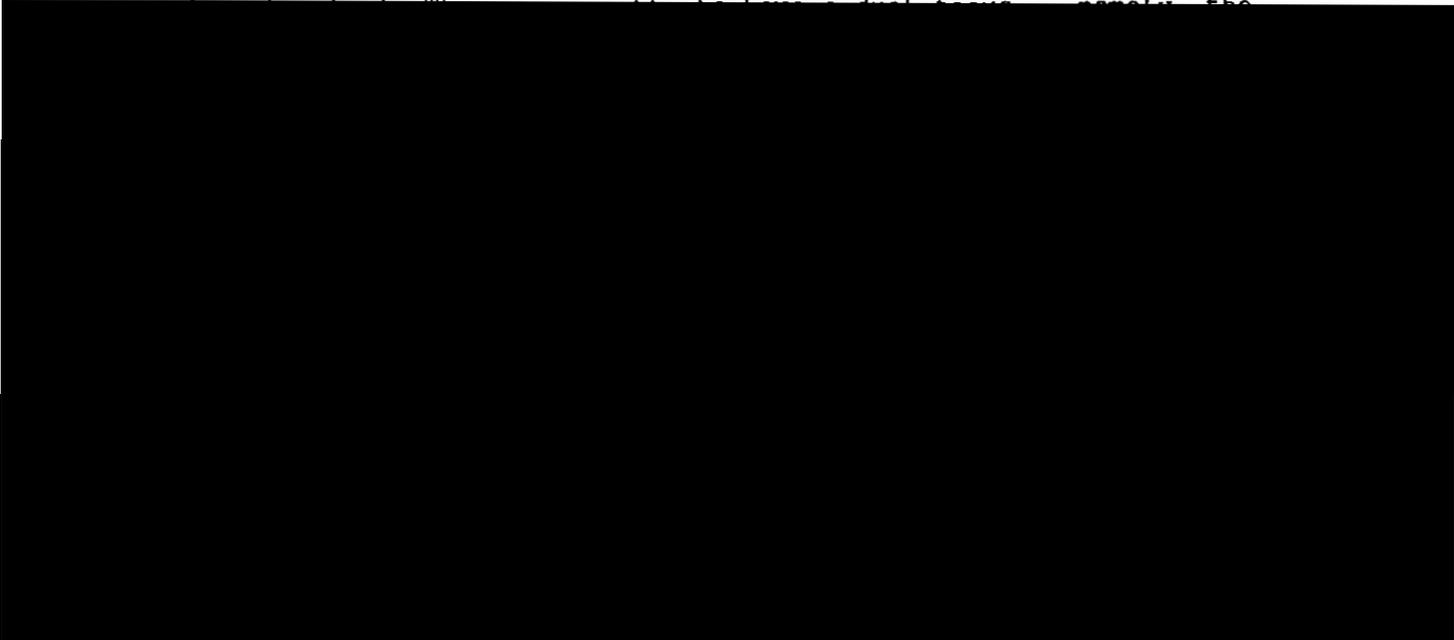
19. DATE DOCUMENT RECEIVED BY AID/W, or FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION:
MM DD YY:

PID

Participatory Planning

Background. There is little dispute over the need for participation and for a more effective mobilization of private and individual capabilities in development programs. As a result of the social and political unrest in the USA during the decade of the sixties, the programs which were started to deal with it, and the increasing number of research studies and evaluations of those programs which are available, there is greater understanding of the proclivities of the urban poor to participate, the likely effects of participation on planning and decision making, and the kinds of administrative arrangements and management approaches which have been used to mobilize participation and to cope with the consequent conflicts'.

While the debate continues on the net effect of the so-called poverty and associated programs in the USA, there is a related set of actions underway in many developing countries on the kinds of government policies, institutional structures, administrative arrangements, and other techniques and approaches which might be most effective in enhancing and utilizing participation. AID is involved in a number of them, not only through its longstanding civic participation (Title IX) activities, sector programs (in agriculture, education, health, housing, nutrition, and population), and multisectoral programs (in development administration and rural development), but also through the more recently articulated concern for women in development, equity, and the other more "horizontal" program emphases. Most of the efforts still are exploratory and experimental, and are dependent to a large extent on understanding the characteristics of a particular setting. (It is also arresting and sober to remember that the histories of AID and of other development assistance agencies are strewn with on-again, off-again efforts at citizen involvement at



TA/UD is interested in what might be done to improve the functioning of the relationship between local administrators/managers/planners and individual citizens and groups of citizens -- that is, in improving the involvement of citizens in local policy making, planning, and implementation efforts. The proposed project is called Participatory Planning.

Project Goal. The goal of this project is to determine what is required to encourage and support the involvement of citizens in the policy making, planning, implementation, and benefits of development programs. The focus will be on the participation of the urban poor and on what is needed by way of policies, institutional structures, administrative procedures, and skills and techniques to insure effective participation.

Problem. The urban poor, in many ways, are marginal to the mainstream of society. In most countries they are only intermittently involved in the economic life, seldom are included in the political process, and routinely enjoy few, if any, of the essential services and social amenities of the cities in which they live. The native-born urban poor may be more involved -- i.e., comparatively less marginal -- than the rural-urban migrant in some respects; at the same time they also may be more alienated, having acquired greater expectations in and, thereby, having realized greater frustration from the system as it now functions.

The rural-urban migrants may have had their entry into urban life eased by the earlier arrival of relatives, fellow villagers, tribesmen, or others who have become "established". They have helped to provide a cushion against some of the immediate economic and social shocks. This kind of assistance is temporary and seldom extends to the political and decision making dimensions of urban life, if only because the helpers themselves usually are not sufficiently involved or connected.

The urban poor usually lack the power to engage the interests of frontline bureaucrats and technocrats, interests which often are quite different from those who are needy and who should be beneficiaries of development programs. At the same time there are few incentives or rewards for civil servants and others who administer and implement programs to pay attention to powerless people. Even more critical is the fact that they lack the requisite training and skills to be responsive to the urban poor or to involve them in any meaningful way. The policies, structures, and administrative practices which are required to support such efforts also are lacking.

Response. TA/UD proposes to concentrate on the frontline relationship between the bureaucrats and technocrats on the one hand and citizens, especially the urban poor, on the other. Small research grants in late FY 1977 and during FY 1978 will help to probe the nature of that relationship under varying conditions and to determine what may be generalizable from those situations. Of particular interest will be the approaches to participation which have been used and with what results, as well as opportunities for broader participation which have not been realized fully.

The frontline relationship between the bureaucrats and the urban poor does not exist in a vacuum. It is important, therefore, to understand the sociopolitical context within which it functions or does not function. There are cultural dimensions which need to be explored in terms of the extent to which they constrain or enhance the broad participation of people in various aspects of society. There is the political system to be considered and how it impinges on the bureaucrat-public relationship. There is also the reward system, professional/technical as well as bureaucratic, which governs the behavior of people and their on-the-job relationships. Thus, while the goal of the project is to improve the functioning of that frontline relationship, the initial focus will be necessarily on the system(s) of which that relationship is a part. The small research grants are designed for this purpose, and the results of these studies are expected to yield testable ideas and approaches as well as some basic guidelines.

The development of pilot demonstration efforts will concentrate first on existing projects in the Agency which benefit the urban poor and which are in the PID, PRP, or PP stage of programming. Housing and urban development projects would be likely candidates, as would some of the education, health, nutrition, and population projects of which the urban poor are also beneficiaries. Separate demonstration projects also would be considered.

In planning pilot demonstration efforts, either separate projects or as integral parts of other projects, use will be made of the results of two previous studies, the two-volume workbook, GUIDELINES FOR FORMULATING PROJECTS TO BENEFIT THE URBAN POOR IN DEVELOPING COUNTRIES and the report, PARTICIPATION, PLANNING, AND ADMINISTRATIVE DEVELOPMENT IN URBAN DEVELOPMENT PROGRAMS.

The results of the demonstrations are to be evaluated and shared widely for use by AID, other donor agencies, and host country organizations in their development programs.

This project will be one (the urban) side of the coin, as it were, while a proposed TA/RD project on participation in rural development is the other (the rural) side. The latter project will be closely related to the former especially in the latter's focus on the functioning of rural organizations and institutions and their interaction with government at the local level. The sharing of contractor and other resources and results could be mutually reinforcing. In a similar manner, further consideration needs to be given to TA/DA's project which is concerned with participation in project management and to the relevance and potential contribution of the projects to each other. The three projects appear to be highly complementary, but neither overlapping nor duplicative.

Financial Requirements. Funding requests for FY 1978 include \$150,000 for this project and \$30,000 - \$40,000 in small research grants. These amounts would appear to be sufficient, especially if demonstration efforts were made integral parts of other projects.

Implementation. As with the companion project, Urban Financial Management, the further development of this project, including the preparation of the Project Paper, is dependent on the expected availability of a new staff member in July 1977.

4. Urbanization Problems in National Development

TA/UD's clusters tend collectively to describe a hierarchical continuum. At the lower end of the hierarchy is the community and city orientation of the Urban Finance and Management cluster. The Regional Development cluster focuses at the level of the sub-national region, and the Employment and Productivity cluster can fit either of these contexts. The cluster described in this section, Urbanization Problems in National Development, is intended to be responsive to those urbanization problems or phenomena which register their fullest impact at the national level. With the introduction of this new cluster, TA/UD's program encompasses the full range of concerns articulated in TA/UD's earlier conceptual and definitional background papers and in Agency policies, PD 54, "Guidance Statement on Urban Development," and PD 67, "Urbanization and the Urban Poor."

This new cluster, more than any other, addresses urbanization as a phenomenon, a transformation of people, places, and institutions which needs to be understood and addressed in the context of national development. Urban populations in developing countries are growing at more than twice the rate of national populations. Some countries already are more than 50% urban while others rapidly are approaching this mark. The urban population of the developing countries is doubling roughly every seventeen years and there is nothing to suggest that this trend will diminish in the near future if the world continues to progress. Urbanization historically is one of the most consistent correlates of development.

This rapid transformation, as we have called it, even as it acts as both a stimulus and response to development, nevertheless places considerable strain on the developing countries. It creates dramatic changes in national life styles, expectations, consumption patterns, population distribution, and economic and social institutions. Moreover, it exacerbates some very serious national problems which already are coming to be global in dimension, such as population transfers, environmental pollution, demands for more services by more people, depletion of non-renewable resources, and stresses on national budgets.

The objective of this cluster is to help improve Agency and LDC perceptions of the relationships between urbanization and the national and international problems just noted and to develop concepts, approaches, and tools that will improve the ability to cope with the national and international level pressures inherent in urbanization.

These are necessarily long-term objectives which could transcend the life of this Agency. By nature, they are linked with and draw upon a number of areas, some of which are within TAB's purview. Population, energy, other nonrenewable resources consumed by cities, environmental pollution, advances in applied sciences, systems modeling, remote sensing, all may contribute to or benefit from the objectives and activities of this cluster. Therefore, the activities in the cluster will be developed and managed in a highly collaborative manner.

Two activities are included in this cluster -- a small research project on differential urban fertility and a proposed project to examine resource conserving approaches to urban development in developing countries.

The small research project in differential urban fertility, developed collaboratively with PHA/PCP, is responsive to proposed Section 117 of the Foreign Assistance Act and to the Percy Amendment on women in development. It could have important implications for the impact on population growth of Agency programs which influence population movement and distribution. TA/UD is reviewing other small research proposals in this area.

Resource conserving urbanism is a subject which TA/UD has considered for several years as potentially having high returns as a programming area. With pressures on global resources becoming ever more severe and with a disposition in the U.S. Government to take action on this front, TA/UD is proposing a new project to probe resource conserving approaches to urban development appropriate for developing countries. The rationale for this project is based on our knowledge that (a) the patterns of urbanization adopted by most advanced countries and pursued now by developing countries are wasteful of vital energy and other resources, (b) the level of development in most LDCs is such that the commitment to these patterns of urban development are neither total nor irreversible, and that (c) the state-of-the-art in resource conserving urbanism has developed to the point that it can offer some options to existing patterns of urban development. It is proposed that this project be implemented through a PASA or RSSA with EPA or other appropriate U.S. agency. TA/OST has indicated an interest in collaborating with TA/UD on this project. This will be pursued during PP development.

Since this is a new cluster, progress towards its objectives has been minimal. The differential urban fertility project commenced in May and is scheduled for completion in October. This should provide considerable food for thought and for further development of activities related to the population issue. Planning activities on the resource conserving urbanism project have been initiated only recently. The first progress milestone is the development of a network with other offices, agencies, institutions, and individuals pursuing similar or complementary activities. Informal work along these lines is underway, although considerable ground remains to be covered.

This cluster addresses problems high on the list of global priorities. However, it is given fourth priority among TA/UD clusters because it deals with concepts which are relatively new in a developmental context and with approaches which are as yet unproven. It could escalate in priority as it progresses and if it "proves out" in the Agency setting.

This cluster will be managed by the Deputy with considerable input by the Director and other members of the Office. Efforts will be made to build as much of a "self-management" element into projects as possible, minimizing TA/UD direct-hire involvement. Consultants will be used liberally, as will PASA and RSSA arrangements with appropriate U.S. agencies.

Office: EA/US

Cluster: EA/US Organization in National Development Technical Assistance Bureau Program Review Priority: BASE Date: _____

Activity Coordinator: Ed. Whitford, Jr.

Office Summary of Proposed Obligations by Cluster & Activity
(\$ in thousands)

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revi or I PP I No/Y		
					Revised OYB	Work	Days	Unliqui- dated 9/30/77	C. P.	C.P. Redist	Work	Days	Reqst'd Amount			Work	Days
						Total	Consul- tants				Total	Consul- tants				Total	Consul- tants
A. Planning and Strategizing						15	0				60	50		35	30		
B. Regional Bureau/Field Support						4	0				10	0		22	19		
C. Project Development and Management						23	0				70	10		129	60		
D. Contact with Other Organizations						1	-				5	-		3	-		
E. Administration and Supervision						16	-				12	-		19	-		
Cluster Total						-	59	0		-	-	157	60	300	198	100	

57

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity/
 (***) Project also has significant field service element

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru	Revised or New PP Due Mo/Yr		
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount			Work Days	
						Total	Consul-tants				Total	Consul-tants				Total	Consul-tants
A. Planning and Strategizing						15	0				60	50		35	30		
B. Regional Direct/Mission Support						4	0				10	0		30	10		
C. Project Development and Management						23	0				70	10		120	60		
D. Contact with Other Organizations						1	---				5	---		3	---		
E. Administration and Supervision						16	---				12	---		10	---		
Cluster Total						-	59	0		-	-	157	60	300	198	100	

58

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	Revised OYB	FY 1977			FY 1978			FY 1979			Project Service Approved Thru	Revision No/ Yr	
						Total	Consultants	Unliquidated 9/30/77	C. P.	G. P. Redist	Work Days		Requested Amount	Work Days			
											Total	Consultants		Total			Consultants
A. Planning and Strategizing						15	0				60	50		35	10		
B. Regional Bureau/Division Support						4	0				10	0		30	10		
C. Project Development and Management						23	0				70	10		120	10		
D. Contact with Other Organizations						1	-				5	-		3	-		
E. Administration and Supervision						16	-				12	-		10	-		
<u>Cluster Total</u>						<u>69</u>	<u>0</u>				<u>157</u>	<u>60</u>		<u>200</u>	<u>120</u>		

59

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

PROJECT IDENTIFICATION DOCUMENT FACESHEET

TO BE COMPLETED BY ORIGINATING OFFICE

A A = Add
C = CHANGE
D = DELETE

PID

2. DOCUMENT CODE
1

3. COUNTRY/ENTITY: TAB-Interregional
4. DOCUMENT REVISION NUMBER: []

5. PROJECT NUMBER (7 DIGITS): [931]
6. BUREAU/OFFICE: A. SYMBOL TA/UD [] B. CODE [08]
7. PROJECT TITLE (MAXIMUM 40 CHARACTERS): [Resource Conserving Urbanism]

8. PROPOSED NEXT DOCUMENT: A. [3] 2 = PRP, 3 = PP B. DATE: MM YY [5 | 7 | 8]
10. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 =): FUNDING SOURCE: 445289

9. ESTIMATED FY OF AUTHORIZATION/OBLIGATION: a. INITIAL FY [7 | 9] b. FINAL FY [8 | 4]
10. ESTIMATED COSTS (continued): A. AID APPROPRIATED B. OTHER U.S. 1. 2. C. HOST COUNTRY D. OTHER DONOR(S) TOTAL

11. PROPOSED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. FIRST FY		LIFE OF PROJECT	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) SD	701	860		300		2,100	
(2)							
(3)							
(4)							
		TOTAL					

12. SECONDARY TECHNICAL CODES (maximum six codes of three positions each): 870 | 710 | 850

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH): INTR | ENV | TECH | TNG
14. SECONDARY PURPOSE CODE: 750

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS): [Resource conserving and environmentally sound urbanization in developing countries]

16. PROJECT PURPOSE (MAXIMUM 460 CHARACTERS): [To introduce optional patterns of human settlement that are more resource conserving and environmentally sounder than current conventional patterns.]

17. PLANNING RESOURCE REQUIREMENTS (staff/funds): (a) \$25,000 for PASA -- PP Development (b) Direct hire project manager (c) Consultants

18. ORIGINATING OFFICE CLEARANCE: Signature: William R. Miner, Director, TA/UD
19. DATE DOCUMENT RECEIVED BY AID/W, or FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM DD YY [5 | 10 | 77]

PII

Resource Conserving Urbanism

Problem. It is widely recognized that the patterns of urban growth and development which have evolved in most advanced countries and now are being pursued by developing countries are wasteful of vital energy and other non-renewable resources. In fact, cities, as currently designed and structured, probably are the world's greatest consumers and squanderers of resources. This conclusion has been reached in the light of ever more severe shortages in world resources and of serious pollution problems which have underscored global interdependence.

Fortunately, most developing nations still have an opportunity to adopt alternative, resource conserving and cleaner approaches in the further development of their urban systems. Their level of development, in large measure, is not such that they are fully committed to conventional patterns of urban growth and development. Each country has some regions in which the net sunk investment in urban places is relatively small; for some of the poorer countries this holds virtually for the entire urban system. The challenge is to break the commitment to conventional patterns of human settlement that are resource wasting and to introduce alternative resource conserving and environmentally sounder approaches.

A respectable body of literature and a range of scientific developments are beginning to emerge such that alternative, resource conserving approaches to urban development are available. A host of isolated experiments (e.g., with solar energy, waste recycling, water recycling and conservation, energy conservation, public transportation, and communications) are in process in many developed countries. Moreover, resource efficient planning models and innovative urban designs are being developed through academic studies and research and aided by remote sensing and other new information-generating techniques. To our knowledge, however, these developments have not been examined collectively in terms of their applicability to urbanization in developing countries, nor has any of these countries participated in experimental approaches to resource conserving urban design and development. Except in the events leading to and the holding of the environmental conference in Stockholm in 1972, human settlements conference in Vancouver in 1976, and the water conference in Mar del Plata in 1977, the dialogue with and among developing countries in this area has been limited.

For several years, TA/UD has considered that resource conserving urbanism is a subject which potentially would have high returns as a programming area for the Agency. Now that the U.S. Government has taken an active interest in global interdependence, conservation of energy and other non-renewable world resources, and is encouraging planning to achieve efficiency and for minimizing environmental pollution, it seems propitious and timely for AID to look at the prospects for influencing favorably the patterns of urban development in developing countries with respect to the conservation of resources and the protection of the environment. This would be sound not only from the standpoint of national and international resource and environmental balances; it also could have the long-term effect of reducing the relative (i.e., per capita) proportion of national budgets consumed by cities.

Response. It is proposed that TA/UD, with collaboration from TA/OST, develop a substantial program to mine available opportunities for introducing resource conserving approaches in urban development to developing nations and assisting with their application. Intended here is an approach which treats the city broadly as a resource consuming system and seeks to introduce new efficiencies in the operation of that system. This effort would require: (1) a comprehensive inventory and assessment of existing resource conserving technologies, approaches, and planning models; (2) careful screening for their applicability in developing countries and typing and adaptation for application under varying natural and developmental conditions; (3) packaging of this information for stimulation of dialogue and for use in planning and application; (4) collaborative arrangements with selected countries for application in urban design; (5) establishment of sensitive evaluation and monitoring mechanisms; (6) development of case studies based on these applications; (7) identification of priority areas for further research and development based on the experience gained in field applications and gaps found in existing knowledge; (8) wide distribution of case studies and R & D priorities; and (9) establishment of a permanent mechanism either in an existing or a new institution for sharing of information and for continued stimulation of dialogue and research and development in the area of resource conserving urbanism.

Development of the Project. This program is envisioned as a substantial and long-term effort which would be carried out largely through a PASA or RSSA with the Environmental Protection Agency (EPA) or other appropriate government agency. Informal contact has been made already, although the magnitude and import of this project is such that initial formal contact should be made at the top levels in each agency and through appropriate AID channels.

PID approval would be taken as the signal to commence collaboration with a selected agency. Collaboration would ensue in two phases. The first would entail a small PASA agreement with the participating agency for the purposes of project design and of writing the Project Paper. Considerable preliminary research will go into the development of the PP. It is intended that the PP will serve as an informational and perception raising vehicle as well as a planning document. A second PASA or a RSSA with the participating agency would be initiated after approval of the PP, this time for the purpose of project implementation.

It is anticipated that a PP could be completed by April or May 1978 and a PASA or RSSA signed in the first month of FY 1979. Alternatively, should funds become available, this project could be ready for funding in FY 1978.

The project will be managed by the Deputy Director in TA/UD, and is structured to require a minimum of direct-hire time. Liberal use will be made of consultants at all stages of project development and implementation. Once underway operational responsibility would be shifted to the PASA agency under continued TA/UD guidance and monitoring. A voluntary consultative group would be employed in the design of the project, including representatives from interested offices in AID, the collaborating agency, and possibly the Department of State.

Informal collaboration with TA/OST has begun and will be worked out in greater detail and formality during the PP development stage. Initial discussions suggest that several TA/OST activities will be producing information directly relevant to the proposed project. These include the EPA (ERDA) program, energy and environmental economics, new energy sources, natural resource activities, remote sensing, and exploratory areas of science and technology. In turn, the TA/UD project will help provide a utilization framework for outputs of some of these activities.

Financial Requirements and Plan. In FY 1978 approximately \$25,000 will be required for project design inputs -- namely, a PASA for four work-months of services from the participating agency and a design workshop which would involve a variety of experts in the project area.

Project funding per se would commence in FY 1979 at a level of approximately \$300,000. This first year of effort would cover review, assembly, screening, and packaging of information. The second year, FY 1980, would involve a similar funding level for field workshops and the selection and organization of field applications. Funding would increase to approximately \$600,000 during the third and fourth years of the project, FY 1981 and 1982, during which time at least three field applications would be conducted. Funding in the fifth year would drop back to \$300,000. This would be used for developing case studies, identifying research priorities, developing a permanent networking mechanism, and further packaging and disseminating of project results. Total cost for the five-year project would be \$2,100,000. It is by no means clear at this point what would be involved in establishing or tying in with a networking mechanism in this field. In addition, the cost estimated for the field applications may be insufficient or excessive, depending on circumstances encountered, inflation factors, and the level of host country or field mission contributions.

Issues of Policy or Programmatic Nature. This project is not directly oriented toward the poor majority, although this group would be a major beneficiary. The problem to be addressed has more far reaching consequences and is more generically developmental in nature. As such, the project is not at the heart of primary Agency programming priorities, but it is totally in harmony with Sections 106 and 107 of the FAA and addresses problems of global concern and recognized high priority.

Technical Assistance Bureau Program Review

PDA #18 Title Urban Development

Office Summary of Proposed Obligations by Activity & Staff Member (\$ in thousands)

Director: [Name] Date: [Date]

	Page in ABS	Dec. Cat.	Obl. Stat.	PDA	FY 1977			FY 1978		FY 1979			Project Service Approv'd Thru	Revis. or No. PP Dur Mo/Yr	
					Revised OYB	Work Total	Days Consul-tants	Unliqui-dated 9/30/77	C. P.	C.P. Redist	work Total	Days Consul-tants			Reqst'd Amount
A. Planning and Strategizing							6				20		39		
1. Director							2				5		15		
2. Urban Development Advisor							4				8		14		
3. Urban and Regional Planner							0				0		0		
4. Labor Economist							0				2		5		
5. Financial Economist							0				5		5		
B. Regional Bureau/Mission Support							53				44		42		
1. Director							46				30		20		
2. Urban Development Advisor							7				7		15		
3. Urban and Regional Planner							0				0		0		
4. Labor Economist							0				2		2		
5. Financial Economist							0				5		5		
C. Project Development and Management							0				0		0		
1. Director							0				0		0		
2. Urban Development Advisor							0				0		0		
3. Urban and Regional Planner							0				0		0		
4. Labor Economist							0				0		0		
5. Financial Economist							0				0		0		

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(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

5. Non-Cluster Activities

This category contains the following activities which are not attributable to any one cluster and support and contribute generally to TA/UD's overall program: (a) the provision of additional resources which can be responsive to Agency requests for assistance with activities which are not contained in the four activity clusters; and (b) conferences, seminars, workshops, and other means of disseminating the results of TA/UD's R&D, pilot demonstration projects, and other activities.

Office: _____

Activities which cannot be attributed to Specific Clusters A-2

Technical Assistance Bureau Program Review
Office Summary of Proposed Obligations by Activity and Staff Member
(\$ in thousands)

RDA #18 Title Urban Development

Priority BASE
Date _____

	Page in ABS	Des. Cat.	Obj. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Revised or New PP Du Mo/Yr		
					Revised OYB	Work	Days	Unliquidated 9/30/77	C. P.	G.P. Redist	Work	Days	Reqst'd Amount			Work	Days
						Total	Consul-tants				Total	Consul-tants				Total	Consul-tants
D. Contact with Other Organizations						21					26			37			
1. Director						1					2			2			
2. Urban Development Advisor						9					6			20			
3. Urban and Regional Planner						7					7			7			
4. Labor Economist						1					6			3			
5. Financial Economist						2					5			5			
E. Administration and Supervision						31	142				49	168		52	167		
1. Director						5	31				10	36		15	41		
2. Urban Development Advisor						15	37				9	39		20	46		
3. Urban and Regional Planner						8	29				10	31		7	28		
4. Labor Economist						1	22				10	31		5	26		
5. Financial Economist						2	23				10	31		5	26		
Total TA/UD						90	111	222	750	500	139	258	-	170	285		
1. Director						24	80				47	73		52	78		
2. Urban Development Advisor						25	57				30	60		69	32		
3. Urban and Regional Planner						12	36				17	38		14	35		
4. Labor Economist						2	23				20	41		15	36		
5. Financial Economist						5	26				25	46		20	41		

Including Annual Leave

67

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

Office TAMU

Activities which cannot be attributed to A-Specific Clusters

RDA #18 Title Urban Development

Technical Assistance Bureau Program Review
Office Summary of Proposed Obligations by Activity & Staff Member
(\$ in thousands)

Priority 1
Date _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Apprv'd Thru	Revised or NFP D Mo/Y
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	Work Days		Reqst'd Amount	Work Days			
						Total	Consul-tants			Total	Consul-tants		Total	Consul-tants		
A. Planning and Strategizing						6					20			39		
1. Director						2					5			15		
2. Urban Development Advisor						2					8			14		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					2			5		
5. Financial Economist						0					5			5		
B. Regional Bureau/Mission Support						53					44			42		
1. Director						46					30			20		
2. Urban Development Advisor						7					7			15		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					2			2		
5. Financial Economist						0					5			5		
C. Project Development and Management						0					0			0		
1. Director						0					0			0		
2. Urban Development Advisor						0					0			0		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					0			0		
5. Financial Economist						0					0			0		

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(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

RDA #18 Title Urban Development

Technical Assistance Bureau Program Review

Office Summary of Proposed Obligations by Activity and Staff Member (\$ in thousands)

Priority 1 Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service or I Apprv'd Thru	Rev. or I PP/T Mo/Y		
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	C.P. Redist	Work Days		Reqst'd Amount			Work Days	
						Total	Consul-tants				Total	Consul-tants				Total	Consul-tants
D. Contact with Other Organizations						21					26			37			
1. Director						1					2			2			
2. Urban Development Advisor						9					6			20			
3. Urban and Regional Planner						7					7			7			
4. Labor Economist						1					6			3			
5. Financial Economist						3					5			5			
E. Administration and Supervision						31	# 142				49	# 168		52	# 167		
1. Director						5	31				10	36		15	41		
2. Urban Development Advisor						15	37				9	39		20	46		
3. Urban and Regional Planner						8	29				10	31		7	28		
4. Labor Economist						1	22				10	31		5	26		
5. Financial Economist						2	23				10	31		5	26		
Total TA/UD						90	# 111		750	500	139	# 258	-	170	# 285		
1. Director						24	80				47	73		52	78		
2. Urban Development Advisor						35	57				30	60		49	45		
3. Urban and Regional Planner						15	36				17	38		14	35		
4. Labor Economist						2	23				20	41		15	36		
5. Financial Economist						5	26				25	46		20	41		

#Including Annual Leave

69

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

Technical Assistance Bureau Program Review
Office Summary of Proposed Obligations by Activity & Staff Member
(\$ in thousands)

Activities which cannot be attributed to Specific Clusters A-2

Priority 2
Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978				FY 1979			Project Service Thru	Revis or No PP D Mo/Yr
					Revised OYB	Work	Unliqui dated 9/30/77	C. P.	C. P. Redist	Work	Days	Reqst'd Amount	Work	Days		
						Total				Consul- tants			Total			
A. Planning and Strategizing						6					20			39		
1. Director						2					5			15		
2. Urban Development Advisor						4					8			14		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					2			5		
5. Financial Economist						0					5			5		
B. Regional Bureau/Mission Support						53					44			42		
1. Director						46					30			20		
2. Urban Development Advisor						7					7			15		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					2			2		
5. Financial Economist						0					5			5		
C. Project Development and Management						0					0			0		
1. Director						0					0			0		
2. Urban Development Advisor						0					0			0		
3. Urban and Regional Planner						0					0			0		
4. Labor Economist						0					0			0		
5. Financial Economist						0					0			0		

(continued)

(*) Project also has significant amount of research activity
 (**) Project also has significant amount of adaptation or application activity
 (***) Project also has significant field service element

RDA #18 Title Urban Development

Technical Assistance Bureau Program Review
Office Summary of Proposed Obligations by Activity and Staff Member
(\$ in thousands)

Priority 2
Date

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977				FY 1978				FY 1979			Project Service Apprv'd Thru	Revised or N. PP. In Mo/Yr
					Revised OYB	Work Days		Unliquidated 9/30/77	C. P.	C. P. Redist	Work Days		Reqst'd Amount	Work Days			
						Total	Consultants				Total	Consultants		Total	Consultants		
D. Contact with Other Organizations						21					26			37			
1. Director						1					2			2			
2. Urban Development Advisor						9					6			20			
3. Urban and Regional Planner						7					7			7			
4. Labor Economist						1					3			3			
5. Financial Economist						3					5			5			
E. Administration and Supervision						31	142				49	168		52	167		
1. Director						5	31				10	36		15	41		
2. Urban Development Advisor						15	37				9	39		20	46		
3. Urban and Regional Planner						8	29				10	31		7	28		
4. Labor Economist						1	22				10	31		5	26		
5. Financial Economist						2	23				10	31		5	26		
Total TA/UD						90	111		750	500	139	258		170	285		
1. Director						54	80				47	73		52	78		
2. Urban Development Advisor						35	57				30	60		69	95		
3. Urban and Regional Planner						15	36				17	38		14	35		
4. Labor Economist						2	23				20	41		15	36		
5. Financial Economist						5	26				25	46		20	41		

#Including Annual Leave

71

- (*) Project also has significant amount of research activity
- (**) Project also has significant amount of adaptation or application activity
- (***) Project also has significant field service element

A. Project Identification
 1. Cluster # 1803 Title Regional Development
 2. PDA # 18 Title Urban Development
 3. Project # 0058 4. Code: 869
 5. Project Title: Land Use Programming for Intermediate-Sized Cities
 6. Contractor: Multiple - see attached F-3 Forms
 7. Contract No. Multiple-see attached F-3 forms
 8. Project Manager Michael McNulty
 9. Appropriation: 6 10 Category 8

ONGOING PROJECT FISCAL DATA SHEET F-1

B. Project Approval Status (\$000)

Item	Approved	Requested
1. Obligation: FY 75	FY 77	FY
2. Service: FY 76	FY 81	FY
3. LOP Costs:	\$ 652	\$

C. Countries
Nicaragua
Thailand
Ghana

D. Project Documentation Status Data
 1. Date Current Approval January 1975
 2. New/Revised PP due IA/PPU January 1978
 3. Date Last Eval. March 1977
 4. Date of Current PAF April 1977
 5. Next Evaluation August 1977
 In-depth Evaluation _____
 Terminal Evaluation % _____
 Special Evaluation _____
 6. Period January 1976-August 1977

E. Project Description

1. Planned Outputs

(a) Demonstration field applications of land use programming in three intermediate-sized cities.
 (b) Approaches for training in land use programming in intermediate-sized cities.
 (c) Flexible system of contained evaluation.

2. Progress in Achieving Outputs/Est. Completion Date

(a) One demonstration project in Nicaragua is scheduled for completion in September 1977; contractor field reconnaissance work was begun on a second field demonstration in Thailand in February 1977 and the ProAg and PIO/T for the third and final demonstration in Ghana has been completed and is scheduled for signing in May 1977.
 (b) Training has been structured into each project reflective of local needs and conditions.
 (c) Internal and external evaluation is a component of each project. Internal evaluation is operating in the Nicaragua project and a substantive external evaluation of that project was completed in March 1977.

3. Purpose of Project/Anticipated Achievement Date

To help intermediate-sized (secondary) cities in LDCs gain the capacity to cope in an orderly fashion with dramatic new growth and to realize their potential as developmental growth centers in rural and regional development. Anticipated date of achievement is December 1980.

4. Project Change Requiring Revised PP and/or PAF
 A plan to package and disseminate results of the three demonstration projects will be specified upon completion and final evaluation of the first field application. This activity will require a PAF and additional funding of approximately \$150,000 in FY 1980.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	PSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary In (\$000) and Work Months - WM	(1)		(2)		(3)		(4)		(5)		(6)		(7)		(8)		(9)		(10) Services Funded Thru Month Year	(11) Description of Funding	
		Personnel		Participants		Commod- ities	Other Costs	Total	Expend- itures	End Pipeline	FY	Funds		Total								
		Dollars	WM	Dollars	WM							Month	Year									
USAID/Nicaragua USAID/Thailand USAID/Ghana	1. Cum. Thru 9/30/76	406	///					406	121	285	12	78									Nicaragua and Thailand subprojects	
	2. Est. FY 1977	296	21					296	154	427	12	79									Ghana subproject	
	3. Est. FY 1978	0	24							275												(Note: ProAg used initially to fund each subproject.)
	4. Proposed FY 1979	0	19							152	0											
	5. Proposed FY 1980	150	///					150	100	50	12	80										Funds obligated by TAB contract(s)
	6. Proposed FY 1981		///							50												
	7. All other		///																			
		852						852	852													

A. Project Identification
 1. Cluster # 1803 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0058 4. Code: 869
 5. Project Title Land Use Programming:
Leon, Nicaragua, Subproject
 6. Contractor: PADCO, Inc.
 7. Contract No. AID/ta-C-1276
 8. Project Manager Michael McNulty
 9. Appropriation: 6 10 Category 8

SUB-PROJECT FISCAL DATA SHEET F-3

Item	B. Project Approval Status (\$000)		Requested FY
	Initial	Final	
1. Obligation:	FY 75	FY 75	
2. Service:	FY 75	FY 77	
3. LOP Costs:		\$ 150-	\$

C. Countries

Nicaragua

D. Project Documentation Status Data
 1. Date Current Approval: January 1977
 2. New/Revised PP due TA/PP/PA: _____
 3. Date Last Eval: March 1977
 4. Date of Current PAR: April 1977
 5. Next Evaluation: August 1977
 In-depth Evaluation: _____
 Terminal Evaluation: X
 Special Evaluation: _____
 6. Period: January 1976-August 1977

I. Planned Outputs

- Demonstration and institutionalization of the land use programming process in Leon.
- further development and refinement of the process through the Leon demonstration, to be summarized in contractor's final report.
- Evaluation of the Leon demonstration to produce information useful for replication of the project elsewhere.

E. Project Description

2. Progress in Achieving Outputs/Est. Completion Date
 The Leon project is scheduled for completion in September 1977. Contractor's reports and feedback from the Nicaragua Mission have indicated satisfactory results to date. A substantive external evaluation was conducted in March 1977 which substantiated positive reports on the project. However, the evaluation team noted the absence of a GON commitment to institutionalize the project in Leon after TA/UD contract termination and pressed for an early decision by the government on this matter.

3. Purpose of Project/Anticipated Achievement Date
 (a) To help the City of Leon gain the capacity to cope in orderly fashion with new population growth, to stimulate development, and to realize its potential as a development growth center in an important agricultural region; and (b) demonstrate to the Nicaraguan Government the utility of replicating this process elsewhere in the country.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DII	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	C. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	
		Personnel Dollars	WM	Participants Dollars	WM	Commod- ities	Other Costs	Total	Expend- itures	End Pipeline	FY Month		Services Funded Thru Year
USAID/Nicaragua NA	1. Cum. Thru 9/30/76	150	///	///	///			150	121	29	9	77	Description of Fundline ProAg for \$150,000 with \$150,000 sub-obligation through contract with PADCO Inc. FY 76 expenditures were for 9 months of the 21-month contract.
	2. Est. FY 1977	0	12						29	0			
	3. Est. FY 1978	0											
	4. Proposed FY 1979	0											
	5. Proposed FY 1980	0			///								
	6. Proposed FY 1981	0	///		///								
	7. All other	0	///		///								
	8. TOTAL	150	///		///			150	150	---	---	---	

A. Project Identification
 1. Cluster # 1803 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0058 4. Code 869
 5. Project Title Land Use Programming:
Chonburi, Thailand Subproject
 6. Contractor: Robert Nathan Associates
 7. Contract No. AID/ta-C-1367
 8. Project Manager Michael McNulty
 9. Appropriation: 6 10 Category B

SUB-PROJECT FISCAL DATA SHEET F-3

B. Project Approval Status (\$000)

Item	Initial		Final	
			Approved	Requested
1. Obligation:	FY 76		FY 76	FY
2. Service:	FY 77		FY 79	FY
3. LOP Costs:			\$ 256	\$

C. Countries

Thailand

D. Project Documentation Status Date

1. Date Current Approval: June 1976
 2. New/Revised PP due TA/PP: N/A
 3. Date Last Eval: N/A
 4. Date of Current PAR: N/A
 5. Next Evaluation: May 1977
 In-depth Evaluation _____
 Terminal Evaluation _____
 Special Evaluation X
 6. Period: January - May 1977

E. Project Description

1. Planned Outputs

- (a) Demonstration and institutionalization of the land use programming process in Chonburi and the two associated market towns of Phanat Nikom and Sriracha.
- (b) Further development and refinement of the process through the Chonburi demonstration, including development of a land use programming handbook by the contractor for use in other Thai cities and in dissemination of the project results outside of Thailand.
- (c) Evaluation of the Chonburi demonstration to produce insights and information useful for replication of the project elsewhere.

2. Progress in Achieving Outputs/Est. Completion Date
 The Project Agreement and PIO/T were effective June 1976 and a contract was signed in December 1976 with Robert Nathan Associates to assist the Thai Government with implementation of the project. The contractor's reconnaissance was completed in February 1977 and Thai Government reactions to the report indicate some problems. These are being reviewed through the Mission and with Mission assistance. Estimated completion date is June 1979.

3. Purpose of Project/Anticipated Achievement Date

(a) To assist the Cities in Chonburi; Phanat Nikom, and Sriracha in gaining the capacity to cope in orderly fashion with problems of growth and development and to realize their respective roles as rural growth and service centers in the Cho region; and (b) to assist the National Economic and Social Development Board in inculcating this process elsewhere in Thailand through the Chonburi demonstration.

4. Project Change Requiring Revised PP and/or PAF

Some changes in timing and budgeting, the nature and extent of which are not yet known, may be required as a result of problems noted in E. 2.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
		Personnel Dollars	Participations WM	Participations Dollars	Commod- ities	Other Costs	Total	Expend- itures	End Pipeline	FY	Services Funded Thru Month Year	
USOM/Thailand NA	1. Cum. Thru 9/30/76	256	///	///	///	///	///	256	0	256	12 79	Description of Funding ProAg for \$256,000 with \$256,000 sub-obligation through contract with Robert Nathan Associates.
	2. Est. FY 1977	0	9						125	131		
	3. Rst. FY 1978	0	12						96	35		
	4. Proposed FY 1979	0	3						35	0		
	5. Proposed FY 1980	0	///	///	///	///	///					
	6. Proposed FY 1981	0	///	///	///	///	///					
	7. All other	0	///	///	///	///	///					
	8. TOTAL	256	///	///	///	///	///	256	256	----	----	

A. Project Identification
 1. Division # 1803 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0058 4. Code 869
 5. Project Title Land Use Programming:
Tamale, Ghana Subproject
 6. Contractor: (To be determined)
 7. Contract NO. N/A
 8. Project Manager Michael McNulty
 9. Appropriation: 6 10 Category B

SUB-PROJECT FISCAL DATA SHEET # 1

B. Project Approval Status (\$200)

Item	INITIAL		FINAL	
	Approved	Requested	Approved	Requested
1. Obligation:	FY 77	FY 77		
2. Service:	FY 77	FY 80		
3. LOP Costs:		\$ 296		\$

C. Countries

Ghana

D. Project Documentation Status Data
 1. Date Current Approval: January 1978
 2. New/Revised PP due TA/PP: N/A
 3. Date Last Eval.: N/A
 4. Date of Current FAR: N/A
 5. Next Evaluation: September 1978
 In-depth Evaluation X
 Terminal Evaluation
 Special Evaluation
 6. Period September 1977-August 1978

E. Project Description

1. Planned Outputs

- (a) Demonstration and institutionalization of the land use programming process in Tamale, Ghana, the first designated growth pole in the current Ghanaian Five-Year Development Plan.
- (b) Further development and refinement of the process through the Tamale demonstration, including guidelines for its replication elsewhere in Ghana, to be prepared by the contractor.
- (c) Evaluation of the Tamale demonstration to produce insights and information useful for replication of the project elsewhere.

2. Progress in Achieving Outputs/Est. Completion Date

After a long delay caused by diplomatic difficulties between the U.S. and Ghana, a Pro Ag and PIO/T have been completed and obligating authority was cabled to the Mission in April 1977 and the contracting process will commence at that point. It is anticipated that the two-year project in Tamale can be completed by December 1979.

3. Purpose of Project/Anticipated Achievement Date

To assist the Government of Ghana in establishment and implementation in Tamale of an organizational structure and increased capability for land use programming, planning, and development activities at the district level.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

FUNDING DONORS NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Personnel Dollars WM	Participants Dollars WM	Commod- ities	Other Costs	Total	Expend- itures	End FY	Services Funded Thru Month Year	Description of Funding				
USAID/Ghana	1. Cum. Thru 9/30/76	0	///	///		0	0						Pro Ag for \$296,000 with \$296,000
	2. Est. FY 1977	296	0			296	0	296	12	79			sub-obligation through a contract.
	3. Est. FY 1978		12					175		121			
	4. Proposed FY 1979		12					110		11			
	5. Proposed FY 1980		///	///				11		0			
	6. Proposed FY 1981		///	///									
	7. All other		///	///									
	8. TOTAL	296	///	///		296	296						

- A. Project Identification**
- Cluster # 1803 Title Regional Development
 - RDA # 18 Title Urban Development
 - Project # 0210 4. Code 869
 - Project Title Urban Functions in Rural Development
 - Contractor: Multiple - see attached F-3 forms
 - Contract No. Multiple - see attached F-3 forms
 - Project Manager Michael McNulty
 - Appropriation: 6 10 Category 8

ONGOING PROJECT FISCAL DATA SHEET F-1

B. Project Approval Status (\$000)

Item	Initial	Final	
		Approved	Requested
1. Obligation:	FY 76	FY 81	FY
2. Service:	FY 77	FY 81	FY
3. LOP Costs:		\$1,050	\$

C. Countries

Philippines

Upper Volta

Bolivia

D. Project Documentation Status Data

- Date Current Approval May 1976
 - New/Revised PP due TA/PPU N/A
 - Date Last Eval. N/A
 - Date of Current PAR N/A
 - Next Evaluation March 1979
 - Period September 1976-January 1978
- In-depth Evaluation _____
Terminal Evaluation X
Special Evaluation _____

E. Project Description

- 1. Planned Outputs**
- Detailed final reports from field pilot projects.
 - Expert evaluation and analysis of results of field projects.
 - Informational package integrating results of projects for dissemination.
 - Dissemination seminars and workshops.

2. Progress in Achieving Outputs/Est. Completion Date

The first field project was begun in the Bicol River Basin in the Philippines in June 1976 and implementation is close to schedule. An African site has been selected in Upper Volta and a Latin American site proposed in Bolivia. Field reports on these two sites have been prepared and submitted to the missions and host governments for approval, whereupon final project design and documentation will commence. It is intended that Pro Ags for these projects be signed by August 1977. Review, evaluation, and dissemination of results is projected for completion by December 1981.

(3) Purpose (continued)
evaluation, packaging, and dissemination of results are completed (see E2 above).

3. Purpose of Project/Anticipated Achievement Data
(a) To field test and adapt appropriate modes of urban analysis which identify the nature, magnitude, location, timing of urban services and activities supportive of rural development; and (b) to establish local institutional capacity for understanding and application of this mode of analysis and planning. This purpose should be achieved when the (continued in the middle column)

4. Project Change Requiring Revised PP and/or PAR
The proposed African site in Upper Volta, due to the high cost of programs in Africa and the need for full-time activity, is expected to require \$350,000 for implementation. This exceeds the planned budget for field sites by \$100,000. An increase will be presented for approval through a PAR in July 1977.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TO
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary In (\$000) and Work Months - WM											(11) Description of Funding
	(1) Personnel		(2) Participants		(3) Commodities	(4) Other Costs	(5) Total	(6) Expenditures	(7) End FY Pipeline	(8) FY	(9) Services Funded Thru	
	Dollars	WM	Dollars	WM								
USAID/Philippines CDO/Upper Volta USAID/Bolivia	1. Cum. Thru 9/30/76	250	12			250	5	245	3	78		Each of three subprojects obligated initially by ProAg. Funds sub-obligated by TA/UD contracts and grant to host government.
	2. Est. FY 1977	600	12			600	212	633	12	79		
	3. Est. FY 1978	0	30			0	383	250				
	4. Proposed FY 1979		24			0	200	50	9	81		
	5. Proposed FY 1980	200				200	200	50				
	6. Proposed FY 1981	0					50	0				
	7. All other											
	1,050					1,050	1,050					

A. Project Identification
 1. Cluster # 1000 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0210 4. Code: 869
 5. Project Title: Urban Functions: Bicol, Philippines Subproject
 6. Contractor: Dennis Rondinelli
 7. Contract No. AID-4-C-1356
 8. Project Manager Michael McNulty
 9. Appropriation: 6 10 Category B

B. PROJECT FISCAL DATA SHEET F-3

Item	Initial		Final	
1. Obligation:	FY 76	FY 78	Requested	FY
2. Service:	FY 77	FY 78	FY	
3. LOP Costs:		\$XX 250	\$	

C. Countries

Philippines

D. Project Documentation Status Date
 1. Date Current Approval Mar 1978
 2. New/Revised PP due TA/PP N/A
 3. Date Last Eval. N/A
 4. Date of Current PAR N/A
 5. Next Evaluation June 1978
 In-depth Evaluation _____
 Terminal Evaluation Y
 Special Evaluation _____
 6. Period September 1976-January 1978

E. Project Description

I. Planned Outputs

- Detailed work plan for urban functions in rural development analysis in the Bicol River Basin;
- quarterly evaluations and workshops;
- comprehensive plan for strengthening urban rural linkages found deficient in the context of the Bicol River Basin's integrated rural development program; and
- a final report evaluating the applicability to other country situations of the approaches and methodologies developed and/or applied in the Bicol subproject of the Urban Functions in Rural Development project.

2. Progress in Achieving Outputs/Est. Completion Date
 ProAg and PIO/T were signed in June 1976. The Philippines project director and staff were on board in August 1976 and the contract for U.S. technical inputs was signed in September 1976. Implementation has been close to schedule despite some initial delays and results of the project are reported as positive to date. Methodological difficulties with which the project team has had to grapple underscore the pioneering nature of this project. Completion of field work is scheduled for January 1978 and evaluation should be completed by June 1978.

3. Purpose of Project/Anticipated Achievement Date

(a) To reorient urban development in the Bicol River Basin the context of its rural agricultural character such that its centers directly complement and support the planned integrated rural development of the Basin area; and (b) in so doing, to test and further develop TA/UD approaches and methodological analysis and strengthening of urban functions in rural development.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	PSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	
		Personnel Dollars	Participants WM	Participants Dollars	Participants WM	Commod- ities	Other Costs	Total	Expend- itures	End FY Pipeline	Services Funded Thru Month Year	Description of Funding	
USAID/Philippines	1. Cum. Thru 9/30/76	250	///	///	///			250	5	245	3	78	This subproject was obligated initially by a ProAg.
	2. Est. FY 1977	0	12						212	33			
	3. Est. FY 1978	0	6						33	0			
	4. Proposed FY 1979												
	5. Proposed FY 1980												
	6. Proposed FY 1981												
	7. All other												
	8. TOTAL	250	///	///	///			250	250	---	---		

A. Project Identification

1. Cluster # 1803 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0210 4. Code 869
 5. Project Title Urban Functions: Fada and Koudougou, Upper Volta Subproject
 6. Contractor: (to be determined)
 7. Contract No. N/A
 8. Project Manager Eric Chetwynd, Jr.
 9. Appropriation 8 10 Category B

SUB-PROJECT FISCAL DATA SHEET F-3

B. Project Approval Status (\$000)

Item	Initial		Final	
	Approved	Requested	Approved	Requested
1. Obligation:	FY 77	FY 77	FY 77	FY 77
2. Service:	FY 78	FY 80	FY 80	FY 80
3. LOP Costs:		\$ 350		\$ 350

C. Countries

Upper Volta

D. Project Documentation Status Data

1. Date Current Approval: May 1976
 2. New/Revised PP due TA/PPU: N/A
 3. Date Last Eval.: N/A
 4. Date of Current FAR: N/A
 5. Next Evaluation: October 1978
 In-depth Evaluation: X
 Terminal Evaluation: _____
 Special Evaluation: _____
 6. Period: October 1977-September 1978

E. Project Description

1. Planned Outputs

- (a) Portfolio of identified projects to strengthen rural development functions and services of urban centers in the Koudougou and Eastern ORDs (Rural Development Planning Regions) in Upper Volta, to include location and indication of economic feasibility and relative priority.
- (b) An ORD planning framework and process for the above.
- (c) A Voltaic staff trained in project concepts and methodology.
- (d) A final report evaluating the applicability elsewhere in Upper Volta and in other country situations of the approaches and methodologies developed and/or applied in the Koudougou and Eastern ORDs.

2. Progress in Achieving Outputs/Est. Completion Date

A site selection team visited Upper Volta in March - April and prepared a report in English and in French proposing location of the Africa Urban Functions in Rural Development project in the Koudougou and Eastern ORDs and outlining the project content. Following the anticipated approval of the proposal by the Voltaic Government, a design team will visit Upper Volta in July 1977 to develop the Project Agreement and PIO/T, and it is expected that the project can be initiated in August or September 1977.

3. Purpose of Project/Anticipated Achievement Date

- (a) To improve rural and agricultural development in the Koudougou and Eastern ORDs by strengthening the rural functions and services of their urban centers, and (b) in so doing, to test and develop further TA/UD approaches and methodologies for analysis and strengthening of urban functions in rural development.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (in work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1) - (10)										(11) Services Funded Thru Month Year	(11) Description of Fundline			
		(1) Personnel Dollars	(2) Personnel WM	(3) Participation Dollars	(4) Participation WM	(5) Commodities	(6) Other Costs	(7) Total	(8) Expenses	(9) End Pipeline	(10) FY					
CDO/Upper Volta	1. Cum. Thru 9/30/76	0	///		///			0	0	0						
	2. Est. FY 1977	350	0					350	0	350	12	79			This subproject obligated initially	
	3. Est. FY 1978	0	12					0	200	150					by a ProAg with subobligation through a contract.	
	4. Proposed FY 1979	0	12					0	115	35						
	5. Proposed FY 1980	0	///		///			0	35	0						
	6. Proposed FY 1981		///		///											
	7. All other		///		///											
	8. TOTAL		350	///		///			350	350	---		---			

A. Project Identification
 1. Cluster # 1803 Title Regional Development
 2. RDA # 18 Title Urban Development
 3. Project # 0210 4. Code 869
 5. Project Title Urban Functions:
 Bolivia Subproject
 6. Contractor: (To be determined)
 7. Contract No. N/A
 8. Project Manager Michael McNulty
 9. Appropriation 6 10 Category B

SUB-PROJECT FISCAL DATA SHEET No. 1

B. Project Approval Status (\$000)

Item	Initial		Final	
	Approved	Requested	Approved	Requested
1. Obligation:	FY 77	FY 77	FY 77	FY 77
2. Service:	FY 78	FY 80	FY 80	FY 80
3. LOP Costs:		\$ 250		\$ 250

C. Countries

Bolivia

D. Project Documentation Status Data
 1. Date Current Approval May 1976
 2. New/Revised PP due TA/PPUN/A
 3. Date Last Eval. N/A
 4. Date of Current TAR N/A
 5. Next Evaluation November 1978
 In-depth Evaluation X
 Terminal Evaluation
 Special Evaluation
 6. Period November 1977-October 1978

E. Project Description

I. Planned Outputs

- Portfolio of projects identified to strengthen rural development functions and services of urban centers in one of the three proposed regions in Bolivia.
- A planning and development framework and process for the above.
- A Bolivian staff trained in project concepts and methodology.
- A final report evaluating the applicability elsewhere in Bolivia and in other country situations of the approaches and methodologies developed and/or applied in the Bolivian project.

2. Progress in Achieving Outputs/Est. Completion Date

A site selection survey team visited Paraguay and Bolivia in March - April 1977 and prepared a report proposing Bolivia as the Latin American site for the Urban Functions in rural development project; the report proposed three possible regions. The Mission and Bolivian Government are reviewing the report with a view to selecting one or a combination of the three regions tendered. A project design team has been proposed for June 1977 to develop a Project Agreement and PIO/T so that the project can be initiated by September 1977.

J. Purpose of Project/Anticipated Achievement Date

(a) To improve rural development in Bolivia by strengthening the rural functions and services of the urban centers in one or more selected regions, and (b) in so doing, to field test and develop further TA/UD approaches and methodologies for analysis and strengthening of urban functions in rural development.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	BSSA	TOTAL
1977					
1978					
1979					

Other Donors NAME \$000/Yr.	C. Budget Summary in (\$000) and Work Months - WM		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Personnel Dollars	WM	Participants Dollars	WM	Commod- ities	Other Costs	Total	Depend- itures	End Pipeline	FY	Services Funded Thru Month Year	Description of Funding	
USAID/Bolivia	0	12	0	12			0	0	0	250	0	12 79	This subproject was obligated initially by a ProAg with subobligation through a contract and a grant to the host government.
	0	12					0	150	100				
	0	12					0	75	25				
	0						0	25	0				
	250						250	250					
TOTAL	250						250	250					

ONGOING PROJECT FISCAL DATA-SHEET F-1

C. Countries

Panama
Costa Rica
Nicaragua
 (To be determined)

D. Project Documentation Status Data

1. Date Current Approval: December 1977
2. New/Revised PP due: TA/PPU: NA
3. Date Last Eval: NA
4. Date of Current FAR: NA
5. Next Evaluation: November 1977
6. Period: March 1977 - September 1977

E. Project Description

The implementation of this project has been moving ahead of schedule. The Project Paper was approved in December 1976. Two field applications were begun in March 1977 in Costa Rica and Panama. A minor application is being developed in conjunction with USAID/Nicaragua and documents and contract are expected to be processed in May 1977. Additional sites for FY 1978 are being explored, including Zambia, Swaziland, Botswana, Sudan, and Bangladesh. A Mission-TA/UD dialogue has been initiated in all of these countries. Completion date for field applications and packaging and dissemination of results is projected for December 1978.

B. Project Approval Status (1000)

Item	Initial	Approved	Requested
1. Obligations:	FY 77	FY 78	FY
2. Service:	FY 77	FY 79	FY
3. LOP Costs:		\$ 343	

3. Purpose of Project/Anticipated Achievement

To provide an effective analytical package for and regional analysis, and to provide a basis understanding and approaching basic problems and relationships between poverty and urban and rural development processes. This purpose will have been completed by December 1978 if project output at development schedules hold.

4. Project Change Requiring Revised PP and/or F

(a) The demand for the services provided through this project continues to grow. During FY 1977 POPS conditions should be re-examined. Perhaps project should result in a quasi-permanent staff institutional service capacity by FY1979 or (continued in first column).

F.Y. _____
 1977
 1978
 1979

Technical Office Support: (In work days)
 DH _____ IPA _____ CONSULT _____
 ASSA _____

2. Progress in Achieving Outputs/Est. Completion Date

The implementation of this project has been moving ahead of schedule. The Project Paper was approved in December 1976. Two field applications were begun in March 1977 in Costa Rica and Panama. A minor application is being developed in conjunction with USAID/Nicaragua and documents and contract are expected to be processed in May 1977. Additional sites for FY 1978 are being explored, including Zambia, Swaziland, Botswana, Sudan, and Bangladesh. A Mission-TA/UD dialogue has been initiated in all of these countries. Completion date for field applications and packaging and dissemination of results is projected for December 1978.

4. Project change (continued)

for proximity to ROCAP) and be the start-up vehicle. Also for evaluation of these three sub-projects. This would involve an additional \$20,000 in evaluation and utilization funds in FY 1978.

10 Category B

or regional analyses in a situations.
 regional analysis package.
 inal analysis package and seminars/workshops.

(ued)
 ine urban and regional eld missions.

plementarity, and cross-gua assessments have given a three-country conference analysis after the three pleted. The conference could 77 (e.g., in Guatemala.

(e column)

get Summary, (\$000) and Months - WM Thru 9/30/76

FY 1977
 FY 1978
 posed FY 1979
 posed FY 1980
 posed FY 1981
 other
 ...

totals

	(1) Personnel Dollars	(2) WH	(3) Participants Dollars	(4) Commodities	(5) Other Costs	(6) Total	(7) Expenditures	(8) End FY Pipeline	(9) FY	(10) Services Funded Thru Month Year	Description of Fund/Use
Thru 9/30/76	0					0	0	0			
FY 1977	143	40				143	128	15	12	77	Pro. Ag. is used to fund each subproject with subobligation through contracts
FY 1978	200	40				200	165	50	12	78	with Checofi and Co (Panama) and with Practical Concepts (Costa Rica and Nicaragua).
posed FY 1979	0	3					50	0			
posed FY 1980											
posed FY 1981											
other											
...											
totals						90	343	343			

A. Project Identification
 1. Charter # 1803 Title Regional Development
 2. RPA # 18 Title Urban Development
 3. Project # 1092 4. Code 869
 5. Project Title Urban and Regional Analysis: Costa Rica Subproject
 6. Contractor: Practical Concepts, Inc.
 7. Contract No. AID-DTR-C-1377
 8. Project Manager Eric Chetwynd, Jr.
 9. Appropriation 6 10. Category B

B. PROJECT FISCAL DATA SHEET E-3

Item	Fiscal Year		
	Initial	Approved	Requested
1. Obligation:	FY 77	FY 77	FY
2. Service:	FY 77	FY 78	FY
3. LOP Costs:		\$ 52	\$

C. Countries
Costa Rica

D. Evaluation Schedule
 1. Date Current Report: November 1976
 2. New/Revised PP: NA
 3. Date Last Eval.: NA
 4. Date of Current RAE: NA
 5. Next Evaluation: November 1977
 In-Depth Evaluation _____
 Terminal Evaluation X
 Special Evaluation _____
 6. Period: March 1977 - September 1977

I. Planned Outputs

- (a) Interim and final reports of an urban assessment in Costa Rica focussing on the San Jose urban agglomeration as a backdrop to mission urban poverty program development.
- (b) Critique of the TA/UD "Guidelines for Urban and Regional Analysis" as they have been tested in Costa Rica.
- (c) An evaluation and case study of the Costa Rica field application of the "Guidelines".

E. Project Description

2. Progress in Achieving Outputs/Est. Completion Date
 The TA/UD ProAg and PIO/T were signed by the Presidentia of the GOCR and USAID/Costa Rica in late February 1977. The three Costa Rican members of the analytic team funded under the ProAg (two women and one man) were recruited immediately from UCR, arrived in Costa Rica in late March 1977 under an IQC work order signed in mid-March with Practical Concepts, Inc. The first field trip report of the U.S. team members reviewed in mid-April was positive. Field work is scheduled for completion in September 1977 and final project outputs should be ready for TA/UD in October 1977.

3. Purpose of Project/Anticipated Achievement Date

To assist the GOCR and USAID in conducting an urban poverty-based assessment of the greater San Jose urban agglomeration and in so doing to apply, test, and refine the TA/UD "Guidelines for Urban and Regional Analysis." Purpose will have been achieved upon completion of project evaluation scheduled for November 1977.

4. Project Change Requiring Revised PP and/or PAF

None is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DM	IPA	CONSULT	PSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
		Personnel Dollars WM	Participants Dollars WM	Commod- ities	Other Costs	Total	Expend- itures	End FY Pipeline	Services Funded Thru Month Year	Description of Funding		
USAID/Costa Rica	1. Cum. Thru 9/30/76	0	22	11		0	0					
	2. Est. FY 1977	53	28			53	50	3	12	77		Pro Ag used initially to fund subproject.
	3. Est. FY 1978	0	0			0	3	0				IQC work order with Practical Concepts, Inc
	4. Proposed FY 1979											
	5. Proposed FY 1980											
	6. Proposed FY 1981											
	7. All other											
TOTAL	53	28	11		53	53						

Project Identification
 Cluster # 1803 Title Regional Development
 RDA # 18 Title Urban Development
 Project # 1092 Code 869
 Project Title Urban and Regional Analysis: Panama Subproject
 Contractor: Checchi and Company
 Contract No. AID-OTR-C-1141
 Project Manager Eric Chetwynd, Jr.
 Appropriation 6 Category B

SUB-PROJECT FISCAL DATA SHEET F-3

B. Project Approval Status (\$000)

Item	FISCAL YEAR		
	Initial	Approved	Requested
1. Obligation:	FY 77	FY 77	FY
2. Service:	FY 77	FY 78	FY
3. LOP Costs:		\$ 80	\$

C. Countries

Panama

D. Project Documentation Status Data

1. Date Current Approval December 1976
2. New/Revised PR due TA/PPU NA
3. Date Last Eval, NA
4. Date of Current PAR
5. Next Evaluation November 1977
 In-depth Evaluation
 Terminal Evaluation X
 Special Evaluation
6. Period March 1977 - September 1977

E. Project Description

- Planned Outputs**
-) A final report synthesizing analyses performed in assisting the Ministry of Planning and Economic Policy (MPPE) and USAID/Panama in conducting pre-project analyses for the planned USAID Growth and Service Centers Development project.
 -) A critique of the TA/UD "Guidelines for Urban and Regional Analysis" as tested in Panama.
 -) A brief case study of the Panama urban and regional analysis test application.

2. Progress in Achieving Outputs/Est. Completion Date

The TA/UD ProAG and PIO/T were signed in March 1977 by the MPPE and USAID/Panama, signaling the commencement of field activity. An IQC work order with Checchi and Company was signed also in March 1977 and the two-man contract team started work in Panama in early April 1977. Field work is scheduled for completion by September 1977 and the final project outputs are expected by October 1977.

3. Purpose of Project/Anticipated Achievement Date

To assist the Panamanian Ministry of Planning and Economic Policy and USAID in conducting pre-project analyses for the planned USAID Growth and Service Centers Development project, and in so doing to apply, test, and refine TA/UD "Guidelines for Urban and Regional Analysis." Purpose will have been achieved upon completion of project evaluation in November 1977.

4. Project Change Requiring Revised PP and/or PAF

No change in project scope or implementation plan is anticipated.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

Other Donors \$000/Yr.	C. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
		Personnel Dollars WM	Participants Dollars WM	Commod- ities	Other Costs	Total	Expend- Sources	End Pipeline	FY	Services Funded Thru Month Year	Description of Funding	
USAID/Panama	1. Cum. Thru 9/30/76	0	10			0	0				12 77	Pro Ag used initially to fund subproject.
	2. Est. FY 1977	80	10			80	70	10				IQC work order with Checchi and Company.
	3. Est. FY 1978	0	0			0	10	0				
	4. Proposed FY 1979											
	5. Proposed FY 1980											
	6. Proposed FY 1981											
	7. All other											
	TOTAL	80	10			80	80					

1. Cluster # 1323 Title: Regional Development
 2. ESN # 13 Title: Urban Development
 3. Project # 1092 Code 869
 4. Project Title: Urban and Regional Analysis: Nicaragua Subproject
 5. Contractor: Practical Concepts, Inc.
 6. Contract No. AID-OTR-C-
 7. Project Manager: Eric Chetwynd, Jr.
 8. Appropriation 6 10. Category B

Item	FY 77	FY 78	FY 79
1. Obligations:	FY 77	FY 78	FY 79
2. Services:	FY 77	FY 78	FY 79
3. LOP Costs:		\$ 10	\$

C. Countries
Nicaragua

3. Project Identification Status Date
 1. Date Approved: 10/14/77
 2. Date Revised: 10/14/77
 3. Date Last Eval. NA
 4. Date of Current PAF NA
 5. Next Evaluation November 1977
 In-Depth Evaluation
 Terminal Evaluation X
 Special Evaluation
 6. Period July 1977 - September 1977

- I. Planned Outputs
- (a) Preliminary analysis and socio-economic profile of rural-urban migration flows and design of scope of work for more detailed analysis.
 - (b) Preliminary assessment of causal factors in migration and design of scope of work for more detailed analysis.
 - (c) Preliminary assessment of income distribution within urban and potentially migrant population and design of scope of work for more detailed analysis.
 - (d) Critique of TA/UD "Guidelines for Urban and Regional Analysis" as tested in Nicaragua urban assessment.
 - (e) Brief case study of the Nicaragua urban and regional analysis test application.

2. Progress in Analyzing Outputs/Est. Completion Date

The Nicaragua Mission has developed a scope of work for an urban sector analysis drawing heavily on the TA/UD "Guidelines for Urban and Regional Analysis" and the projects in Panama and Costa Rica. TA/UD is contributing a TA component of \$10,000 to the analysis to maximize cross-fertilization among the three Central American assessments and to gain another test and case study at small cost. As of April 1977, the CON, Mission, and TA/UD had agreed upon a scope of work for the TA/UD input and a team is being recruited. It is anticipated that field work will commence in July 1977 and will be completed in September 1977.

3. Purpose of Project/Anticipated Achievements Date

To assist USAID/Nicaragua and the Nicaraguan Ministry of Economic Planning with integration and coverage distribution elements of Nicaraguan urban sector assessment, and to be going to assess the application of and to refine the TA/UD "Guidelines for Urban and Regional Analysis." Purpose will have been achieved after project evaluation proposed for November 1977.

4. Project Change Requiring Revised PAF and/or PAF

No changes are anticipated.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	BSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1) Personnel		(2) Participants		(3) Commodities	(4) Other Costs	(5) Total	(6) Expenses	(7) End FY	(8) Pipeline	(9) Services Funded Thru	(10) Month Year	(11) Description of funding
		Dollars	WM	Dollars	WM									
USAID/Nicaragua	1. Cum. Thru 9/30/76	0	///					0	0					
	2. Est. FY 1977	10	2					10	8	2		12	77	Pro Ag used initially to fund subproject. IQC work order with
	3. Est. FY 1978	0	0					0	2	0				Practical Concepts, Inc.
	4. Proposed FY 1979													
	5. Proposed FY 1980													
	6. Proposed FY 1981													
	7. All other													
TOTAL		10	///					10	10					

A. Project Identification

1. Cluster # 1803 Title Regional Development
2. RDA # 18 Title Urban Development
3. Project # _____ 4. Code 869
5. Project Title Structuring Urban Systems Through Farm Unit Demand
6. Contractor: (to be determined)
7. Contract No. _____
8. Project Manager Eric Chetwynd Jr.
9. Appropriation 6 10 Category B

PROJECT FISCAL DATA SHEET F-2

3. Project Approval Status (\$000)

Item	Initial		Final	
		Approved	Requested	
1. Obligation:	FY 79	FY _____	FY 81	
2. Service:	FY 79	FY _____	FY 82	
3. LOP Costs:		\$ _____	\$ 1,550	

C. Countries

(To be determined)

D. Project Documentation Status Data

1. Date of Current PID Approval Feb
2. Draft Project Paper due TA/PPU Jun

(* estimated)

E. Project Description

PROJECT GOAL (type within brackets)

[Strengthen the contribution of city- and town-based activities and services to rural development in least developed regions.]

Technical Office Support to Manage Project (in work days)

	FY	DH	IPA	CONSULT	RSSA	TOTAL
1977						
1978						
1979						

PROJECT PURPOSE(S) (type within brackets)

[To develop, apply, and disseminate an approach for strengthening urban functions in rural development based on an analytical process which begins at the level of the farm unit.]

PLANNING RESOURCE REQUIREMENTS (initial/fund) Project Design

Type	Amount (\$000)
Small Research Activity Funds in FY 1978	\$25,000

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11) Description of funding
		Personnel Dollars WM	Participants Dollars WM	Commod- ities	Other Costs	Total	Expend- itures	End FY Pipeline	Services Funded Thru Month Year			
(To be determined)	1. Cum. Thru 9/30/76	0	///	///			0	0				
	2. Est. FY 1977	0					0	0				
	3. Est. FY 1978	0					0	0				
	4. Proposed FY 1979	1,400	120				1,400	1,000	400	1	82	Each demonstration subproject funded initially by ProAg.
	5. Proposed FY 1980	0	///	///			0	300	100			
	6. Proposed FY 1981	150	///				150	200	50	9	82	Funding for 12 months
	7. All other							50	0			
	8. TOTAL	1,550					1,550	1,550	---	---		

A. Project Identification
 1. Cluster # 1801 Title: Employment & Productivity
 2. PDA # 16 Title: Urban Development
 3. Project # 1090A 4. Code: 869
 5. Project Title: Small Enterprise Assessment
 6. Contractor: (To be determined)
 7. Contract No. N/A
 8. Project Manager: William F. Miner
 9. Appropriation: 0 10 Category B

CROSSING PROGRAM FISCAL DATA SHEET # 1

B. Project Financial Status (1977)

Item	Approved	Requested
1. Obligations: FY 77	FY	FY 77
2. Services: FY 78	FY	FY 80
3. LOZ Costs:	FY	\$1,165

C. Countries

(To be determined)

D. Project Financial Status Data
 1. Date Current Report: _____
 2. New/Revised PP due to: _____
 3. Date Last Eval: _____
 4. Date of Current PAB: _____
 5. Next Evaluation: _____
 In-Depth Evaluation: _____
 Terminal Evaluation: _____
 Special Evaluation: _____
 6. Period: N/A

E. Project Description

1. Planned Outputs

- (a) Increased Agency and LDC understanding of the nature, role, and function of the small-scale and informal enterprise sectors in the economies of the LDCs.
- (b) Identification of points of intervention in the functioning of these sectors which can be used to enhance their employment and productivity capacities.
- (c) Country specific pilot demonstration projects and programs in these sectors which specifically benefit the urban poor.
- (d) Dissemination of the results of pilot demonstration projects.

2. Progress in Achieving Outputs/Est. Completion Date

A "brainstorming" workshop in late April 1977 brought together a number of specialists and Agency officials to review the state of the art and to consider possible program priorities. The results of this meeting were used to develop a Project Paper in May for the consideration of the R & D Committee in June. It is planned that a contract with a qualified institution will make it possible to organize and subcontract for the necessary studies and analyses in FY 1979 which can lead to the design of country specific projects and programs for implementation in FY 1979 and FY 1980. The synthesis and dissemination of the results of pilot demonstrations are planned for FY 1981.

3. Purpose of Project/Anticipated Achievement Date

To demonstrate the potential of increasing job and income-producing opportunities for the urban poor in the small-scale and informal enterprise sectors of the economies of selected countries. It is expected that demonstrated results can be realized by FY 1981.

4. Project Change Requiring Revised PP and/or PAB

None is anticipated within the next year.

5. Technical Office Support: (In work days)

F.Y.	DW	IPA	CONSULT	POSA	TO
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)		(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11) Description of funding
		Personnel Dollars	WM	Participants Dollars	Commod- ities	Other Costs	Total	Expend- itures	End FY Pipeline	Services Funded Thru Month Year			
(To be determined)	1. Cum. Thru 9/30/76	0						0	0				
	2. Est. FY 1977	300						300	0	300	12	79	Funded initially by TAB contract
	3. Est. FY 1978	465						465	400	365	12	80	Each demonstration subproject to be
	4. Proposed FY 1979	200						200	300	265			funded initially by a Project
	5. Proposed FY 1980	200						200	300	165	9	82	
	6. Proposed FY 1981	0						0	165	0			
	7. All other												
	8. Total	1,165						1,165	1,165				

1. Client, _____
and Manager _____
2. FSA # _____
3. Project # _____
4. Project Title: Integrated Programming
for the Urban Poor
5. Contractor: (To be determined)
6. Contract No. NA
7. Project Manager Eric Chetwynd, Jr.
8. Appropriation 6 18 Category B

Item	Actual	Estimated	Reprogrammed
1. Obligation:	FY 77	FY 77	FY 77
7. Services:	FY 77	FY 77	FY 80
3. LOP Costs:		\$	\$ 400

1. _____
2. _____
3. Date last eval. _____
4. Date of Current PAR NA
5. Next Evaluation NA
In last Evaluation _____
Terminal evaluation _____
Special Evaluation _____
6. Period NA

E. Project Description

1. Planned Outputs

- (a) Improved GUIDELINES
- (b) Skill in applying GUIDELINES
- (c) Demonstrated and documented experience (i.e., in applying GUIDELINES)
- (d) Increased capacity to design and evaluate the impact of projects intended to benefit the urban poor.

2. Progress in Achieving Outputs/Est. Completion Date

Two possible sites for field testing and demonstration have been identified and are being developed. In one instance the project is to be a special and supporting component of a proposed HG project, "Improvement Program for the Urban Poor." In the other, the project is to be a separate undertaking which, nevertheless, will be related to a HG loan. Results from these demonstrations are expected in FY 1978. Additional demonstrations in other geographical regions are planned for FY 1978 with results expected in FY 1979.

3. Purpose of Project/Anticipated Achievement Date

To develop further TA/UD's GUIDELINES FOR FORMULATING PROJECTS TO BENEFIT THE URBAN POOR IN DEVELOPING COUNTRIES as a tool for addressing urban poverty and to increase Agency and LPC capability in using the GUIDELINES tool.

4. Project Change Anticipated Revised and/or Canceled

None is anticipated during the first year.

5. Technical Office Support: (In work days)

F.Y.	DM	IPA	CONSULT	RSSA	TO
1977					
1978					
1979					

F. Other Donors NAME 1000/Yr.	G. Budget Summary in (1000) and Work Months - WM	C. Budget Summary										(11) Description of Funding	
		(1) Dollars	(2) WM	(3) Dollars	(4) WM	(5) Dollars	(6) Other Costs	(7) Total	(8) Expenses	(9) End Pipeline	(10) Services Funded thru Month Year		
(To be determined)	1. Cum. Thru 9/30/76	0	///					0	0				
	2. Est. FY 1977	150	14					150	0	150	9 79		Funded initially through TAB contract
	3. Est. FY 1978	250	56					250	350	50	9 80		Demonstration subprojects funded
	4. Proposed FY 1979	0	124						50	-0			initially by Pro Aps.
	5. Proposed FY 1980	0	///										
	6. Proposed FY 1981	0	///										
	7. All other	0	///										
	8. TOTAL	400							76	400	400		

A. Project Identification
 1. Cluster # 1502 Title Urban Finance and Management
 2. RDA # 15 Title Urban Development
 3. Project # 1110 4. Code 809
 5. Project Title Urban Financial Management
 6. Contractor: (To be determined)
 7. Contract No. N/A
 8. Project Manager William R. Miner
 9. Appropriation 6 10 Category B

PROJECT FINANCIAL DATA SHEET F-2

B. Project Approval Status (\$000)

Item	Initial		Final	
	Approved	Requested	Approved	Requested
1. Obligation:	FY 78	FY 78	FY 78	FY 78
2. Service:	FY 78	FY 78	FY 81	FY 81
3. LOP Costs:			\$	\$450

C. Countries
(To be determined)

D. Project Documentation Status
 1. Date of Current PDM Approval Jan. 1978
 2. Draft Project Paper due March, April 1978
 (* estimated)

E. Project Description

PROJECT GOAL (stay within brackets)

To improve the resource base for the equitable provision of essential services and the people's access to them in urban centers in developing countries.

Technical Office Support to Manage Project (in work days)

FY	DM	TPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

PROJECT PURPOSE(S) (stay within brackets)

Help develop and test effective and innovative means of national and local financing of essential services.

PLANNING RESOURCE REQUIREMENTS (staff/funds) Project Design

Type	Amount (\$000)
Small Research Activities in FY 1977	\$20,000 - \$30,000
Small Research Activities in FY 1978	\$40,000 - \$60,000

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11) Description of Project
		Personnel Dollars WM	Participants Dollars WM	Commod- ities	Other Costs	Total	Expend- itures	Ind Pipeline	FY	Services Funded Thru Month Year		
(To be determined)	1. Cum. Thru 9/30/76	0	0	0	0	0	0	0	0	0		
	2. Est. FY 1977	0	0	0	0	0	0	0	0	0		
	3. Est. FY 1978	150	18	0	0	150	125	25	6	79		Funding for 12 months.
	4. Proposed FY 1979	300	36	0	0	300	275	50	9	81		Each demonstration subproject will be
	5. Proposed FY 1980	0	0	0	0	0	50	0				funded initially by Proj.
	6. Proposed FY 1981	0	0	0	0	0	0	0				
	7. All other	0	0	0	0	0	0	0				
8. TOTAL	450	54	0	0	450	450	75	15	81			

A. Project Identification
 1. Cluster # 1899 Title Urbanization Problems in National Development
 2. RDA # 18 Title Urban Development
 3. Project # 4. Code: 869
 5. Project Title Resource Conserving Urbanism
 6. Contractor: (To be determined)
 7. Contract No. N/A
 8. Project Manager Eric Cherwynd, Jr.
 9. Appropriation: 6 10 Category B

B. Project Approval Status (\$000)

Item	Initial		Final	
	Approved	Requested	Approved	Requested
1. Obligation:	FY 79	FY 79	FY	FY 79
2. Service:	FY 79	FY	FY	FY 84
3. LOP Costs:		\$		\$ 2,100

C. Countries
(To be determined)

D. Project Documentation Status Data
 1. Date of Current PID Approval Oct. 1977
 2. Draft Project Paper Due TA/PTW May 1978

(* estimated)

E. Project Description

PROJECT GOAL (stay within brackets)

Resource conserving and environmentally sound urbanization in developing countries.

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

PROJECT SUPPORT (stay within brackets)

To introduce optional patterns of human settlement that are more resource conserving and environmentally sounder than current conventional patterns.

PLANNING RESOURCE REQUIREMENTS (total/funded) Project Design

Type	Amount (\$000)
Project Design	\$25,000

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - WM	(1) Personnel Dollars WM	(2)	(3) Participants Dollars WM	(4)	(5) Commod- ities	(6) Other Costs	(7) Total	(8) Expend- itures	(9) End FY Pipeline	(10) Services Funded Thru		(11) Description of Funding
											Month	Year	
(To be determined)	1. Cum. Thru 9/30/76	0						0	0				
	2. Est. FY 1977	0						0	0				
	3. Est. FY 1978	0						0	0				
	4. Proposed FY 1979	300	24					300	250	50	9	81	Funding of one field demonstration for 2 yea
	5. Proposed FY 1980	300						300	300	50	9	82	Funding of one field demonstration for 2 yea
	6. Proposed FY 1981	600						600	500	150	9	83	Funding of additional field demonstrations.
	7. All other	900						900	1,050	0	9	84	
	8. TOTAL	2,100						2,100	2,100				

A. Project Identification
 1. Cluster # 202 Title Non-Cluster Activities
 7. RDA # 18 Title Urban Development
 3. Project # 1142 4. Code 869
 5. Project Title Urban Program Development and Support
 6. Contractor: (To be determined)
 7. Contract No. N/A
 8. Project Manager William R. Miner
 9. Appropriation 6 10. Category B

B. Project Approval Status (\$000)

Item	Final	
	Approved	Requested
1. Obligation:	FY 77	FY 77
2. Service:	FY 77	FY 79
3. LOP Costs:		\$ 590

C. Countries
Interregional

D. Project Documentation Status Data
 1. Date Current Approval July 1977
 2. New/Revised PP due IA/PPU July 1977
 3. Date Last Eval. N/A
 4. Date of Current PAR N/A
 5. Next Evaluation April 1978
 In-depth Evaluation _____
 Terminal Evaluation _____
 Special Evaluation X
 6. Period October 1977 - March 1978

1. Planned Outputs
 On request of field missions, other AID offices, and TA/UD
 -- Special studies and information searches
 -- Feasibility studies
 -- Contributions to project design
 -- Project evaluations
 -- Review of proposals
 -- Talent searches
 -- Special technical consultations
 -- Arrangements of training programs.

E. Project Description
 2. Progress in Achieving Outputs/Est. Completion Date
 In the fall of 1976 possibilities for a PASA or RSSA were explored with HUD/OIA and the National Academy of Sciences. HUD countered with a proposal to AA/IDC and further staff level discussions ensued. With the change of administration and a new HUD Secretary, the proposal is not expected to be taken up again until mid-summer.

3. Purpose of Project/Anticipated Achievement Date
 To provide AID with a broader capacity to respond to anticipated increased requests for special information and technical services in the urban development field.

4. Project Change Requiring Revised PP and/or PAF
 None

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977					
1978					
1979					

F. Other Donors NAME \$000/Yr.	G. Budget Summary In (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
		Personnel		Participants		Commod-	Other	Total	Expens-	End FY	Services	Description of Funding
		Dollars	WM	Dollars	WM	ities	Costs					
Interregional	1. Cum. Thru 9/30/76	0						0	0	0		
	2. Est. FY 1977	90						90	0	90	12	78
	3. Est. FY 1978	500						500	390	200	9	79
	4. Proposed FY 1979	0						0	200	0		
	5. Proposed FY 1980											
	6. Proposed FY 1981											
	7. All other	590						590	590			

Office IA/ODSMALL ACTIVITY PROJECTS

	<u>Resource Requirements (\$000/Work Days)</u>		
	<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
<u>#1803 - Regional Development</u>			
<u>1. Small Research</u>			
a. <u>Structuring Urban Systems Through Farm Unit Demand</u>		\$25,000/7	
<u>2. Evaluation</u>			
a. <u>Land Use Programming: Leon (Gakenheimer)</u>	\$2,750/2		
b. <u>Urban and Regional Analysis Workshop (Central America)</u>		\$20,000/10	
<u>3. Special Projects - Input</u>			
a. <u>Urban Functions Site Selection: Bolivia, Paraguay (Conroy)</u>	\$5,000/2		
b. <u>Urban Functions Site Selection: Upper Volta (Hawley)</u>	\$7,000/2		
<u>#1801 - Employment and Productivity</u>			
<u>1. Special Projects - Input</u>			
a. <u>"Brainstorming" Workshop</u>		\$6,000/5	

Office TA/UD

	<u>Resource Requirements (\$/00/Work Days)</u>		
	<u>FI 77</u>	<u>FI 78</u>	<u>FI 79</u>
<u>#1802 - Urban Finance and Management</u>			
<u>1. Small Research</u>			
a. Urban Financial Management	\$25,000/7	\$40,000/10	
b. Participatory Planning	\$25,000/7	\$35,000/5	
<u>#1899 - Urbanization in National Development</u>			
<u>1. Small Research</u>			
a. Differential Fertility (GE/TEMPO)	\$28,000/7		
<u>2. Special Projects - Input</u>			
a. Resource-Conserving Urbanism (Project Design PAGA)		\$25,000/10	
<hr/>			
<u>Total</u>			
<u>Small Research</u>	\$78,000/21	\$100,000/22	
<u>Evaluation</u>	2,750/2	20,000/10	
<u>Special Projects - Inputs</u>	18,000/9	25,000/10	
<u>TOTAL</u>	\$98,750/32	\$145,000/42	

ANNUAL WORKLOAD SCHEDULE OFFICE SUMMARY

Work Days for FY 77, FY 78, FY 79

Division-Employee Position -Name	Emp Type	A. Planning/Strategizing			B. RB/Mission Support			C. Proj. Dev. & Management			D. Contact W IO & Prof. Orgs.			E. Administ./Supervision			Total		
		FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79
REGIONAL DEVELOPMENT																			
1. MINER	D-H	20	5	6	0	3	11	10	3	3	2	2	5	20	20	14	52	33	39
2. CHETWYND	D-H	11	4	3	25	35	40	83	66	37	2	3	4	10	12	5	131	120	90
3. MCNULTY	IPA	13	18	18	15	42	53	187	153	145	0	0	0	0	0	0	215	213	216
4. LABOR ECONOMIST	D-H	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. TRAYLOR	D-H	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
EMPLOYMENT AND PRODUCTIVITY																			
1. MINER		27	34	27	26	43	62	39	159	158	9	16	12	20	25	12	151	277	272
2. CHETWYND		10	14	7	20	13	14	10	4	3	3	6	7	20	23	2	71	6	40
3. MCNULTY		6	0	0	6	0	8	8	5	5	2	0	0	0	0	0	22	5	13
4. LABOR ECONOMIST		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. TRAYLOR		5	20	20	0	30	40	21	150	150	2	10	5	0	0	0	28	210	215
URBAN FINANCE AND MANAGEMENT																			
1. MINER		45	61	27	5	28	45	8	129	160	8	19	18	15	25	13	81	262	263
2. CHETWYND		6	11	7	5	8	15	3	3	4	3	4	8	15	25	13	32	51	47
3. MCNULTY		4	0	0	0	0	0	0	6	6	0	0	0	0	0	0	4	6	6
4. LABOR ECONOMIST		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
5. TRAYLOR		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
URBANIZATION & NATIONAL DEVELOPMENT																			
1. MINER		35	50	20	0	20	30	5	120	150	5	15	10	0	0	0	45	205	210
2. CHETWYND		15	10	5	4	10	20	23	60	60	1	5	3	16	12	10	39	27	38
3. MCNULTY		0	0	0	0	0	0	0	10	10	1	2	3	16	10	10	21	27	48
4. LABOR ECONOMIST		13	5	0	4	0	0	21	50	50	0	3	0	0	2	0	38	60	50
5. TRAYLOR		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

ANNUAL WORKLOAD SCHEDULE OFFICE SUMMARY

Work Days for FY 77, FY 78, FY 79

Division-Employee Position -Name	Emp Type	A. Planning/Strategizing			B. RB/Mission Support			C. Proj. Dev. & Management			D. Contact W IO & Prof. Orgs.			E. Administ./Supervision			Total		
		FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79	FY 77	FY 78	FY 79
		OTHER (NOT ATTRIBUTED TO CLUSTERS)																	
1. MINER		2	5	15	46	30	20	0	0	0	1	2	2	5	10	15	54	47	52
2. CHETWYND		4	8	14	7	7	15	0	0	0	9	6	20	15	9	20	35	30	69
3. MCNULTY		0	0	0	0	0	0	0	0	0	7	7	7	2	10	7	15	17	17
4. LABOR ECONOMIST		0	2	5	0	2	2	0	0	0	1	6	3	1	10	5	2	20	15
5. TRAYLOR		0	5	5	0	5	5	0	0	0	3	5	5	2	10	5	5	35	20
TOTAL		137	152	125	128	205	273	350	570	563	43	71	79	112	143	102	770	1,141	1,148
1. MINER		46	40	40	71	64	80	25	20	20	12	16	25	76	50	65	230	230	230
2. CHETWYND		38	17	17	42	42	63	112	127	98	13	12	24	25	23	26	250	221	228
3. MCNULTY		13	18	18	15	42	53	187	153	145	7	7	7	8	10	7	230	230	230
4. LABOR ECONOMIST		5	22	25	0	32	42	21	150	150	3	16	8	1	10	5	30	230	230
5. TRAYLOR		35	55	25	0	25	35	5	20	150	8	20	15	2	10	5	50	230	230
TOTAL TA/UD % BY ACTIVITY		17.8	13.3	10.9	16.6	18.0	23.8	45.5	50.0	49.0	5.6	6.2	6.9	14.5	12.5	9.4	100.0	100.0	100.