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**AGENCY FOR
INTERNATIONAL
DEVELOPMENT**

ANNUAL BUDGET SUBMISSION

FY 1979

**TECHNICAL ASSISTANCE BUREAU
OFFICE OF RURAL DEVELOPMENT**

**DEPARTMENT
OF
STATE**



MAY 1977

UNCLASSIFIED

TABLE OF CONTENTS

	<u>PAGE</u>
Office Summary	1-18
Table V -- FY 1979 Proposed Program Ranking	19
Office Printout	20-21
Participation Cluster	
Narrative	22-27
A-1 Tables	28-39
Local Action II PID	40-47
Rural Development Methodologies Cluster	
Narrative	48-51
A-1 Tables	52-57
Critical Problems Cluster	
Narrative	58-69
A-1 Tables	70-83
Rural Market Systems Draft PP (PID Equivalent)	84-111
Off-Farm Employment Draft PP (PID Equivalent)	112-142
Alternative Rural Development Strategies Draft PP (PID Equivalent)	143-162
Memorandum to Mr. Curtis Farrar, AA/TA	163-165
Integration Processes PID	166-172

TABLE OF CONTENTS (con't)

	<u>PAGE</u>
Non-cluster Activities	
Narrative -- Program Development and Support	173-176
A-1 Tables	177-182
A-2 Tables	183-190
Rural Development F Tables	191-211
Rural Development G Tables	212-216

PART I

OFFICE SUMMARY

The strategy of the Office of Rural Development is to help AID do better quality rural development work by marshalling human and intellectual resources upon which the Agency can draw for information, ideas, consulting and applied research. Our emphasis is on programmatically relevant support for mission rural development activities in the short and medium term. The critical frontier of knowledge in rural development is how to do rural development operations effectively. Much is to be learned from working closely with mission operations. Conversely, missions require knowledge of the local environment, ideas and qualified people to help them carry out their RD tasks. We contribute to meeting these needs by placing a major emphasis in our strategy on marshalling capacity in US institutions to help AID missions and through them IDC institutions.

This "applied research and consulting" strategy constitutes the largest portion of TA/RD's proposed program. More traditional R&D projects will be a small part of TA/RD's program.

The applied research and consulting strategy stresses multidisciplinary analysis and draws upon the many social science disciplines which are crucial to an understanding of the problems of AID's target groups. Nine social science disciplines are currently represented in TA/RD's staff providing AID with a unique resource in this field.

This strategy and the program described below were devised with the Rural Development Steering Committee supplemented by extensive discussions within the Agency, including the deliberations of the Working Group on the Rural Poor, and formal and informal dialogue with missions and bureaus over the past two years.

The following set of problem areas was selected as requiring priority attention by this office: Participation in Rural Development, Data Gathering and Analysis Methodologies for Rural Development, Land Tenure, Area Development Projects, Rural Financial Institutions, Rural Market Systems, Off-farm Employment, Alternative Rural Development Strategies, and Integration of Income Producing and Social Services Activities in Rural Development. These problem areas make up TA/RD's program. In response to Section 117 of the proposed FY 1978 authorization legislation, we are also proposing a project titled Rural Development and Fertility. In addition, we have a RSSA with the USDA to assist us in developing and implementing the entire program. The recent R&D priorities exercise undertaken by TAB, the results of which are summarized later in this narrative, confirm that our program is targeted on the right set of problem areas.

TA/RD's program will unfold through three somewhat overlapping stages. The first stage of the office's operations, through FY 1977, can be characterized as program development. A great deal

of effort was expended developing projects and recruiting staff. By the end of this fiscal year, TA/RD will have developed and obtained approval (but not necessarily obligated funds for) the large majority of the projects which are at the core of its FY 1977-1979 program. During this first stage, sufficient consulting work in missions by direct hire TA/RD staff is being done to maintain contact and to provide reality checks on project development.

The second stage begins with fiscal year FY 1978 and goes through FY 1981. This is the period of implementation for the set of activities we are now developing: applied research and consulting in critical rural development problem areas. We expect to accomplish a significant increase in quality, and quantity of resources available to support the Agency's rural development action programs during this stage. Specifically, during stage 2:

1. Missions will be provided convenient access to a wide range of expertise in rural development problems.
2. Many missions will undertake jointly with TA/RD and independently with TA/RD assistance programatically relevant rural development research activities in their countries.
3. Much substantive knowledge will be generated and consolidated with existing knowledge to provide deeper understanding of the rural development process in a form conveniently usable by practitioners.
4. Networks of experts and consultants, including many IDC and US minority people, will be operating to facilitate access to

expertise and to assure network members are up to date on the best current thinking in their areas and rural development generally.

5. A larger number of rural development projects will have been initiated with higher probabilities of success because of improved quality of technical assistance provided missions through the TA/RD program.

The third phase of TA/RD's program will start in FY 1980. Its initiation would overlap with the decline in management requirement of the second stage, picking up on and elaborating the most promising results of that stage. We will devote part of FY 1979 to planning for stage 3. While it is too early to characterize it now, we expect that we will extend our target group beyond AID missions directly to LDC institutions. As already noted, our contact with LDC institutions in stage 2 will be primarily (although not exclusively) through AID missions. Another emphasis of stage 3 will be greater efforts in integrating rural development activities. We expect the program in FY 1980 and beyond to give greater weight to integrative dimensions of rural development and less to sectoral or subsectoral activities. Another area which we tentatively think merits attention in stage 3 is to look at the rural development requirements of different types of agricultural production systems. For instance, there may be a high pay-off from concerted inter-disciplinary (politico-economic, socio-cultural) analysis of rice producing areas; or

semi-arid agricultural areas. Should this approach appear feasible with further study, the logical contact would be with the international agricultural research centers.

This budget submission requests funds to allow us to initiate stage 2. We are prepared to initiate the entire stage 2 program in FY 1977 and early FY 1978, but OYB and CP budget limitations have required us to present the budget with new project starts shown in FY 1977, FY 1978 and FY 1979.* The following discussion indicates which projects could be moved up should funds become available.

TA/RD's FY 1979 budget submission is presented in six increments.

The Minimum Decision Package calls for \$1,678,000 and 15 staff members. Five of the 15 staff positions are clerical. Of the 10 professional positions, 8 are within our FY 1977 ceiling. Of the two new professional positions, one would replace an economic anthropologist presently obtained through a contract with USDA. The other position is for an economic geographer. The disciplines represented in these positions are crucial to development yet the Agency has virtually no capability in either. We anticipate a strong demand for their services both to round out the interdisciplinary strength of TA/RD project development and management, and

* The entire ABS was originally prepared on the basis of a revised FY 1977 OYB of \$3,979,000. Subsequently we were requested to use an OYB of \$2,625,000 which required that we postpone several project starts until FY 1979. The remainder of the ABS narrative and the "A tables" reflect the lower OYB figure; but the "I" tables" on individual projects and the workload projections have not been redone.

also by missions and regional bureaus to assist them directly in problem analysis and project development. The third position beyond that necessary to carry out our responsibilities if no FY 1979 obligations are made at all is for a clerical support person. These three new positions were tentatively approved for TA/RD during the FY 1978 budget review. If we do not receive the increased ceiling for FY 1978, we will try to make do with imaginative and aggressive use of personnel from the USDA RSSA. Our conclusion from experience thus far is that RSSA personnel can substitute for direct hire personnel in the short term; namely, for one to one and a half years. It is very difficult to retain good people under this arrangement for longer than that. Using the RSSA to obtain geography and economic anthropology skills, would, however -- and this is a serious disadvantage -- require our direct hire staff to take on more management responsibilities, even for projects in areas beyond their own academic disciplines. This would be required because RSSA employees cannot perform the project management function.

The minimum package funding level of \$1,678,000 would restrict us to continuing project operations started in FY 1977 or FY 1978. We could continue to finance work in the areas of land tenure, area development, rural financial institutions, rural market systems, off-farm employment, methodologies for rural development analysis, and rural development participation; and could obtain a reduced level of support from the USDA through the RSSA.

This budget level following on the FY 1977 and FY 1978 limitations would not fully utilize professional staff. With such a minimum TA/RD managed project portfolio, staff would approach cluster objectives through non-project activities, such as direct consulting on regional bureau projects and preparation of state-of-the-art and guidance material for missions and regional bureaus on key problem areas not represented in the project portfolio. Some amount of these types of activity will be done by direct hire staff regardless -- it is necessary both to attract good people to the office and also to successfully manage projects -- but at the minimum package level it would be done in the absence of the multiplier effect from project funded activities. At the minimum funding level, the USDA RSSA could not pick up the slack.

In short, the minimum package level would represent a meager response in the area of rural development, out of kilter with the magnitude of the problem in developing countries, the amount of money AID as a whole is investing in this problem, and with the potential payoff of well-placed investment by TAB in this area. It would merely allow us to continue the small program which could be initiated within the already constricted control figures of \$2.6 million in FY 1977 and \$2.1 million in FY 1978. In fact, it would have the same negative impact on TA/RD's efforts to mount a meaningful program as the 1974/1975 RIF had.

Decision Package -- Current (\$1,999,000)

The current decision package of just under \$2,000,000 would allow us to increase our level of effort in area development, and would bring our program from about 80% of the FY 1978 Congressional Presentation level to about 96% of that level. No increase in staff is projected at the current decision package level. We anticipate a strong demand for TA/RD expertise in area development and these additional funds would enable us to meet it. Otherwise, there would be no change from the strategy which we would have to follow at the minimum package level.

Decision Package -- Proposed A (\$1,034,000; 1 additional professional)

This increment of funding would allow us to initiate 3 high priority activities for which, at the current time, funds are not available in FY 1977 or FY 1978. One of these new projects -- Alternative Rural Development Strategies -- could be started in FY 1977 should funds become available. The other two, Integration of Income Producing and Social Services and Rural Development and Fertility, the latter of which is in direct response to Section 117 of the proposed FY 1978 authorization bill, could be started in FY 1978 with an increase in our budget for that year beyond the CP level of \$2,087,000. All three of these projects would follow the applied research and consulting design of the Critical Problems in Rural Development cluster with the objective of making available

to missions some of the scarce human resources they need to design and implement effective rural development strategies and programs.

At this decision level, we would need to add one additional professional position to office staffing for a rural sociologist. Through a work study arrangement with a development sociology Ph.D. candidate and through the USDA RSSA, we can obtain this capability during FY 1977 and FY 1978. By the beginning of FY 1979, we anticipate the need for a full time, career status professional in rural sociology. While this position is shown against the financial requirement of \$1,034,000, the incumbent would in fact be involved across the range of the office's program, as other staff members are. He would, however, spend almost half of his time working on the Critical Problems cluster, with a heavy emphasis on planning and strategizing with regard to TA/RD's program in FY 1980 and beyond and also to incorporate the discipline of rural sociology in ongoing office activities. The next largest proportion of his time would be allocated to the Participation cluster. This would require slightly less than 25% of his time, most of which would be for planning and strategizing. Almost all of his remaining time would be split evenly between the Rural Development Methodologies cluster and interaction with regional bureaus and missions unrelated to any of the clusters.

This decision level is of very great importance to TA/RD's strategy. As already mentioned, the three projects which make up this funding increment could be started before FY 1979. If they cannot be started even as late as FY 1979, we should give serious thought to restructuring our entire strategy and program. The projects have been placed in one increment to place starkly before senior management the choice between an innovative and aggressive response to the Agency's commitment to the rural poor and a further delay in bringing to bear important intellectual resources much needed for AID's operational programs in rural development.

Decision Package -- Proposed B (\$175,000)

The next level of priority is given to increasing funding for the USDA RSSA beyond the minimum which we have programmed in the first decision package. TA/RD believes that its use of the support arrangement with USDA will enable it to better serve the Agency's overseas rural development action programs, and which will enable it to make the kind of probes and special studies in key rural development problem areas necessary for development of an effective ongoing program. As already indicated, to a limited extent expertise procured through the RSSA can substitute for direct hire resources. But the RSSA is used more effectively to supplement the strength of the direct hire staff. An important objective of our program, one which will lead to better understanding of integrated rural development, is to link

up the contractors carrying out individual projects. Most of the projects in our portfolio are following the applied research and consulting design. Just as we have posited that consulting experiences improve applied research and vice versa, we posit that applied research and consulting in one aspect of rural development will be improved through knowledge of other aspects of rural development. An important role for the USDA RSSA resource will be to backstop TA/RD's efforts to establish and maintain the linkages among the various components of the program. If we are allocated the staff levels requested, the funding included in the minimum decision package for the RSSA can be used to some extent for these purposes. If our staff resources are straightlined from FY 1977, we will use the RSSA to provide mission social science expertise with the result that we will not do as effective a job at creating a system of linked activities.

Adding this increment of funding to the RSSA involves no significant addition of direct hire management time; yet substantially increases the resources available to TA/RD for implementing its entire program strategy.

Decision Package -- Proposed C (\$500,000)

This increment of funding, which requires no increase in staff resources, will allow us to pursue in greater depth and with more rigour one of the most important questions in the area of participation. That is the extent to which varying degrees and kinds of participation by the rural poor in development activities is associated with objective change in well-being. The proposed

activity is a direct follow-on to the on-going project, Local Action Guidance and Implementation, but it will approach the issue more comprehensively and more rigorously. Because of the overriding importance of this question and the need to approach it in considerable depth, we are proposing it as a project separate from the major applied research and consulting effort in Rural Development Participation. The latter project will cover a range of important rural development participation questions and will be heavily oriented to consulting and applied research with overseas missions. It will respond to the shorter term programmatic needs of missions. There are not sufficient funds budgeted for that project to investigate in the necessary depth the question which is the subject of Local Action II. In effect, we are saying that while the office gives highest priority to the applied research and consulting mode of operation not only in participation but in all of the other program thrusts it is undertaking, improving understanding of the relationship between participation and development progress is of sufficient importance to justify separate attention.

Decision Package -- Proposed D (\$1,170,000)

The final incremental funding we are requesting for FY 1979 is for final year funding for the set of critical problems projects started in FY 1977 and for increasing the funding for the Land Tenure Center at the University of Wisconsin to a level approximately equal to its current level. Sensible management of the kind of

program we are trying to implement would be made easier if the FY 1979 obligation for the three critical problems projects to start in FY 1977 could be funded for two years at one time. The costs of not receiving this funding in FY 1979 are a 100% increase in the amount of project documentation over a two-year period.

The relatively low cost of not receiving this increment of funding does not apply to that portion (\$200,000) proposed for the Land Tenure Center to supplement the \$300,000 included in the minimum decision package. Even without considering inflation between the present and FY 1979, \$300,000 for the Land Tenure Center represents only core funding. They are at present operating on an annual budget of somewhat over \$350,000. While TR/RD is making a concerted effort to orient the Land Tenure Center toward greater service to missions and is encouraging the Land Tenure Center to tap other sources of funding, we believe it would be a serious mistake to plan now to limit the Land Tenure Center to a reduced budget. With recent changes in the management of the Center and its commitment to an applied research and consulting mode, combined with increased demand for the expertise which the center has built up under the 211(d) grant, we would be in danger of weakening the institution precisely at the point when it should be giving us the payoff for our past investment. The U.N. Conference on Agrarian Reform and Rural Development in 1979 will probably focus a great deal of attention on this subject and increase demand for services in the area.

We have scheduled an in-depth evaluation of the Land Tenure Center in mid 1978. The evaluation will make recommendations not only on the level of funding in FY 1979 and subsequent years, but also on the type of contractual arrangement we should have, if any, with the Land Tenure Center. Until that evaluation is made, we strongly recommend that there be no reduction in the degree of planned support for the Land Tenure Center. Within Decision Package D, we give the Land Tenure Center the highest priority.

Work Load Allocations

TA/RD has analyzed the way its professional staff, including three people from the USDA RSSA who work directly with us, spend their time. The analysis was made using the D tables as they were originally prepared — that is, based on an FY 1977 program of \$3,979,000, an FY 1978 program of \$2,087,000 and an FY 1979 maximum program of \$3,913,000. On the assumption that expenditure of time is not necessarily closely related to the obligation rate, the analysis may still be valid. This information is presented in the following two tables.

Table I: This table shows the proportions of time spent on five different functions. It does not include effort of TA/RD contractors with the exception of the part of the RSSA already mentioned. It thus understates the support to regional bureaus and missions which can be obtained from TA/RD. Even with this

understatement, the one change between FY 1977 and FY 1979 is the increased investment in time in Category B: Regional Bureau and Mission Support. In absolute numbers the time being devoted to regional bureau and mission support has increased from 256 days in FY 1977 to 519 days in FY 1978, an increase of 103%.

<u>Function</u>	<u>FY1977</u>	<u>FY1978</u>	<u>Base</u>	<u>FY1979 All Priorities</u>
A. Planning/Strategizing	26%	26%	26%	28%
B. Bureau/Mission Support	12%	19%	20%	18%
C. Project Development/Management	38%	33%	30%	30%
D. Contact with International Orgs.	3%	3%	4%	4%
E. Administration/Supervision	22%	19%	20%	20%
	-----	-----	-----	-----
	101%	100%	100%	100%

Table II: This table shows the time spent on each cluster of activities and on non-cluster activities.

<u>Cluster</u>	<u>FY1977</u>	<u>FY1978</u>	<u>Base</u>	<u>FY1979 All Priorities</u>
Participation	16%	13%	13%	14%
Methodologies	9%	9%	7%	7%
Critical Problems	35%	42%	43%	44%
Program Development/Support	12%	11%	10%	10%
Other (including ABS, CP, etc.)	28%	25%	27%	26%
	-----	-----	-----	-----
	100%	100%	100%	101%

Responses to R&D Priorities Exercise

The TA/RD program has been designed as a mission-oriented response to priority issues for rural development operations. Mission and regional bureau dialogue has been a key input into the program formulation. Most recently, missions were asked to indicate the priority they would attach to the R&D topics which form the foundation of the TA/RD program and to suggest any additional topics of interest.

Missions responding thus far (21) confirm the importance and urgency of TA/RD program components. Every problem area was regarded as an urgent priority by at least four missions. Nine missions, for example, regarded the Off-farm Employment topic as an urgent priority.

The topics most specific to their immediate program needs were assigned the highest priority by missions. Off-farm Employment, Rural Financial Institutions, Participation, Rural Markets, and Area Development were all labeled as urgent by approximately one third of all responses. Ninety percent of responding missions indicated Off-farm Employment as a desirable, important or urgent area, 95% so regarded Participation and Area Development, and 100% of all responding missions find Rural Credit and Rural Markets as desirable, important or urgent.

The more speculative topics, to which one would expect missions to assign lower priority, were in fact regarded with near similar intensity. Rural Development Strategies was regarded as either desirable, important, or urgent by 90%, and Methodologies by 85% of

all responding missions. Rural Development Strategies was seen as urgent by 29% of the responding missions and Integration was seen as urgent by 26%.

There were few mission responses assigning a project topic low priority from the perspective of their own countries (they were also asked to assess priority for the region and worldwide). Two topics, Rural Financial Institutions and Rural Markets, received no low priority responses from missions. Participation, Appropriate Technology, and Rural Area Development received only one low priority response while Off-farm Employment and Rural Development Strategies received only two.

There were only four missions which suggested additional R&D topics. Nearly all of these additional topics can be addressed by currently planned TA/RD projects in Area Development, Participation, Rural Development Strategies, Rural Marketing, and Rural Financial Institutions. The suggested topics tended to be country specific in nature and might provide useful case studies for the TA/RD projects.

The following table shows the percentage of missions responding to the TA/RD cable which assigned urgent, important, desirable and low priorities to the TA/RD program components.

	<u>Urgent</u>	<u>Important</u>	<u>Desirable</u>	<u>Low Priority</u>
Off-farm Employment	45%	(cum) 25% (70%)	(cum) 20% (90%)	10%
Rural Credit	37%	21% (58%)	42% (100%)	0%
Participation	35%	35% (70%)	25% (95%)	5%
Rural Markets	32%	47% (79%)	21% (100%)	0%
Area Development	32%	26% (58%)	37% (95%)	5%
Rural Development Strategies	29%	43% (72%)	33% (90%)	10%
Integration	26%	11% (37%)	39% (74%)	26%
Methodologies	20%	30% (50%)	25% (85%)	15%

TABLE V - FY 1979 PROPOSED PROGRAM RANKING

RANK	DECISION PACKAGE PROGRAM ACTIVITY SUPPORT ITEM DESCRIPTION	TA/RD	REVISION BY						CONSOLIDATED BY				
			TA/RD			REVISION BY			CONSOLIDATED BY				
			U.S.	FN	US	FN	US	FN	US	FN	US	FN	
	<u>Decision Package -- Minimum</u> Workforce assuming no new FY 79 obligations	N/A	1/2/12	N/A	12	N/A							
1	5003 Critical Problems in Rural Development	FN	3		15		1205	1205				1205	
2	5002 Rural Development Methodologies	FN	-		15		298	298				1503	
3	5099 Program Development and Support	FN	-		15		175	175				1678	
4	<u>Decision Package -- Current</u> 5003 Critical Problems in Rural Development	FN	-		15		321	321				1999	
5	<u>Decision Package -- Proposed A</u> 5003 Critical Problems in Rural Development	FN	1		16		1034	1034				3033	
6	<u>Decision Package -- Proposed B</u> 5099 Program Development and Support	FN	-		16		175	175				3208	
7	<u>Decision Package -- Proposed C</u> 5001 Participation	FN	-		16		500	500				3708	
8	<u>Decision Package -- Proposed D</u> 5003 Critical Problems in Rural Development	FN	-		16		1170	1170				4878	

1/ Excludes one work-study employee (maximum employment 3 months per year)
2/ One P/T secretary. Remainder of staff full-time.

COMPUTER PRINTOUTS AT PAGES 20-21 WILL BE DISTRIBUTED SEPARATELY.

RURAL DEVELOPMENT

PARTICIPATION CLUSTER

Participation

This cluster addresses a critical and difficult problem of development policy and programming in LDCs: participation of the rural poor in the development process. Self-sustaining economic growth and improvement of the quality of life of the rural poor -- the twin objectives of rural development programs -- require that the poor be able to influence, if not control and manage, the allocation of resources brought into their communities; to see the need to save and invest their own resources; and to obtain a fair share of the resulting benefits of development activities financed both with their own and outside resources.

Mobilization of the energies and resources of the rural poor toward these kinds of participation must be accomplished through local level institutional structures, both modern and traditional. To succeed, development programs must both promote the formation of modern institutions and work with traditional institutions with the objective of encouraging the evolution of a set of local institutions which increases the community's range of effective collective action and mediates between it and outside economic and political forces.

Cluster activities are directed toward developing systematic knowledge about the sources, conditions, methods, and effects of local participation. This knowledge must be derived through field experience from which relevant

generalizations are drawn and made known to other development practitioners in the field for possible local adaptation. Local adaptation, based on knowledge of the local environment, is essential and difficult. Therefore, a second objective of cluster activities is to make available expert resources to help AID missions and their LDC counterparts analyze needs and possibilities for participation, adapt experience obtained from other places, and design approaches appropriate to local conditions.

The problem addressed by this cluster is susceptible to incremental knowledge, not a final solution or model. But because of its central importance to our entire overall development strategy, we will want to work at it until convinced that further investment at the margin of R&D funds in this problem area is not likely to result in commensurate increments to our applicable knowledge. We are nowhere near that point yet, and are not likely to be any time in the near future. We can, however, expect to adjust project-level thrusts on the basis of results from the projects presently in the portfolio, emphasizing in the future the most promising avenues revealed by current activities. Small activities proposed for FY 1978 will also help us identify new areas of promise.

The four projects in this cluster are focused on the most important elements of the problem of participation. Local Action Guidance and Implementation, the only one sufficiently advanced in execution to have produced any

outputs, has been targeted on small farmers. While its findings have been controversial, and are subject to further evaluation, we consider it a valuable first step toward learning more about the significance of local participation in rural development. It has already influenced a number of missions in their approach to the design of small farmer development projects. Consistent with the second objective of this cluster, the project has a strong field service component.

A new Local Action II project is proposed for FY 1979 (shelf item for FY78). This activity will concentrate on a more rigorous analysis of the role participatory processes play in project success when this is measured by physical improvements in the quality of rural life: increases in income as well as health and nutritional status. It will incorporate a more complex definition of participation and more rigorous methodology and analytical techniques.

The Alternative Organizational Strategies project, the only essentially research activity the office is carrying out, seeks to advance our understanding of the formation and performance of local organizations through which development activities are carried out. Through analysis of a series of project cases it will develop guidelines which will assist practitioners to think through the most appropriate organizational interventions to follow at the project level. Since the research design is just now being field tested, it is too early to estimate the likely impact of this project on cluster objectives.

The largest project in this cluster is Rural Development Participation. Proposed for FY 1978, but a shelf item for FY 1977, it will generally contain the same components which characterize the Critical Problems in Rural Development cluster described in more detail elsewhere: applied research and consulting, preparation of state-of-knowledge and problem exploration papers, the development of a consultant and research network, and information dissemination activities. Specific applied research topics will depend on mission interests but will be within the following broad high priority areas:

-- the characteristics of the basic social and economic environment in which projects operate with a view toward designing intervention strategies which encourage broad participation in development; with emphasis on analysis of social cleavage and conflict patterns, local leadership roles and the performance of local, economic and political institutions, and the participation problems of specific disadvantaged groups such as the landless, pastoralists and women.

-- evaluation of the effectiveness of alternative project-level intervention strategies, including effectiveness of various mechanisms for involving the poor in project decision making and implementation, institutional problems of targeting specific benefits to the poor, strategies for encouraging community or collective action,

and mechanisms for monitoring and compensating for the social side-effects of sector-wide policies.

Funding Priorities

Highest priority is accorded the Rural Development Participation project, because it is solidly directed toward both cluster objectives and will allow us to approach the problem area comprehensively. Local Action II is important as a probe, but it will of necessity be less directed toward the mission service objective of the cluster. It has, therefore, lower priority. The two ongoing projects require no funding beyond FY 1978.

FY 1979 funding for the Participation cluster is limited to \$500,000 for Local Action II. These funds are in one of our priority increments for FY 1979 (the FY 1979 base program being required to fund high priority ongoing projects) but could be obligated in FY 1978 if our total FY 1978 budget increases beyond the Congressional Presentation figure of \$2,087,000.

Staff Resources

TA/RD currently has sufficient staff to manage this cluster. One DH social science analyst works full time on three of the projects and one IPA political economist works half-time on the fourth project, excluding time each spends relating participation concerns to other office and Agency activities. In addition, almost all other staff members spend time on this cluster for one purpose or another, consistent with the team management approach of the office.

The rural sociologist requested for FY 1979, while not being heavily involved in managing currently planned programs, will participate in them as they relate to the development of new activities to start in FY 1980.

Of the total manpower resources available to TA/RD in the base FY 1979 program, 12.6% or 350 staff days will be allocated to this cluster.

Office: JA/RD IRIS Participation
 Cluster No. 5001
 Activity Coordinator: Hobgood

Cluster Related
 Priority 305
 Date 4-14-77

A-1 2

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

	Page in ABS	Des. Obl. Cat. Stat. RDA	FY 1977			FY 1978			FY 1979			Project Revised Service Apprv'd Thru	Project Revised or New Apprv'd PP Due Mo/Yr
			Revised OYB	Work Days Total	Uniquely dated 9/30/77	C. P. Redist	Work Days Total	Work Days Total	Reqst'd Amount	Work Days Total			
f) PVOS and Participation		2	6	2									
2) Other (coordination)				1						1			
3. Non-TAB Activities - (Assistance to missions/bureaus				70						2			
TOTAL										46			
1. Regional Bureau and Missions Services													
1. Project													
0986 Local Action Guidance and Implementation		B	1	37						2			
1132 Local Action II		B	3	37						2			
Participation - Applied Research & Consulting		(***) B(*)	3	37						26			
2. Non-Project													
a. TAB Activities													
1) Small Activities													
a) Landless Poor Research			1	24						2			

(*) 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 JA/RD
 Cluster No. 2004 Title Participation
 Activity Coordinator J. J. J.

Cluster Releated A-1
 Priority
 Date

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

Page in ABS Cat. Stat. RDA	Revised OYB	FY 1977		Unliqui- dated 9/30/77	FY 1978		FY 1979		Project Revised Service or New Apprv'd PP Due Thru Mo/Yr
		Work Days Total	Consul- tants		C. P. Redist	Work Days Total	Reqst'd Amount	Work Days Total	
		10			10		10		
		19			42		39		
TOTAL									

b. Non-TAB Activities

- 1) Assistance to missions/
bureaus

B.

Office Cluster No. 5001 Title Participation
 Activity Coordinator H. S. Bay

Cluster Related A-1
 Priority High
 Date 1-27

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

Page in ABS	Des. Obl. Cat.	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 Total	Unliquidated 9/30/77	C. P. Redist	Work Days Total	Reqst'd Amount		
C. Project Development & Management										
1. Project										
	A	1	37	40	143	87	87	39	37	FY 79
	B	1	37	194	223	44	44	24	24	FY 77
	B	3	37	18	500	59	59	61	61	5/77
	*** B(*)	3	37	65	100	722	46	49	49	3/78
2. Non-project										
a. TAB Activities										
1) Small Activities (Total)										
	a)	1	24	1	(25)	(43)	(43)	(27)	(27)	
	b)	1	24	3			3			
	c)	2	6	5	(25)					
	d)	3	6		(23)		5			
	e)	3	6						(27)	5

(*) 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. 1001 Title PARTICIPATION
 Activity Coordinator Hobbs

Cluster Related A-1
 Priority _____
 Date _____

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

	FY 1979 PRIORITY 1			FY 1979 PRIORITY 2			FY 1979 PRIORITY 3			FY 1979 PRIORITY 4			FY 1979 PRIORITY 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
A. <u>Planning and Strategizing</u>															
1: <u>Project</u>															
0609 <u>Alternative Organizational Strategies</u>															
0986 <u>Local Action Guidance and Implementation</u>															
1132 <u>Local Action II</u>															
1: <u>Participation - Applied Research & Consulting</u>		5													
2. <u>Non-Project</u>															
a. <u>TAB Activities</u>															
1) <u>Small Activities</u>															
a) <u>Regional Administration of Rural Development</u>															
b) <u>Landless Poor Research</u>															
c) <u>Political Economy Models of Coops</u>															
d) <u>Women's Participation</u>															
e) <u>Leadership Recruitment</u>															
(*) <u>Project also has significant amount of research activity</u>															
***) <u>Project also has significant amount of adaptation or application activity</u>															
***) <u>Project also has significant field service element</u>															

Cluster Related A-1
 Priority _____
 Date _____

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

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
f) PVOs and Participation															
2) Other (coordination)			20												
3. Non-TAB Activities - (Assistance to missions/bureaus)			10												
TOTAL			40												

Activity Coordinator Hobgood

- 1. Project
 - 0986 Local Action Guidance and Implementation
 - 1132 Local Action II
- 2. Non-Project
 - a. TAB Activities
 - 1) Small Activities
 - a) Landless Poor Research

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

TA/RD
 No. 5004 Title Participation
 Activity Coordinator Hobgood

Cluster Related A-1
 Priority _____
 Date _____

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

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
b. Non-TAB Activities															
1) Assistance to missions/ bureaus															
TOTAL															

Cluster No. 500 Title Participation

Activity Coordinator H. G. G. G.

Cluster Related A-1

Technical Assistance Bureau Program Review
Office Summary of Proposed Obligations by Cluster

Priority _____
Date _____

	FY 1979 Priority I			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants
C. Project Development & Management															
1. Project															
0609 Alternative Organizational Strategies															
0986 Local Action Guidance & Implementation															
1132 Local Action II															
Participation - Applied Research & Consulting															
2. Non-project															
a. TAB Activities															
1) Small Activities (Total)															
a) Regional Administration of Rural Development															
b) Landless Poor Research															
c) Political Economy Models of Co-ops															
d) Women's Participation															
e) Leadership Recruitment															
(*) 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															

500 A

(*) 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
 W Shelf for FY 77 2/ Shelf for FY 78

5001 Title Participation
 Coordinator H. J. ...

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

Cluster Related
 Priority A-1
 Date _____

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
f) PVOs & Participation															
2) Other															
b. Non-TAB Activities															
1) Assistance to missions/bureaus.															
2) Attend meetings, seminars, etc															
TOTAL															
3. Contacts and Interaction with International Organizations, etc.															
1. Project															
0609 Alternative Organizational Strategies															
0986 Local Action Guidance & Implementation															
1132 Local Action II															
2. Non-Project - Non-TAB															
Attend meetings, seminars, etc.															
TOTAL															

(*) 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

TA/RD No. 5001 Title Participation
 Activity Coordinator *Not a person*

Cluster Related A-1

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

Priority _____
 Date _____

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days Total	Consul- tants												
E. Administration and Supervision															
TOTAL															
GRAND TOTAL		55						3		500	3				

- (*) 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

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT IDENTIFICATION DOCUMENT FACESHEET
 TO BE COMPLETED BY ORIGINATING OFFICE

1. TRANSACTION CODE
 A A = ADD
 C C = CHANGE
 D D = DELETE

PID
 2. DOCUMENT CODE
 1

3. COUNTRY/ENTITY
 TA/RD

4. DOCUMENT REVISION NUMBER
 original

5. PROJECT NUMBER (7 DIGITS)
 1132

6. BUREAU/OFFICE
 A. SYMBOL TAB B. CODE 08

7. PROJECT TITLE (MAXIMUM 40 CHARACTERS)
 Local Action II

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

10. ESTIMATED COSTS (\$000 OR EQUIVALENT, \$1 = 500)
 FUNDING SOURCE
 A. AID APPROPRIATED
 B. OTHER U.S. 1. 2.
 C. HOST COUNTRY
 D. OTHER DONOR(S)
 TOTAL 500

9. ESTIMATED FY OF AUTHORIZATION/OBLIGATION
 a. INITIAL FY 7 8 b. FINAL FY 7 9

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

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. FIRST FY 78		LIFE OF PROJECT	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) FN	249-J	290		200		500	
(2)							
(3)							
(4)							
		TOTAL				500	

12. SECONDARY TECHNICAL CODES (maximum six codes of three positions each)
 290

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH)
 Part BR 1X

14. SECONDARY PURPOSE CODE
 201

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS)
 To assist AID to design, implement, and evaluate projects which will more effectively involve the rural poor in the development process and thereby improve their quality of life.

16. PROJECT PURPOSE (MAXIMUM 400 CHARACTERS)
 To yield a thorough understanding of the relationship between local action as a component in development and the success of development projects as defined in objective, output terms.

17. PLANNING RESOURCE REQUIREMENTS (staff/funds)

18. ORIGINATING OFFICE CLEARANCE
 Signature Charles S. Blankstein
 Title Director, TA/RD
 Date Signed MM DD YY 05 17 77

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

LOCAL ACTION II

I. Summary of Problem and Proposed Response

The Problem: Local Action Guidance and Implementation (Local Action I) is an on-going project initiated over five years ago. Its primary purpose is to deal with the fact that "large segments of the population in developing countries" have difficulty in engaging in development efforts on a sustained basis. Given the recognition of this fact, it is designed to "find ways of better identifying the key characteristics of these groups and the conditions in their environment which influence their acceptance and use of development resources ..." The basic strategy is to "determine the conditions under which specific types of arrangements for organizing and promoting developmental efforts at the local level are most effective".

The majority of work under this project has now been completed. The major product, the Development Alternatives Inc., (DAI) study: Strategies for Small Farmer Development (May, 1975), has demonstrated through a review of 36 cases that local action -- defined as participation in decision-making and through contributions of resources to the development activity in question -- is a significant (if not essential) factor in project success. However, this conclusion is not universally accepted either within the Agency or in the broader development community. Further, the data base and analytical techniques used by DAI to arrive at this conclusion are currently under review.

One of the problems which the strategies study and Agency response to it points up is critical for the Agency and for the development community in general. That is, what criteria of success do we use for rural development projects, and what kinds of success measures have been generated and applied to determine whether or not these criteria have been met.

On the one hand, there are certain "objective," output-related criteria of success. Thus, a project may be judged successful if it has led to increases in income among the target population, and/or to other improvements in their quality of life as indicated by such improvements as increases in health, and in nutritional

status. Put another way, projects may be judged successful if they assist people in meeting their basic physical human needs. It is generally felt that there exist appropriate success measures for these kinds of criteria, ones which are readily quantifiable and readily generalizable across situations.

On the other hand, there are other criteria, which are process-related, and are generally summarized under the rubric of participation. Local action, and other components of participation, are difficult to conceptualize and especially difficult to measure. They are regarded as essentially qualitative, difficult to quantify, and perhaps more difficult to generalize across situations. In some senses, they may be more difficult to disaggregate. For example, is greater satisfaction with a process that more fully involves the project beneficiary a sufficient indicator of improvement (success) to warrant replication or must it be linked to objective output indicators in some causal manner to warrant attention to the participatory process?

Meanwhile, AID has committed itself in some degree to dealing with both of these sets of success criteria, and needs effective measures to determine whether and where they have been met. It is committed, in terms of the New Directions, to fostering local action and participation in projects directed at the local level so as to improve the quality of life of the rural poor by involving them in the development process.

The crux of the problem is first to determine the nature of the output criteria which are actually in use and the appropriateness of the success measures used to see whether they have been met. Second, it is to determine the nature of the process criteria which are coming into use, and appropriate measures to decide whether or not they are met. Finally, it is to determine what the relationship is between the process and the outputs in order to be able with greater assurance to know whether or not, or how much, participation and local action are crucial to successful, sustained development.

Project Goal and Purpose: The goal of this project is to assist AID to design, implement, and evaluate projects which will more effectively involve the rural poor in the development process and thereby improve their quality of life. The project purpose is to yield a thorough understanding of the relationship between local action as a component in development, and the success of development projects as defined in "objective," output terms. If the purpose is achieved, this currently unresolved issue may then be addressed clearly and purposively in operational terms.

Project Description: One of the criticisms leveled against the conclusions of the DAI Strategies study is that local action, or participation, is included both as part of the independent and as part of the dependent variable. Thus, the findings are regarded as suspect to the extent that they are at least partially tautological. Another criticism which can be made is that the 36 cases investigated in the study are not in strict terms comparable except insofar as they are all projects directed at small farmers and at improving their productivity.

The proposed Local Action II project is, in part, an attempt to improve upon Local Action I in these respects. It will deal more specifically with the institutional context of local action. It will establish a conceptual framework based on a continuum of local action situations. At one end of the continuum will be cases where development initiatives are determined and directed at the national level, and in which local level institutions are not involved either in decision-making or in implementation. The only "participation" at the local level is the participation in, or receipt of, benefits.

Midway on the continuum are instances in which development initiatives and implementation are still determined at the national level, but in which the national level instructs local level institutions to become involved in the development process. In such instances, there are local councils, or other institutions, which are supposed to participate in the implementation of development and its management, and there are procedures to ensure that this occurs. Such institutions, however, do not initiate development projects or thrusts.

At the other end of the continuum are instances in which the national government devolves the responsibility

of development initiation and implementation to the local level directly. Here, local institutions are supposed to make their needs known and to initiate projects which are then further fostered by higher level institutions through the commitment of resources of various kinds.

In order to make it possible for a data base to be generated in terms of this continuum, it will be necessary to specify both the instances that fall at each point on the continuum and to specify with some rigor the aspects of local action which are to be included. Local action may thus be more broadly (or more narrowly) defined than was the case in the DAI study. In any event, the aspects of local action must be disaggregated.

Similarly, for purposes of comparability one relatively coherent set of projects will have to be chosen for examination. Possibilities include integrated rural development projects, colonization and resettlement projects, or area development projects. The type chosen will have to be sufficiently widespread and sufficiently consistent that there will be cases in different world regions, and that these cases will be comparable. Further, they will have to have been carried out under policies which may be characterized as falling at the relevant points on the continuum for involvement of local institutions. A further requisite is that these projects should have been completed long enough that there is a basis for determining whether or not they have yielded self-sustaining development. It will be difficult to generate this kind of longitudinal data base, but it should prove to be possible if a careful review of AID and other donor projects is carried out.

In the model, it is likely that local action will be the independent variable, and project success, as measured by output criteria, will be the dependent variable. However, at this point it is not desirable too closely to specify the model which the contractor will generate. What is crucial is that clear distinctions be maintained between process variables on the one hand, and output variables on the other so that a determination of the relationship between them can be reliably determined.

The outputs of the project will be (1) a determination

of success criteria related to process (local action) and success measures for them; (2) an evaluation of output criteria and success measures appropriate for them; (3) findings as to the relationship between the two; (4) guidance for practitioners relating to this set of success issues.

Methodology: It is suggested that this be a three-phase project. In phase one, the contractor will elaborate a conceptual framework, specifying the continuum of institutional aspects of local action in development and a methodology appropriate for investigating the relationship between local action and other success criteria. Sample selection will be important in this phase, and test cases may be chosen for field investigation during this process. The second phase will involve the survey of instances of a given type of development projects in selected countries. Some of these countries may not be AID recipients at the present time, but rather "graduate" countries so as to provide a sufficient time depth. In this phase, a methodology will be used which will yield data on local action which is as detailed as possible. Where necessary, however, secondary data sources may have to be used if field collection proves impossible given the time lapse since a project was completed. In the third phase, the contractor will analyze the data qualitatively and quantitatively in order to determine the nature of the process-output relationships. The results of this analysis will be presented in a report, and a summary of the findings will also be prepared as guidance for field practitioners.

Contractual Mechanisms: At this point, it is difficult to determine what contractual mechanism will be chosen by TA/RD to accomplish the activities under this project. One possibility is that there be more than one contractor. One contractor would carry out the work on output criteria and indicators while another would carry out the work on process criteria and indicators. This would be likely if it is determined that no single institution has expertise in both areas. Alternatively, it is possible that a lead contractor, such as USDA, an IQC or other consulting firm, or a university, would subcontract, parts of the work to other institutions. Where possible, LDC institutions should be involved in whichever mechanism is chosen. Such research and planning institutions, whether governmental or para-governmental, may have longitudinal data, which relate to the concerns

of the project and which would otherwise be difficult to identify or to generate.

II. Financial Requirements and Plans

The estimated cost of this project is approximately \$500,000. This amount will be obligated over two years and expended over four years. A tentative budget breakdown is as follows:

Detailed Development of Analytic Framework and Methodology	\$ 60,000
Field Data Collection on Included Projects	200,000
Data Analysis, Report Preparation, Information Dissemination	122,000
Program Direction, Sub-contracts with LDC Institutions, etc.	<u>118,000</u>
TOTAL	\$500,000

III. Development of the Project

The project paper will be developed over three months, and will be completed by the end of March, 1978. At that time, all the work under Local Action I will be completed, except for the independent evaluation of the DAI work. Preparation will involve two months of TA/RD staff time, to be supplemented by two and one-half months of the time of a professional through the USDA RSSA.

RURAL DEVELOPMENT

METHODOLOGIES CLUSTER

Rural Development Methodologies

The focus of A.I.D.'s concerns on problems of the poor majority has created many challenging management problems of data gathering and analysis. Rural development takes place in an extraordinarily complex social, economic, and political environment. Understanding how to collect, analyze and apply information about the problems and behavior of the rural population and the dynamics of the change process is essential to designing and managing project interventions and policy changes to promote rural development. Particularly challenging problems are posed by the need to reorient our thinking to assure that projects are so designed and executed as to guarantee an incidence of benefits favorable to the poor. These issues pose not only technical problems but managerial questions of investment in information as well. This range of problems is addressed by the methodologies cluster.

Much theoretical and applied work has been carried out to elaborate on these problems. It is now necessary to provide field practitioners -- project designers and managers -- convenient access to the methodological advances that have been made in both the applied social sciences and in information systems applications and to direct attention to methodological gaps that need further work. This is the cluster objective which is addressed by the Rural Development Methodologies project starting in FY 1978 (shelf item for FY 1977). It will gain some impetus from the small activity on Rural Development Information Systems, which finishes this fiscal year.

The Methodologies project will examine a number of typical rural development projects, review the data gathering and analysis methodologies actually used and their effects as well as methodologies that might or should have been used and their potential costs/benefits. It will proceed to evaluate the soundness of these alternate methodologies in the light of conceptual considerations, practical constraints faced in the field, and usefulness of the information. In particular cases and in the aggregate, it will inventory and examine alternative methodological approaches now available for dealing with these problems and will evaluate them not only from a technical social science viewpoint but, more importantly for A.I.D., from a managerial perspective. This work will lead to guidance for managers and technicians concerning advantages and disadvantages, costs and risks of different methodological approaches to these common problems. The results of these studies will be compiled in a series of methods papers each related to a set of rural development "project types". In addition to these individual methods papers, an overview document which inventories and evaluates a wide range of rural development data gathering and analysis techniques will be produced and made available to the development community as a whole. The project will also provide for development of a consultant roster and various information dissemination activities so that missions and their host country institutions can call for and receive assistance on RD methodology concerns as soon as possible.

The two fold guidance to result from this project will be:

1. Improved information on cost effective techniques for data gathering and analysis -- drawn from rural development project experience

and the applied social sciences -- that can be employed directly by the development project designer and manager using analytical skills available in missions and in host country institutions.

2. Manager oriented information on project useful data gathering and analysis techniques that will require a call for external consultant assistance from the roster of social and management science methodologists to be developed in the course of the project.

Thus the project proposes to put within the reach of the development manager -- in an assistance agency or an IDC institution -- a range of tools either for immediate mission or staff application or for on-call application by outside technical experts. It will help the practitioner decide how to proceed with information gathering, processing and analysis needs under different project circumstances either by applying the tools identified for local use or by calling for the appropriate type of external expertise to meet that need.

The project will require close coordination with such international organizations as the United Nations Research Institute for Social Development, the research office of ILO, and the World Bank.

It is quite possible that research activities, not now identified, will outgrow early work on the project and be considered for FY 1979, should funds become available.

The cluster objective, as now conceived, will be accomplished within three years.

Funding

This cluster as now budgeted and defined requires final funding in FY 1979. The one project under the cluster, Methodologies for Rural Development Analysis, is budgeted for first obligation, of \$403,000 in FY 1978 and last obligation, of \$298,000, in FY 1979. FY 1980 will be the last full year of project operations.

Staffing

One TA/RD professional works almost full time on this cluster, with inputs from others as necessary and appropriate. Of the new staff to come on board in FY 1978, we expect the economic geographer to work part-time on this cluster, particularly to investigate new project activity for FY 1980. Of total staff time in FY 1978, the cluster will require 8.8% or 242 man days, dropping to 6.7% in FY 1979 or 187 man days.

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

	Page in ABS	Des. Obl. Cat. Stat. RDA	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru Mo/Yr
			Revised OYB	Work Days Total	Unliquidated 9/30/77	C. P. Redist	C. P.	Work Days Total	Regst'd Amount	Work Days Total		
											Consul- tants	
D. <u>Contact with International Organizations.</u>												
1. <u>Project</u>												
1136 Methodologies for Rural Development Analysis	(***) B(*)	2	37	5				5			5	
TOTAL				5				5			5	
E. <u>Administration and Supervision</u>												
TOTAL				24				20			20	
GRAND TOTAL				800				300	403	242	298	187

(*) 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/RD
 Cluster No. 50237316 Rural Development Methodologies Technical Assistance Bureau Program Review
 Activity Coordinator: Dobbs

Priority: A-1
 Date: _____

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

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
1. Planning and Strategizing															
1 Project															
1136 Methodologies for Rural Development Analysis															
2 Non-project															
a. TAB Activities															
1) Small Activities															
a) Non-economics Social Science Methodologies															
b) Rural Development Information Systems															
2) Other															
b. Non-TAB Activities															
1) Assistance to missions/bureaus															
TOTAL															

(*) 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

Priority _____
Date _____

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

Activity Coordinator: 133-005
No. 5002 1136 Rural Development Methodologies

	Priority 1			Priority 2			Priority 3			Priority 4			Priority 5		
	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants
Regional Bureau & Mission Services															
1. Project															
1136 Methodologies for Rural Development Analysis															
TOTAL															
Project Development & Management															
1. Project															
1136 Methodologies for Rural Development Analysis															
2. Non-Project															
a. TAB Activities															
1) Small Activities															
a) Non-economics Social Science Methodologies															
b) Rural Development Information Systems															
2) Other (miscellaneous)															
Non-TAB: Assistance to Mission Services															
TOTAL															

5
5

(*) 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) Shelf for FY 77

RURAL DEVELOPMENT

CRITICAL PROBLEMS CLUSTER

Critical Problems in Rural Development

The development problems addressed by this cluster are those which are central to the lack of progress in rural areas: rural unemployment or underemployment; inefficient, ineffective or inequitable credit, market and land tenure systems; underutilized human potential for planning and managing self-sustaining development efforts; population growth rates that strain land resources, the economy and socio-political institutions; and the lack of readily-available guides which will help missions address rural development both as a systems phenomenon and as a set of discrete targeted activities.

This cluster has defined a set of eight projects whose objective is to marshal resources which will increase our understanding of these problems and our ability to design and implement effective interventions. The problems addressed by the projects are viewed by TA/RD, missions and regional bureaus as of major importance operationally and theoretically to rural development:

1. Area development deals with practical design and implementation of area rural development projects

including selection criteria, spatial relations, relationship to local institutions, both public and private (including problems of implementation), management of access systems for land, water and other rural resources, problems of resettlement and colonization, and rural works.

2. Rural financial markets deals with questions of credit, savings mobilization and the role of financial institutions in rural development.

3. Off-farm employment addresses strategies and methods for generating employment to supplement agricultural employment.

4. Rural market systems examines access and benefit equities, employment opportunities, and "multiplier" aspects of rural market systems within the broader perspective of market efficiency.

5. Integration of income-producing and social services activities addresses the problem of "integration" in rural development, what it means analytically and operationally, including planning for linkages and project activity sequencing at national, regional, and local levels. Methods are explored for developing complementarities between increases in income from

agricultural production and off-farm employment, and improvements in health, nutrition, and education.

6. Land tenure deals with problems of access to land and related water rights, including policy instruments available for influencing access and use and the legal and technical issues of rural resource administration and reform. Particular attention will be given to alternative national-level policy options for equitable and effective asset distribution and regulation.

7. Population and rural development explores how rural development projects affect the determinants of fertility and how population growth might be addressed through rural development program activities. It is proposed as an exploratory effort to be implemented through the Expanded Program by Research Triangle Institute working with a consortium of black universities and involving PHA/POP/PPD as well as TA/RD. It is directly responsive to section 117 of the proposed authorization legislation.

8. Rural development strategies addresses sources of rural development theory, experience in approaches to rural development programming, and alternative approaches which policy makers and practitioners may draw upon in designing their operations.

In each of these problem areas, the approach will be an interdisciplinary one, with heavy emphasis on the social sciences beyond traditional economics. While production and efficiency will remain important, more stress will be placed on intra-rural dynamics, benefit incidence, the roles of both traditional institutions, and the interaction of local communities with external change agents.

Each of the projects has a common core of basic activities:

1. Direct mission support activities on rural development problems including:

(a) Consulting on program and project identification, development, design, implementation, and evaluation.

(b) Assisting missions and their host governments to development country specific rural development research strategies, to encourage a systematic approach to use of research in dealing with rural development problems, and to help marshal and develop in-country rural development research capabilities.

(c) Supporting country-specific, programmatically relevant rural development research and analysis in cooperation with mission and LDC institutions.

2. Consultant network formation and management.

Rural development programming requires expertise and analysis of many different kinds. Often it is difficult for mission to secure needed services on a timely basis. The CPRD projects will expand significantly the pool of competent consultants available to missions. Both well known and equally competent but lesser known consultants will be located and brought into networks both as consultants to AID missions and AID/W and as contributors to problem analysis efforts. A systematic effort to create and formalize a network of experts in each substantive problem area and regional specialists will result in better and more timely advisory assistance to missions and LDCs and enlargement of the body of experts interested and qualified for rural development assignments. The participation of LDC institutions and experts will be stressed.

3. Problem exploration -- state of knowledge papers.

Although a great deal of description and analysis has been done on various problems of rural development, little of this material has been organized and written for use by busy practitioners. In most cases, it will be necessary to reinterpret earlier work or to combine, augment or edit it into a form more useful to current AID requirements.

Current state of knowledge papers will be developed in a number of problem areas. The papers generally will examine problems and provide conceptual frameworks for development strategies in their subject area and present existing knowledge and theory with appropriate differentiation by regions. A practitioner's, rather than an academic, perspective will be maintained in preparation of these documents. This work will not only provide missions and LDC counterparts with easily accessible and digestible technical materials, but will also pinpoint areas which require deeper exploration, analysis or research efforts.

4. Information dissemination. Information dissemination activities, through publications, seminars, workshops, short training courses, and other devices, will be carried out to ensure that AID personnel and counterparts working in rural development are kept informed of useful developments in each critical problem area. This dissemination will occur while other activities are underway, rather than after they have ended, with an on-going feedback from implementers to refine both the substance and the form of presentation. In order to facilitate utilization of the product of CPRD activities, all written materials produced including papers, R&D contract

management material, rosters, and AID/W contact points will be compiled into a rural development desk book which will be a "first stop" source of practical operating information.

The immediate objectives of the cluster should be achieved in four years. On the basis of experience, we expect to adjust the cluster to focus on cross-sectoral, or integrated, rural development and place less emphasis on unintegrated vector probes, although these are necessary in the first phase.

Funding

This cluster represents 72% of the FY 1979 base program and requires \$1.2 million as follows:

-- \$300,000 for core operations of the Land Tenure Center. This amount of money represents a minimal budget for the LTC but would be sufficient to keep it going if we are limited to a total office budget of \$1,680,000.

We do not yet know how expenditure patterns will develop under the other Critical Problem activities to be implemented through cooperative agreements. While we have budgeted on an annual basis for all activities

under each of these projects, it is possible that the funding pattern will take the form of discrete funding for specific applied research components.

As an example, the \$374,000 obligated in FY 77 for Rural Financial Institutions could be expended over a two-year period for core activities, with FY 1978 funds used for specific applied research activities. Alternatively, each year of funding could be allocated to the combination of core and applied research activities. We prefer this alternative; but would prefer to forward funds for two years in each of FY 1977 and FY 1979 in the interest of efficient management of complex projects. However, budget limitations in FY 1977 have required us to obligate on an annual basis for Rural Financial Institutions (although our FY 1977 budget contains two year funding for Rural Market Systems and Off-farm Employment).

In FY 1979 the base budget of 80% of our FY 1978 CP is sufficient only for one-year of funding for the three projects already mentioned. Increments above our FY 1979 base program are being requested as follows:

Priority No. 1 -- \$300,000 for the Area Development Project. Although we expect this project to elicit a heavy demand from regional bureaus and missions, it

cannot be shoe-horned into the base. While \$449,000 will be obligated in FY 1978 for 2 years of basic project funding, the FY 1979 funds are our first priority for meeting the expected demand from field Missions. Without this, the field applications will be severely cut.

Priority 2 -- \$1,034,000 which is composed of:

-- \$469,000 for initial funding for Alternative Rural Development Strategies. This project will be ready for obligation in late FY 1977 but cannot be accommodated in our current OYE.

-- \$310,000 to initiate an Integration of Income-producing and Social Services project. This is potentially the most exciting project in our portfolio and will involve us with several other TAB offices as well as regional bureaus and missions. It is a shelf item for FY 1978.

-- \$255,000 for Rural Development and Fertility. This is not in our FY 1978 or 1979 base budgets only because it is a new project. As a response to Section 117, it has high priority. Two rather than three years of forward funding is justified on the grounds that this is an experimental effort which will involve a large number of universities and individual researchers. We would prefer the leverage which funding

gives to be able to adjust the cooperative agreement after initial experience with it.

Priority No. 5 (priorities 3 and 4 are in other clusters) consist of:

-- \$480,000 for Rural Financial Institutions. This would fund the fourth year of project operation, which would also be the last full year of operation. While these funds could be added to the project in FY 1980, this would be less efficient than obligating them at the same time as the base FY 1979 obligation is made.

-- \$200,000 for the Land Tenure Center to allow it to continue operations above a minimum core level. As noted in the summary narrative, there will be an evaluation of the LTC in mid-1978 and we urge no decision to reduce its budget before that evaluation is made.

-- \$290,000 for Rural Market Systems with the same reasoning that applies to Rural Financial Institutions, i.e., servicing mission demand for applications and test of findings.

-- \$200,000 for Off-farm Employment, also to extend services to the missions.

If TA/RD is allotted all of its priority increment funding, the Critical Problems cluster will comprise 79% of the total FY 1979 budget.

Staffing

The entire TA/RD staff, including RSSA people, works on the Critical Problems cluster, spending a total of 1162 person days, or 42.4% of the total available in FY 1978 and 1207 or 43.2% of our staff power in the FY 1979 base, increasing to 1321, or 43.7% with all priorities. This includes the two project managers concerned primarily with participation and methodologies, because of the importance of each of these areas to the Critical Problems program.

The largest portion of the two new FY 1978 positions will be allocated to this cluster, one replacing the RSSA -- procured economic anthropologist whom we cannot expect to remain with us in a non-career position for more than another nine to twelve months; and the other -- an economic geographer -- dividing his time among projects which have a particular need for addition of a spatial approach. In FY 1979, the requested position for a rural sociologist will be allocated primarily to the Critical Problems and Participation clusters, and will have a primary responsibility for new project develop-

ment for FY 1980.

It should be noted that all of the technical specialists involved with the Critical Problems cluster are heavily engaged in regional bureau/mission support. This is regarded as essential not only to accomplish the office's strategy, but also to attract and keep the kind of personnel we want, all of whom tend to be field-oriented activists.

Should we be kept to our FY 1977 ceiling and not be able to recruit for the DH and IPA economic anthropologist and economic geographer, we will try to procure these resources through the RSSA. This denies us the continuity needed and, of course, is not feasible if we cannot physically locate these professionals with our own staff. It also requires that DH and IPA staff increase their official project management and administrative management functions and correspondingly decrease mission support, planning and strategizing and contact with international and professional organizations.

Page in ABS	Dea. Obl. Cat. Stat. RDA	Revised OYB	FY 1977			FY 1978			FY 1979			Project Revised Service or New Apprv'd PP Due Thru Mo/Yr
			Unliqui- dated 9/30/77	Work Days	Consul- tants	C. P. Redist	C. P.	Work Days	Consul- tants	Request'd Amount	Total	
A. Planning and Strategizing												
1. Project												
	F 1	37		9							11	
	(***)											
	B(*)	3	37									
	(***)			24								
	B(*)	2	37									
	(***)			24								
	B(*)	2	37									
	(***)			21								
	B(*)	2	37									
	(***)											
	B(*)	2	37									
	(***)			20								
	B(*)	3	37									
	(***)			43								
	B(*)	4	37									
	(***)			16								
	B(*)	4	37									
2. Non Project												
a. TAB Activities												
1) Small Activities												
	a)	Rural Financial Markets										
		SOTA	1	24								
	b)	Financing Public Works										
		Maintenance	2	6								

(*) 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. Obl. Cat. Stat. RDA	Revised OYB	FY 1977		Uniquely dated 9/30/77	FY 1978		FY 1979		Project Service or New Apprv'd Thru Mo/Yr	
			Work Days Total	Consul- tants		C. P. Redist	C. P.	Work Days Total	Consul- tants		Reqst'd Amount
B. Regional Bureau and Mission Service											
1. Project											
	F	1	37								
	(***)	3	37	9					8		
	B(**)	2	37	15					52		
	B(**)	2	37	10					27		
	B(*)	2	37						36		
	(***)	2	37						4		
	B(**)	2	37	25					46		
	B(*)	2	37						26		
	(***)	3	37						11		
	B(*)	4	37						81		
2. Non-project/Non-TAB Activities											
	a.			27					5		
	b.			3					264		
	TOTAL			84					296		

B.

(*) 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 of Technical Assistance Bureau Program Review
 Cluster No. 5003 Title Critical Problems in Rural Development
 Activity Coordinator Kilgour Office Summary of Proposed Obligations by Cluster (\$ in thousands)

Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Revised Service or New Apprv'd PP Due Thru Mo/Yr
				Revised OYB	Work Days Total	Unliquidated 9/30/77	C. P.	C. P. Redist	Work Days Total	Reqst'd Amount	Work Days Total	Consul-tants	
					Consul-tants								
C. Project Development & Management													
1. Project													
		F	1	37	938	44	700	350		22	300	22	
	Old Land Tenure Center	(***)	3	37		60			449	63			7-77
	1135 Area Development	(***)	2	37	274	22			426	27	450	79	5-77
	1169 Rural Financial Institutions	(***)	2	37	363	23				70	270	70	5-77
	1192 Rural Market Systems	(***)	2	37		22				39		29	6-77
	1190 Alternative Rural Development Strategies	(***)	2	37	324	73				69	120	69	5-77
	1191 Off-Farm Employment	(***)	3	37		19		106		65		58	
	1199 Integration of Income-Producing & Social Services	(***)	4	37		20				40		4	
	1170 Rural Development & Fertility	(***)	2	6	(6)								
	1171 Rural Development Administration Grant	(***)	1	24		1							
	2. Non-Project												
	a. TAB Activities												
	1) Small Activities												
	a) Special Project Inputs - Area Development		2	6	(6)								
	b) Rural Development Administration Grant		1	24		1							
	(*) 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												
] Shelf for FY77												

Page in ABS Cat.	Des. Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service Apprv'd Thru	Project Revised or New PP Due Mo/Yr
			Revised OYB	Work Days Total	Unliquidated 9/30/77	C. P.	G. P. Redist	Work Days Total	Reqst'd Amount	Work Days Total	Consul- tants		
			(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)	(\$ in thousands)		
	2	6	(24)	2						2			
c) Financing Public Works Maintenance													
d) Differentiation of Function and Authority in RD	3	6			(27)					2			
e) Modeling of Broker/Patron Behavior	4	6									(28)		
f) Anthropological Analysis of Rural Industries - Taiwan	3	6					(30)			4			
g) SOTA: Small-scale Industries of Rural Industries in Japan, Taiwan, Korea, Philippines	3	6					(30)			8			
h) Water User Associations	1	64		2			(35)			4			
i) Extended Family Support Systems	2	6											
2) Other													
b. Non-TAB Activities													
1) Assistance to missions/bureaus													
TOTAL			1897	376		450	875	498			1205	472	

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

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru	Revised or New Mo/Yr
					Revised OYB	Work Days Total	Unliquidated 9/30/77	C. P.	Work Days Total	Regst'd Amount	Work Days Total	Consul. Total	Project Service or New Apprv'd Thru		
D. Contact with International Organizations															
1. Project															
0111 Land Tenure Center		F	1	37										2	
Area Development - Applied Research & Consulting		(***)	B(*)	3	37									2	
1135 Rural Financial Institutions - Applied Research & Consulting		(***)	B(*)	2	27									1	
1169 Rural Market Systems - Applied Research & Consulting		(***)	B(*)	2	37									1	
1192 Alternative RD Strategies - Applied Research & Consulting		(***)	B(*)	2	37									1	
1190 Off-Farm Employment - Applied Research & Consulting		(***)	B(*)	2	37									1	
1191 Integration of Income-Producing Applied Research & Consulting		(***)	B(*)	3	37	4								5	
RD & Fertility - Applied Research & Consulting		(***)	B(*)	4	37	3								4	
2. Non-Project/Non-TAB - Attend Meetings, seminars														6	
TOTAL						7								23	

(*) 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/RD
 Cluster No. 5001 Title Critical Problems in Rural Technical Assistance Bureau Program Review
 Activity Coordinator Kilbour
 Office Summary of Proposed Obligations by Cluster
 (\$ in thousands)

Cluster Related
 Priority
 Date

	Priority 1		Priority 2		Priority 3		Priority 4		Priority 5	
	Reqst'd Amount	Work Days								
A. Planning and Strategizing										
1. Project										
0111 Land Tenure Center										
1135 Area Development										
1169 Rural Financial Institutions										
1192 Rural Market Systems										
1190 Alternative Rural Development Strategies										
1191 Off-Farm Employment										
Integration of Income-Producing and Social Services		15								
1170 Rural Development & Fertility		5								
2. Non-Project										
a. TAB Activities										
1) Small Activities										
a) Rural Financial Markets SOTA										
b) Financing Public Works Maintenance										
										-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

Priority _____
Date _____

4D 5003 Title Critical Problems in Rural Technical Assistance Bureau Program Review
City Coordinator Development Office Summary of Proposed Obligations by Cluster (\$ in thousands)

	Priority 1			Priority 2			Priority 3			Priority 4			Priority 5		
	Request'd Amount	Work Days	Consul-Total tants	Request'd Amount	Work Days	Consul-Total tants	Request'd Amount	Work Days	Consul-Total tants	Request'd Amount	Work Days	Consul-Total tants	Request'd Amount	Work Days	Consul-Total tants
c) Differentiation of functions & Authority in RD															
d) Modeling of Broker/Patron Behavior															
e) Anthropological Analysis of Rural Industries - Taiwan															
f) SOTA: Small Scale Industries in Japan, Taiwan, Korea, Philippines															
g) Extended Family Support Systems															
1) Other (coordination)															
b. Non-TAB Activities															
-1) Assistance to missions/bureaus															
2) Attend meetings, seminars, etc															
TOTAL															

A.

(*) 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 Cluster

Coordinator Kilgour

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants
1. Project															
Oll Land Tenure Center															
1135 Area Development															
1169 Rural Financial Institutions															
1192 Rural Market Systems															
1190 Alternative Rural Development Strategies															
1191 Off-Farm Employment															
Integration of Income-Producing & Social Services															
1170 Rural Development & Fertility															
2. Non-project/Non-TAB Activities															
a. Assistance to missions/bureaus															
b. Attend meetings, seminars, etc.															
TOTAL															

(*) 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

TAKSU

Cluster No. 5003 Title Orchard Programs in Kuku Development Technical Assistance Bureau Program Review Cluster Related A-1
 Activity Coordinator Kilobue Office Summary of Proposed Obligations by Cluster Priority Date

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants	Reqst'd Amount	Work Days	Consul- tants
1. Project															
0111 Land Tenure Center															
1135 Area Development	321	-2											200	2	
1169 Rural Financial Institutions															
1192 Rural Market Systems													480		
1190 Alternative Rural Development Strategies							469						290		8
1191 Off- Farm Employment															
1177 Integration of Income-Producing & Social Services													200		
1170 Rural Development & Fertility							310								
2. Non-Project															
a. TAB Activities															
1) Small Activities															
a) Special Project inputs - Area Development															
b) Rural Development Administration Grant															

(*) 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) Shelf for FY77 2) Shelf for FY78

Cluster Related A-1
 Priority _____
 Date _____

5003 Technical Problems in Rural Development
 Office Summary of Proposed Obligations by Cluster
 (\$ in thousands)

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants
c) Financing Public Works Maintenance	-	-	-												
d) Differentiation of Function and Authority in RD															
e) Modeling of Broker/Patron Behavior															
f) Anthropological Analysis of Rural Industries - Taiwan															
g) SOTA: Small-Scale Industries Industries in Japan, Taiwan, Korea, Philippines															
h) Water User Associations															
I) Extended Family Support Systems															
2) Other															
b. Non-TAB Activities															
1) Assistance to missions/bureaus															
TOTAL	321	15	1034										1,170	41	

(*) 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

Priority _____

Date _____

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

	FY 1979 PRIORITY 1			FY 1979 PRIORITY 2			FY 1979 PRIORITY 3			FY 1979 PRIORITY 4			FY 1979 PRIORITY 5		
	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants	Reqst'd Amount	Work Days	Consul-Total tants
D. Contact with International Organizations															
1. Project															
Ollil Land Tenure Center															
Area Development - Applied Research & Consulting															
Rural Financial Institutions - Applied Research & Consulting															
Rural Market Systems - Applied Research & Consulting															
Alternative RD Strategies - Applied Research & Consulting															
Off-Farm Employment - Applied Research & Consulting															
Integration of Income-Producing Applied Research & Consulting															
RD & Fertility - Applied Research & Consulting															
2. Non-Project/Non-TAB - Attend Meetings, seminars															
TOTAL															

(*) 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

No. 5003 Title Critical Problems in Rural Development Cluster Related A-1
 Activity Coordinator _____ Priority _____ Date _____
 Office Summary of Proposed Obligations by Cluster
 (\$ in thousands)

	Priority 1		Priority 2		Priority 3		Priority 4		Priority 5	
	Reqst'd Amount	Work Days								
Administration & Supervision	321	110	1034	-3					1170	3
TOTAL		2		-3	2	2	2	2		5
GRAND TOTAL										

(*) 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

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT PAPER FACESHEET		1. TRANSACTION CODE <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE		PP
3. COUNTRY/ENTITY TA/RD		4. DOCUMENT REVISION NUMBER Original		2. DOCUMENT CODE 3
5. PROJECT NUMBER (7 digits) <input type="checkbox"/> 1192 <input type="checkbox"/>	6. BUREAU/OFFICE A. SYMBOL TAB	B. CODE <input type="checkbox"/> 02 <input type="checkbox"/>	7. PROJECT TITLE (Maximum 40 characters) <input type="checkbox"/> Rural Market Systems <input type="checkbox"/>	
8. ESTIMATED FY OF PROJECT COMPLETION FY <input type="checkbox"/> 8 <input type="checkbox"/> 1		9. ESTIMATED DATE OF OBLIGATION A. INITIAL FY <input type="checkbox"/> 7 <input type="checkbox"/> 7 B. QUARTER <input type="checkbox"/> 4 C. FINAL FY <input type="checkbox"/> 7 <input type="checkbox"/> 9 (Enter 1, 2, 3, or 4)		

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L C	D. TOTAL	E. FX	F. L C	G. TOTAL
AID APPROPRIATED TOTAL						
GRANT FN	363			923		923
LOAN						
OTHER U.S.						
HOST COUNTRY						
OTHER DONOR(S)						
TOTALS	363			923		923

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY 77		H. 2ND FY 78		K. 3RD FY 79	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	J201	290		363				560	
(2)									
(3)									
(4)									
TOTALS				363		-		560	

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		12. IN-DEPTH EVALUATION SCHEDULED MM YY <input type="checkbox"/> 03 <input type="checkbox"/> 79
	D. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	
(1)					923		
(2)							
(3)							
(4)							
TOTALS						923	

13. DATA CHANGE INDICATOR. WERE CHANGES MADE IN THE PID FACESHEET DATA, BLOCKS 12, 13, 14, OR 15 OR IN PRP FACESHEET DATA, BLOCK 12? IF YES, ATTACH CHANGED PID FACESHEET.

1 = NO
 2 = YES

14. ORIGINATING OFFICE CLEARANCE		15. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION	
SIGNATURE Charles S. Blankstein	<i>Charles S. Blankstein</i>	DATE SIGNED	
TITLE Director, TA/RD		MM DD YY 05 17 77	MM DD YY

Project Paper Outline

Rural Market Systems

TABLE OF CONTENTS

PAGE

PART 1. SUMMARY AND RECOMMENDATIONS

- A. Recommendations
- B. Description of the Project

PART 2. PROJECT BACKGROUND AND DETAILED DESCRIPTION

- A. Background and Justification
- B. Detailed Description
 - 1. Goal
 - 2. Purpose
 - 3. Outputs

PART 3. PROJECT ANALYSES

- A. Financial Analysis and Plan

PART 4. IMPLEMENTATION PLANNING

- A. Administrative Arrangements
- B. Implementation Plan
- C. Coordination
- D. Project Operations

Part I. SUMMARY AND RECOMMENDATIONS

A. Recommendations

It is recommended that \$923,000 in grant funds be approved to finance four years of applied research and consulting activity as outlined in the Project Paper. The annual obligation schedule would be as follows: FY 1977 -- \$363,000; FY 1979 -- \$560,000.

B. Summary Description of the Project

The Rural Markets Project is designed to assist missions and LDCs formulate and develop better rural marketing programs by providing the following services from a network of consulting and research talent; applied research and consulting primarily in LDCs in close collaboration with missions; development of evaluated rosters of consultants interested in and qualified for a wide variety of rural marketing assignments; state of knowledge and issue papers to provide easily accessible information on rural marketing problems analysis and intervention techniques; and dissemination of information through publications, workshops, seminars and conferences involving LDC and mission practitioners researchers, analysts, consultants, and donor agencies.

The project will stress the viewpoint of the rural consumer/producers with emphasis on employment and equity considerations. It will look at such factors as intra-rural marketing and traditional marketing systems. Building on previous work done at Michigan State University which emphasized the efficiency of marketing systems and that done at Harvard which emphasized marketing management issues, largely in Central America, This project will attempt to identify the constraints in the marketing systems that reduce incentives and equitable access for producers and reliable, fairly priced delivery of goods for rural consumers.

PART 2: PROJECT BACKGROUND AND DETAILED DESCRIPTION

A. BACKGROUND AND JUSTIFICATION

Rural marketing systems provide essential institutional and physical arrangements for the coordination of production and consumption activities. These arrangements are often very complex and exhibit a wide range of variability in different environments. Market system improvements are of great importance in the design and implementation of rural development programs and more generally in the design of overall development strategies that seek to bring about more effective linkages between rural areas and rapidly growing urban centers.

AID has been involved in a wide range of marketing projects, including activities geared toward improvement of food marketing, distribution of agricultural inputs, and consumer goods marketing. However, these activities have often been formulated to achieve objectives that are not consistent with AID's current rural development objectives. Past efforts, for example, have tended to concentrate on national and international commodity movements and on efficiency criteria. In some cases, the intent of these projects was to develop mechanisms to supply cheap food to urban consumers. LDC governments have instigated marketing interventions involving price controls and government controlled collection systems that enabled them to provide food at subsidized prices to urban residents, with rural producers bearing the costs of the government's essentially "urban" policy. In other cases, marketing projects have been designed to increase exports of food or other agricultural commodities. Typically, these projects have emphasized efficiency criteria exclusively; little thought has been given to the equity and employment aspects and consequently the benefits have flowed mainly to large producers with small rural producers and low income consumers receiving no positive returns.

It is evident that there is an important need to develop strategies for improving marketing system performance that support current rural development objectives. There is a need to approach marketing problems from a framework that takes into account equity objectives and benefits to the target group as well as traditional efficiency criteria. Such an approach will require considering more fully the potential contributions of traditional market actors in a modernized system. The dynamics of the intra-rural system must be examined as well as rural-urban marketing patterns.

The role of local marketing in stimulating and building upon progress in other sectors and employment opportunities in rural marketing should also receive more attention than they have in the past.

These considerations require an outlook considerably broader than that taken when agricultural development is the sole focus and will require development of an analytical framework different from that now used.

One emphasis in this project will be to develop approaches for analyzing and improving the performance of marketing systems in low income countries that are consistent with current rural development objectives. This will involve reexamining a number of basic issues relating to the role of marketing systems in efforts to improve the well-being of poor people in rural areas. Particular attention will be directed to understanding the nature of existing local marketing systems in rural areas, including marketing activities between the farm gate and market town, the dynamics of the intra-rural system, and the relationships of these types of marketing activities to the process of rural development. These are areas that have not received adequate attention in past efforts to improve marketing system performance. All too often, marketing system "improvements" have been attempted that ignored the workings of the existing system, the functions being performed by it, and the actual and potential contributions of participants in traditional rural marketing systems to the rural development process.

To develop the type of analytical framework that is needed, it will be necessary to bring together a number of diverse approaches to rural marketing problems, including the work of agricultural economists, economic anthropologists, geographers, political economists, rural sociologists, and business marketing specialists. This will permit us to more fully consider the diverse range of factors that influence market system performance, including social, cultural, political, and geographical factors, in addition to the economic and technical considerations that analyses to date have concentrated on.

Although a certain amount of rethinking of marketing issues is needed to develop appropriate strategies of designing marketing systems for rural development, the emphasis of this project will be on actually developing improved marketing projects and policies -- i.e. translating improved methods of conceptualization and analysis into better projects and policies. This project will be designed to assist AID

missions and LDC governments to design and implement more effective policies and projects through the following activities: (1) direct mission support activities in the form of applied research and consulting; (2) consultant network formation and management; (3) problems exploration and state-of-knowledge papers; and (4) information dissemination.

Applied Research and Consulting. Formal social science research in the sense of "obtaining new knowledge" will be a relatively minor part of the activities conducted under this project. Analytical work will focus on evaluation and preparation of case studies on particularly crucial examples of success or failure in rural marketing projects and the development of general studies for filling gaps in our knowledge. The primary focus will be on specific country problems and both research and consulting will take place in countries and in cooperation with missions which are heavily engaged (or want to be) in programs to improve the performance of the rural marketing system in facilitating rural development. There will also be some analysis using a cross-country approach, pulling together and comparing experience from several countries or approaching a problem generically without immediate reference to its country-specific manifestations.

Consulting will be done across a range of activities: assisting in preparation of project documents; helping in the development of research strategies which address the question of the role of rural marketing systems in rural development and which will encourage a systematic approach to the use of research in dealing with these types of rural development problems and marshal and develop research capability; and evaluating past and present interventions in the area. To some extent, it will be necessary to limit intensive consulting by the principal researchers to those countries in which their research is occurring or to those which have very similar problems, but the consultant networks built up by the principal university source and information dissemination activities will enable a larger group of missions and LDCs to draw upon needed expertise. It is planned to make these resources available to regional bureaus as needed.

Consultant Network Formation and Management. It is often difficult for missions to secure services of appropriately qualified consultants on a timely basis. There is a great demand for a few well known people. But many competent individuals who are available are unknown to practitioners.

In this critical problem area, a concentrated effort will be made to identify and evaluate a number of people working in the field: well known people; equally competent but lesser known established experts; promising younger people; and LDC experts. The objective of organizing these people for work on AID programs (i.e., creating a network) will be better and more timely advisory assistance to missions and LDCs by means of evaluated rosters of consultants interested in and qualified for rural development assignments; facilitation of the development of long term consulting/research relationships between individual missions and first rate academic talent so that these investigators can become, in effect, informal extensions of mission staff; and development of the knowledge of these experts in the field through contacts with their colleagues, publications and more opportunity for field consulting.

State-of-the-art and special studies. A great deal of description and analysis has been done on various aspects of rural marketing systems; in addition, AID missions around the world have attempted, at various times, a number of different programs that are relevant to current efforts to improve the performance of rural marketing systems as part of a strategy to promote rural development. Very little of this material and experience, however, has been conveniently organized and written for use by practitioners. In some cases, it may be necessary to re-interpret earlier work or to combine, augment or delineate it so as to make it more useful to current AID requirements. Current state of knowledge papers to be developed under this project will not only provide Missions and LDC counterparts with easily accessible and digestible technical materials, but will also pinpoint areas which require deeper exploration, analysis or research efforts.

Information dissemination. Information dissemination activities, through publications, seminars, workshops, short training courses, and other devices, will be carried out to help AID personnel and counterparts working in rural marketing, as well as members of the consultant network, keep informed of useful developments in this critical problems area. This dissemination will occur while other activities are underway, rather than after they have ended, with an on-going feedback from practitioners to refine the substance and the utility of the presentation.

This problem area has been identified by missions, regional bureaus, and PPC as being a high priority for research and project planning. The applied research/consulting approach presented in this PP is believed to be an appropriate, operationally effective, flexible response to the Agency's needs in this area. This belief is based on a two-year period of analysis and discussions with AID and other practitioners and experts beginning with the Working Group on the Rural Poor and continuing through the present. The project is designed to keep the flow of project activities responsive to mission needs as they arise and to the directions indicated by early state-of-knowledge work and consulting experiences. This will require involvement in project decision making and monitoring by representatives of regional bureaus and maximum flexibility in implementation. Persons from other TAB offices and PPC with interests in this area will also be invited to participate in an inter-bureau committee on rural marketing. These requirements make project management more complex than would be the case in a more narrowly designed project limited to, for instance, research or consulting. However, such a design would not meet the Agency's highest priority needs in rural development. Part IV provides details on how the project will be implemented and contracted.

The core activities under this project will be carried out through a cooperative agreement between TA/RD and Michigan State University. The project will build upon the previous activities which Michigan State University has undertaken on rural marketing in developing countries. Since 1965 the University has been continuously and intensively involved in rural marketing work in developing countries. Some of the earliest and most complete research on rural marketing in Latin America was undertaken by the University through Latin America and Central Bureau contracts. The first contract (AID/TCR 786, 1965-1968) financed basic research on the role of marketing in development and was carried out in Puerto Rico in northeast Brazil. A second major contract (AID/la 364, 1967-1974) financed intensive research in Bolivia, Colombia, and less intensive consulting in several other countries. Through USAID mission contracts the University followed up its earlier work in Colombia with technical assistance and applied research activities over the period through 1969-1976. Similarly, the University provided technical assistance and applied research inputs to the USAID mission in government agencies in Costa Rica over the period 1972-1976.

The output of that work included several major research monographs, occasional papers, special research reports and conference papers, as well as, participation in the preparation of several USAID marketing loans, sector assessments, and preliminary project planning activities. In 1974, the University published a book entitled, Improving Food Marketing Systems in Developing Countries: Experiences from Latin America which presents the analytical framework which evolved over the course of these studies, as well as a comparative analysis of empirical and conceptual results from the five countries.

This project will further develop the multi-disciplinary approach to rural marketing work that MSU has sought to carry out in its work in Latin America. The initial research work in Puerto Rico and Brazil involved agricultural economists, managerial marketing people from the College of Business, and rural sociologists and communication specialists from the College of Communication.

MSU's marketing work in Latin America has produced valuable insights on the role of marketing in development processes. The recent growing recognition of the need to emphasize rural development has been reflected in the University's activities in Colombia and Costa Rica. There, research and technical assistance activities focussed explicitly on understanding rural market processes and their effect on incomes, employment and social welfare of rural consumers. That recent work also drew more heavily on the concepts and approaches of other disciplines such as anthropology and geography.

This project will also build upon the insights into LDC marketing practices that have been developed through the work by the Harvard Business School. In addition, it will draw heavily from the work on rural marketing currently being undertaken by the Inter-American Institute of Agricultural Sciences (IICA). In 1973, as part of a complete program review and reorientation, IICA decided to develop a major thrust in rural marketing cooperation. This came partially as a result of growing interest in marketing problems among its 23 member countries. With encouragement and partial financing from the Latin America Bureau, Michigan State University personnel developed collaborative and advisory ties with the new IICA marketing program. IICA now has some fifteen marketing specialists involved in rural marketing work in most countries of Latin America. In 1976, the Michigan State University signed a Memorandum of Agreement with IICA by which the two institutions formally agreed to pursue

collaborative arrangements for research, technical cooperation and exchange of information and ideas on rural marketing processes in Latin America. This agreement establishes a mechanism to facilitate collaborative applied research and technical cooperation between university faculty and students and IICA marketing specialists in almost any country in Latin America and the Caribbean. The work undertaken in this project will continue to be coordinated with IICA's activities in rural marketing.

The project proposed in this PP will build upon this prior work extending it in the directions already mentioned and also extending it to regions beyond Latin America.

- d. The developed information will have been utilized by U.S.A.I.D. missions and L.D.C. project managers with support as necessary from network consultants to identify, design, implement and evaluate rural marketing programs and projects.

3. Activity Outputs

There are four general categories of output that will be forthcoming from this activity:

- a. The timely availability of consulting and applied research on critical problems relating to rural marketing activities.
- b. The development of a consulting and resource network relating to rural marketing activities.
- c. The generation of state-of-knowledge papers relating to rural marketing activities.
- d. The dissemination of information on rural marketing activities to L.D.C., A.I.D., other donor practitioners and members of the consulting network. Each of these general output categories will now be specified in greater detail.

1. Consulting and Applied Research

One of the major outputs of this activity is the provision of direct consulting services to A.I.D. missions, regional bureaus, and L.D.C. host governments. The consulting services will focus on the general economic and social aspects of rural marketing projects and programs, particularly their identification, design, implementation and evaluation. Although it is not envisaged that significant amounts of direct consulting services on the technical aspects of post harvest handling, storage, transportation and processing will be provided by the contractor, information on and access to such services will be provided through the consulting network, which is described below. To some extent, it will be necessary to concentrate the intensive direct consulting in those two or three countries where the in-depth applied research described below is occurring, although some direct consulting will also be provided to those countries having similar problems or issues. Smaller amounts of direct consulting will also be provided on an ad hoc basis to other countries. Finally, direct consulting services will be made available to assist A.I.D./Washington in evaluating rural marketing projects submitted by missions and in developing programs in this area.

Closely related to the provision of direct consulting services is the generation of country-specific applied research designed to assist the missions and host governments improve the identification, design, implementation and evaluation of their rural marketing policies, programs and projects. To accomplish this task, it will be necessary to concentrate this in-depth analysis in two or three countries. The criteria

for selecting these countries would include a high level of interest by the host government in the activity, a strong current A.I.D. commitment in the country, an active interest by the mission in rural marketing activities, and a level of local institutional capacity that would permit the contractor to develop collaborative research arrangements with local researchers and institutions, thereby strengthening the capabilities of these L.D.C.s to plan and manage these types of development activities. Although the specific countries cannot be identified until further detailed consultations have been undertaken with A.I.D. regional bureaus, missions and host governments, conversations with A.I.D. regional bureaus have indicated that possible candidates might include Upper Volta, Egypt, Bangladesh, Indonesia, Nepal, Paraguay and the Caribbean. The procedure for selecting locations for indepth applied research and consulting activities is outlined in Section 4.

The specific applied research topics on rural marketing activities to be examined in the two or three selected countries will depend on the interests and concerns of the host government, the A.I.D. missions, and local researchers. They will also reflect to some extent the priorities that will emerge from the state-of-knowledge studies, which will be conducted during the initial phase of this project. The goal of the applied research work is to provide an improved understanding of rural marketing processes and to identify ways of improving system performance to meet rural development goals. Based on previous research and marketing project experience, the following are examples of the kind of research which might be undertaken.

Within a given country or countries a region might be selected where the analytical framework evolved in the state-of-knowledge paper could be applied. The research would focus on understanding existing marketing process within that region and interrelationships with other regions with a view toward evaluating system performance in meeting rural development objectives. The last step would be to formulate appropriate interventions for improving performance of the rural marketing system for the region. Applied research would be organized to collect and analyze information regarding the operation of the existing marketing system, with particular attention devoted to understanding the traditional local marketing system and the activities of local merchants and middlemen, the relative importance of various types of constraints on their performance, and the potentials for assisting rural merchants to increase their contributions to development goals. In addition, this research would collect and analyze information on problems which arise in the process of designing and implementing new marketing projects.

Initial emphasis might be on case study evaluations of selected market system improvement projects or policies.

Attention would be directed to methodologies for designing and implementing projects to improve the performance of rural marketing systems, focusing on the types of data and methods of analysis that are needed, and costs for different types of research methodologies.

Applied research would also be undertaken to address specific problems identified in the state-of-knowledge studies, either within specific countries or comparatively across countries.

Additional questions that might be asked include the following:

- (1) Do separate marketing channels exist for small producers and low income consumers vs. larger scale producers and wealthier rural residents? Are there inequities? What is the origin of those inequities? What are the policy program and project planning implications?
- (2) Do small producers have restricted access to marketing opportunities? What mechanisms or institutional forms can be used to improve small producer market access? What conditions are necessary for success of those mechanisms or institutional forms?
- (3) Does the existing marketing system provide reliable, fairly priced delivery of the types of goods (consumer goods and production inputs) low income consumers demand?
- (4) What are the alternative government facilitative actions, controls and regulations which might be used to enhance performance of the marketing systems in meeting rural development objectives? What are the relative costs and benefits of direct government involvement in marketing projects vs. strategies that support the private sector in providing marketing services for rural development?
- (5) What factors determine the success of government instituted marketing arrangements in improving performance of rural marketing systems, i.e., marketing boards, marketing orders, collective bargaining regulations, organized commodity trading through spot, auction, futures or forward deliverable contract markets?
- (6) What factors determine the success of alternative forms of direct market intervention by government agencies?

In Latin America a special effort would be made to draw on the experience and expertise of the Hemispheric Marketing Program of the Interamerican Institute of Agricultural Sciences (IICA) by developing collaborative applied research projects. Michigan State University Marketing Personnel have maintained close professional ties with that program since its inception. A memorandum or agreement was recently

signed formalizing the mutual commitment to collaboration between the two institutions.

2. Development of a Consulting and Research Network

Another important output of this activity is development of a consulting and research network relating to rural marketing activities. One of the first outputs will be the generation of an evaluated roster of potential consultants both in the United States and overseas on rural marketing activities. Copies of this roster would be circulated to interested personnel in AID. The contractor will also make recommendations on which individuals in the roster might fill mission requests. The contractor would not, however, be responsible for contacting potential consultants on behalf of AID. This consulting roster is the first step in creating and formalizing a network of consultants and researchers with interests and expertise relating to rural marketing activities. The focus of the network would be on the general economic and social aspects of rural marketing activities rather than the more specific technological aspects; however, linkages would be developed with those organizations providing more specific technical and/or extension services, such as FAO, IICA, and other U.S. Universities. This network would be used to train, inform and support these consultants and researchers. To foster this network, the contractor will hold two international conferences on rural marketing activity. In addition, the contractor will disseminate to network participants several types of information, which are described in more detail under information dissemination. This network will include persons from a number of disciplinary backgrounds concerned with marketing problems, including business, agricultural economics, economics, economic anthropology, and sociology, among others. LDC marketing specialists will be important participants in the planning and conduct of research activities, in accord with the project's overall objectives of increasing the supply of professional expertise which can be brought to bear on the rural development problems of particular countries and regions. The development of a network of informed, capable marketing professionals will also assist missions and LDC governments in obtaining highly qualified consultants to assist in designing and implementing effective measures of improving the performance of rural marketing systems.

3. State-of-Knowledge Papers

The contractor will also generate several state-of-knowledge papers relating to rural marketing activities. The first project will be a general state-of-knowledge paper on marketing strategies for rural development. This paper will bring together a number of diverse approaches to rural marketing, including work done by agricultural economists, economic anthropologists, political economists, geographers, rural sociologists, and business marketing specialists. The purpose of this project will be to assess alternative approaches that have been developed to improve the performance of rural marketing systems. The project will seek to develop an analytical framework for assessing the performance of marketing systems in meeting rural development objectives and the effects of alternative marketing system interventions. Drawing upon work that has been done by persons in a wide range of disciplines, this paper will identify the range of factors that need to be considered in analyzing marketing system performance from the perspective of rural development objectives, including political, social cultural, cultural, and geographical factors in addition to the technical and economic factors that traditional analyses have concentrated on. Alternative strategies for handling efficiency, employment, and equity objectives will be analyzed. This will entail looking at the following types of questions: What is the nature of the evidence regarding the relative efficiency, productivity and competitiveness of private traders in various countries? What does the experience of various LDCs tell us about the role of merchants or private traders in various countries? What does the experience of various LDCs tell us about the role of merchants or private traders in rural development; the role for cooperatives, other quasi-governmental agencies, and public sector activities generally in marketing activities designed to promote rural development objectives; and the appropriate balance among these various sectors? How do costs of developing public sector approaches to improve marketing system performance compare with costs of interventions designed to improve performance of the private trade? Under what circumstances is development of the private trade warranted to achieve societal objectives? Rather than concentrating on developing governmental run marketing approaches to service small farmers and low income rural consumers -- the standard approach -- might

not scarce governmental resources better be used to regulate and increase efficiency of private trade, thereby freeing scarce managerial talent within the government for other developmental purposes? What are the implications of various types of marketing systems for efficiency, employment and equity concerns? What are the trade-offs between efficiency, employment, and equity objectives?

A second set of questions that needs to be examined relates to public agency interventions in marketing. One important question concerns the ways in which LDC officials view marketing activities and the consequences of their attitudes for projects and policies affecting marketing. The political and policy environment in which marketing activities are carried out is one of the most important factors that bears on marketing system performance. Pricing policies reactive to urban pressures of a political nature need to be considered. The importance of bureaucratic and policy constraints on the effective performance of marketing systems needs to be recognized and ways of ameliorating such constraints need to be explored. Direct measures of public agency assistance to improve rural marketing system performance also need to be examined, including affective ways of providing credit to rural merchants, measures of technical assistance, and programs to improve transportation, storage, and other types of infra-structure necessary for effective marketing system functioning that are consistent with equity employment, and efficiency objectives.

Development of the analytical framework that considers and deals with these types of questions will assist Missions and LDC officials to develop more effective strategies and approaches for improving the performance of marketing systems as a critical part of the rural development process. State-of-the-art work in this problem area will be of immediate benefit to persons concerned with the formulation of macro-policies affecting marketing activities and to those involved in designing and implementing new marketing projects. This work will also help to define applied research problems that will need to be addressed in working with Missions and LDC governments to design more appropriate rural marketing interventions.

It is also envisaged that one or more additional state-of-knowledge papers would be published later on in the project as a way to up-date information to the

practitioner reflecting ongoing research, project evaluation and consulting experience. Finally, a handbook would be published giving an appropriate conceptual framework as well as practical guidelines for collecting and analyzing information for designing rural marketing projects, programs, and policies. In all of these studies, a multi-disciplinary focus will be used and a practitioners' rather than an academic perspective will be used in preparing the final documents.

4. Information Dissemination

The final general output of this activity relates to the dissemination of information on rural marketing activities. The output will be primarily in the form of publications and workshops or seminars. With respect to publications, a minimum of three documents are envisaged: (1) a general issues paper on marketing systems and strategies for rural development, (2) an updated paper reflecting project research, consulting, professional interaction and ongoing review of research studies on rural marketing, (3) a manual on practical guidelines for collecting and analyzing information for purposes of designing, implementing, and evaluating rural marketing projects.

Additional working papers and publications reflecting the applied research and consulting activities described above are also contemplated. With respect to workshops or seminars, it is planned that, in addition to the two previously mentioned conferences or rural marketing activities, there would be two regional workshops and two specific country workshops on rural marketing activities. These workshops would focus on the relevant state-of-knowledge and applied research and consulting being undertaken in these regions or countries. In addition, the contractor would organize and conduct small informal workshops in AID/Washington to keep bureau personnel up-to-date on emerging issues in rural marketing activities.

Part 3. PROJECT ANALYSIS

A. Financial Plan

Project costs to be born by TA/RD, are estimated at \$923,000 with \$363,000 to be obligated in FY 77 and \$560,000 to be obligated in FY 79. The proposed budget for rural market activities by output is contained in the expenditure budget by activity purpose, Table I. The proposed budget for rural market activities by input is contained in Table II.

TABLE I Expenditure Budget by Activity Purpose

	1977-78	1978-79	1979-80	1980-81
I Applied Research and Consulting	\$ 74,500	\$ 115,000	\$ 115,000	\$ 50,000
II Consultant Network Formation and Management	16,100	13,000	10,000	5,000
III State-of-Knowledge and Issues Papers	54,800	22,000	18,000	3,000
IV Information Dissemination	32,500	34,000	45,000	34,000
V Program Direction, Supplies, etc.	57,100	61,283	62,000	33,425
	<u>\$ 235,000</u>	<u>\$ 245,283</u>	<u>\$ 250,000</u>	<u>\$ 125,425</u>
6% inflation yearly		<u>14,717</u>	<u>30,000</u>	<u>22,575</u>
		\$ 260,000	\$ 280,000	\$ 148,000

TABLE II: Expenditure Budget by Inputs

	1977-78	1978-79	1979-80	1980-81
Salaries	\$ 87,000	\$ 105,000	\$ 105,000	\$ 50,000
Indirect Costs	61,000	69,283	70,000	33,425
Travel	23,000	25,000	26,000	12,000
Allowances	1,000	6,000	6,000	3,000
Other Direct Costs	59,000	30,000	33,000	22,000
Field Record Expenses	4,000	10,000	10,000	5,000
	<u>\$ 235,000</u>	<u>\$ 245,283</u>	<u>\$ 250,000</u>	<u>\$ 125,425</u>
Inflation factor		<u>14,717</u>	<u>30,000</u>	<u>22,575</u>
		\$ 260,000	\$ 280,000	\$ 148,000

RURAL MARKET SYSTEMS

Part 4 -- IMPLEMENTATION PLANNING

There are two key ingredients in planning for implementation of this project. One involves the need for involvement of regional bureaus in project operations. The other involves the need for a flexible and collaborative approach to involving university sources of expertise and to evolving specific applied research and consulting activities. These two ingredients are related in that regional bureaus and missions should be the primary demanders of applied research and consulting and, therefore, responsible -- in collaboration with TA/RD and the universities -- for specifying allocation of effort under the project.

A. Implementing Mechanism:

The implementing mechanism for this project will be a Basic Memorandum of Agreement and supplemental Cooperative Agreements with Michigan State University. This mechanism was initially devised for the Expanded Program of Economic Analysis for Agricultural and Rural Sector Planning, an ongoing project managed by TA/AGR. The Memorandum of Agreement has already been processed between AID and MSU.

TA/RD's Cooperative Agreement with Michigan State University would be structured to allow MSU to carry out problem exploration and state-of-knowledge papers, the development and management of a consulting network, information dissemination activities, consulting services and specific applied research and analysis sub-activities agreed upon with interested missions and selected as a result of experience with other elements of the project. Funds would be obligated in the first year for operations over the first two years. A second tranche of funds would be obligated for the project in FY 1979, preferably for the remainder of project operations. MSU's contribution to the project, a feature of this mechanism, will be spelled out in the Cooperative Agreement and will follow the stipulations of the Memorandum of Agreement. Each applied research activity will be formally approved by the Rural Development Steering Committee (RDSC) composed of representatives of the regional bureaus. The allocation of funds for consulting will also be done with the approval of the RDSC.

The sequential approach to elaboration of specific applied research activities encourages collaborative participation in problem definition by the prime university cooperator, which is one of the primary objectives of the Expanded Program, and tends to elicit greater efforts than straight procurement approaches to our university relations. The Expanded Program also allows involvement in the same problem area by other universities participating in the program -- i.e., as long as the basic memorandum of agreement with that pre-selected university projects potential involvement in a particular problem, a subsequent cooperative agreement can specify the involvement. This is potentially reinforcing of the strong networking activity expected in this project.

B. Implementation Plan

The activity outlined in this document is designed for a four year implementation. A comprehensive evaluation will be done at the end of the second year. If the evaluation shows that substantial progress has been made, a follow-on work plan will be developed to add an additional two years for the activity, for a total of four years.

The activities will be carried out in two phases. The first phase would cover the first year of the contracting period and the second phase the remainder of the time. In phase one the following activities will be initiated:

- a. A roster of potential consultants on rural marketing processes will be prepared and distributed within AID.
- b. The cooperating university will assist bureaus and missions in identifying and evaluating potential consultants to fill bureau and mission requirements for rural marketing consultants.
- c. The cooperating university will develop a mailing list of several hundred individuals and organizations around the world having interests and expertise on rural marketing and desiring to participate in the worldwide rural marketing network.
- d. Each individual or organization will receive an information sheet describing the network and inviting them to participate in the state-of-knowledge work providing information and to participate in future workshops or applied research activities where relevant.

- e. An international conference on current state-of-knowledge relating to rural marketing processes will be carried out involving international marketing specialists.
- f. A worldwide state-of-knowledge paper on rural marketing processes will be prepared for publishing and distribution to AID and network participants.
- g. Two countries will be identified for in-depth research through joint discussions among the cooperating university, TAB, regional bureaus, missions and LDC officials and researchers.
- h. The cooperating university will identify relevant research topics and make plans for initiating research in at least one country.
- i. The cooperating university will work with the bureaus in reviewing mission proposals in dealing with rural marketing activities.
- j. The university cooperator will undertake at least one consulting assignment with missions in a country identified for intermediate level involvement over the course of the project.
- k. The cooperating university will undertake at least one ad hoc consulting assignment at the request of regional bureaus.

In the second phase the cooperating university will do the following:

- a. Continue activities initiated in phase one.
- b. Begin in-depth research in the first country identified for such activities.
- c. Identify research topics and begin research in the second country selected for intensive work.
- d. Publish and distribute within AID and the worldwide network a series of papers drawing on project research results and ongoing work by participants in the worldwide network.

To coordinate the activities in this project with other offices interested in rural marketing systems, TA/RD will invite regional bureaus, and other offices in TAB and PPC to participate in an inter-bureau committee for rural marketing, whose functions will be to assure that related efforts within the Agency (and by other donors) whether past, current or planned, can be quickly called to the attention of the cooperating university for that area and appropriate coordination of the external effort encouraged.

Another function of this committee will be to provide a quick response feedback mechanism for informally reviewing draft papers or strategy statements that are developed under this project, thus assuring that an "Agency" reaction gets fed back to the contractor for use in refining the product while under development.

To the extent that the Committee members do not already naturally do so, the project manager for TA/RD will also relate developments in his area to other donors efforts, trying to maximize productive linkages and information flows.

D. Project Operations

Management responsibilities for operations under the project are vested in TA/RD. The responsibilities for monitoring and managing the activities in this problem area will be assigned to a member of the TA/RD professional staff who has both interest and expertise in this field. The project manager will not only coordinate and monitor the activities of the contractor but will also be involved in the substantive concerns of the project and will work in a collegial manner with the university cooperator to determine the scope and direction of issues papers and in-depth country specific applied research. However, the RD Steering Committee, advised where appropriate by the inter-bureau committee on rural marketing, will participate fully in major decisions affecting project operations. Specifically, these decisions include, but are not limited to, the aggregate allocation of resources of the project among the geographic regions, the selection of LDCs where major applied research activities will be carried out; the evaluation of performance of universities, individual consultants, TA/RD staff (in the management of the project) and the missions (in the utilization of the project).

The scope of involvement of members of the Steering Committee will depend on their interests and needs in this critical problem area.

The managerial approach proposed for this project places upon the Steering Committee members and the regional bureaus a dual responsibility -- on the one hand, to identify and interpret the specific needs of missions within their region and seek through this project the maximum support in meeting those needs; and on the other hand, to participate in management with an agency perspective directed toward the objective of optimizing advance of the state-of-knowledge about and practice in this critical problem area.

Each of the functions under the project will require somewhat different managerial treatment.

State-of-art papers

The development of the state-of-the-art papers and other problems and issues papers will be managed primarily by TA/RD. The general subject matter and coverage will be reviewed by the inter-bureau committee. As noted above, a TA/RD professional staff member in the particular area will work with the inter-bureau committee on rural marketing in developing each document.

We anticipate a problem in assuring that state-of-the art and other papers for use by practitioners drafted by academics may not be as clear and "digestible" as desirable if left entirely to academic experts. The TA/RD professional staff member will work with the writers of the paper to assure appropriate coverage. In addition, a professional writer may be engaged to edit and, if need be, revise papers to improve their readability.

Network management

The development of networks and their utilization presents a somewhat more complex task than would appear on the surface. MSU will be responsible for identification of individuals, including established experts in the field, promising younger professionals and graduate students. The inclusion of LDC experts at all levels as well as Americans is to be emphasized.

Identification of names is a relatively simple exercise, as is collection of basic information for a roster such as experience, credentials, language capabilities, and types and locations of assignments in which the individual would be interested. All these activities will be carried out at the university essentially with only a monitoring role to be played by TA/RD.

A problem arises with the evaluation of the performance of people on the roster. Issues are raised: one, by the potential reluctance of academics to commit evaluations of a negative nature to paper; and two, the Privacy Act implications of maintenance of information of this sort by the government particularly as a basis for influencing "employment" decisions. Because the problems are not only statutory but are professional and personal in nature, we do not believe that we can define the precise mechanism by which the networking procedure can be handled at this time. This issue will be dealt with as part of the negotiation process. At the present time, however, it is expected that the university would provide an assessment of the areas of expertise for members of the network (i.e., food marketing, input distribution, social and cultural aspects of rural market systems, etc.) and an informal assessment of the suitability of particular candidates for particular consulting assignments.

Applied Research and Consulting

The most important concern of this project is to improve access of the missions to the best available consulting talent and to encourage more extensive use of applied research in program development and operation. Responsibility for assuring that the right people are made available to the mission for the right job at the right time is a responsibility which must be shared by missions, regional bureaus, the primary university cooperator and TA/RD. TA/RD proposes to approach this implementation problem in the following fashion:

1. TA/RD will be responsible for developing materials to present and explain its program addressing selected critical problems in rural development, including rural marketing, to the missions. Wherever desired, in AID/W or in regional conferences, a presentation of the program will be made by TA/RD staff. TA/RD staff will also explain the program in the course of TDY travel on other matters wherever desired and appropriate.

2. The missions, bureaus and TA/RD's project officer managing this activity will be primarily responsible for identifying field consulting needs and qualifications of needed consultants. The MSU project manager and TA/RD project officer will then work together in choosing a consultant from the network who is most qualified for the assignment.

3. With respect to operations in LDCs where a major university commitment will be made:

- a. AID and MSU will propose countries of particular interest in light of Agency needs and, on the part of MSU, its staff capabilities and knowledge about the country.
- b. Missions will be notified of such interest and will be asked for agreement in principle along with that of the regional bureau involved, the RD Steering Committee, the inter-bureau rural marketing committee, and TA/RD.
- c. Once agreement in principle is arrived at, a detailed scope of work will be developed in country between a representative of the university and the mission, subject to concurrence by the regional bureau and TA/RD.

4. As an operating principal, missions will be encouraged to enter their own self-financed agreements as a result of relationships started with MSU and other contractors with expertise in this field rather than working through this TA/RD financed project. The role of TA/RD's project in this connection is to get initial work underway, make connections, facilitate transactions and not to control the development of relationships. TA/RD should be directly involved only insofar as funding under this project is required for R&D effort and available for ancillary consulting services.

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3. COUNTRY/ENTITY TA/RD		2. DOCUMENT CODE 3		
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5. PROJECT NUMBER (7 digits) <input type="checkbox"/> 1191 <input type="checkbox"/>	6. BUREAU/OFFICE A. SYMBOL TAB	B. CODE <input type="checkbox"/> 08 <input type="checkbox"/>	7. PROJECT TITLE (Maximum 40 characters) Off Farm Employment	
8. ESTIMATED FY OF PROJECT COMPLETION FY <input type="checkbox"/> 8 <input type="checkbox"/> 1 <input type="checkbox"/>		9. ESTIMATED DATE OF OBLIGATION A. INITIAL FY <input type="checkbox"/> 7 <input type="checkbox"/> 7 B. QUARTER <input type="checkbox"/> 4 C. FINAL FY <input type="checkbox"/> 7 <input type="checkbox"/> 9 (Enter 1, 2, 3, or 4)		

10. ESTIMATED COSTS (\$000 OR EQUIVALENT \$) -						
A. FUNDING SOURCE	FIRST FY 77			LIFE OF PROJECT		
	B. FX	C. L/C	D. TOTAL	E. FX	F. L/C	G. TOTAL
AID APPROPRIATED TOTAL						
GRANT: FN	(324)	()	(324)	(709)	()	(709)
LOAN	()	()	()	()	()	()
OTHER U.S. 1.						
2.						
HOST COUNTRY						
OTHER DONOR(S)						
TOTALS	324		324	709		709

11. PROPOSED BUDGET APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY 77		H. 2ND FY 78		K. 3RD FY 79	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
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(2)									
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(4)									
TOTALS				324		-		385	

A. APPROPRIATION	N. 4TH FY		O. 5TH FY		LIFE OF PROJECT		12. IN-DEPTH EVALUATION SCHEDULED
	Q. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	
(1)					709		MM YY <input type="checkbox"/> 0 <input type="checkbox"/> 3 <input type="checkbox"/> 7 <input type="checkbox"/> 9
(2)							
(3)							
(4)							
TOTALS					709		

13. DATA CHANGE INDICATOR. WERE CHANGES MADE IN THE PID FACESHEET DATA, BLOCKS 12, 13, 14, OR 15 OR IN PRP FACESHEET DATA, BLOCK 12? IF YES, ATTACH CHANGED PID FACESHEET.

1 = NO
 2 = YES

14. ORIGINATING OFFICE CLEARANCE		15. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION	
SIGNATURE Charles S. Blankstein	<i>Charles S. Blankstein</i>	MM DD YY <input type="checkbox"/> 5 <input type="checkbox"/> 1 <input type="checkbox"/> 7 <input type="checkbox"/> 7 <input type="checkbox"/> 7	
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Project Paper Outline
Off-Farm Employment Generation

	<u>PAGE</u>
PART 1. SUMMARY AND RECOMMENDATIONS	
A. Recommendations	
B. Description of the Project	
PART 2. PROJECT BACKGROUND AND DETAILED DESCRIPTION	
A. Background and Justification	
B. Detailed Description	
1. Goal	
2. Purpose	
3. Outputs	
PART 3. PROJECT ANALYSES	
A. Financial Analysis and Plan	
PART 4. IMPLEMENTATION PLANNING	
A. Administrative Arrangements	
B. Implementation Plan	
C. Coordination	
D. Project Operations	

Part I. SUMMARY AND RECOMMENDATIONS

A. Recommendations

It is recommended that \$709,000 in grant funds be approved to finance four years of applied research and consulting activity as outlined in this Project Paper. The obligation schedule would be as follows:
FY 1977 -- \$324,000; FY 1979 -- \$385,000.

B. Summary Description of the Project

This project will assist missions and LDCs design better rural development programs by providing the following services from a network of consulting and research talent: applied research and consulting primarily in LDCs in close collaboration with missions, development of evaluated rosters of consultants interested in and qualified for a wide variety of off-farm employment assignments; state of knowledge and issues papers to provide easily accessible information on off-farm employment problem analysis and intervention techniques; and dissemination of information through publications, workshops, seminars, and conferences involving LDC and mission practitioners, researchers, analysts, consultants, and donor agencies.

The emphasis of the project will be on area specific alternatives and the conditions necessary for inducing entrepreneurial activity in rural areas to meet demands for goods and services. The employment generation effects of the project will be given particular emphasis in the analysis. A substantial field consulting component is being built into the project to facilitate current problem analysis through case studies and the expeditious exchange of information with field missions for use in project design and evaluation.

OFF FARM EMPLOYMENT

Part 2 - PROJECT BACKGROUND AND DETAILED DESCRIPTION

A. Background and Justification

Off-farm employment generation and the growth of rural non-farm enterprises are critical components of the rural development process. The number of landless laborers is growing rapidly in low income countries throughout the world; there are large numbers of other persons whose landholdings are inadequate to support themselves and their families without supplemental sources of income from non-farm employment; yet the primary urban centers of these countries are already over-crowded, with high rates of unemployment, overburdened public facilities, and growing social problems. It is now generally recognized that the industrialization policies of the past two decades emphasizing large and medium scale operations have failed to produce the anticipated rates of employment and growth. Faced with these problems, LDC officials and development planners are increasingly recognizing the need to develop strategies and policies for generating rural employment, including important efforts to develop and expand employment and income opportunities in rural non-farm activities.

There is growing evidence that small-scale rural enterprises can provide crucial employment and income opportunities for rural households, particularly for the landless and nearlandless and that such activities are an important means of reducing the relative inequality within the farm sector. For example, recent studies of farm household income in Taiwan for the period between 1962 and 1972 have concluded that non-farm sources of income allowed households with small holdings to close the income gap between themselves and large farms by allocating more of their labor to non-farm jobs, and hence, had the effect of reducing the relative inequality within the farm sector. Studies of farm household income in a number of countries suggest that non-farm employment may contribute from between 40-70% of total income for small and landless farmers. Moreover,

non-farm activities are needed to provide critical services and inputs to a growing agricultural sector, in addition to providing income that results in increased demand for agricultural production. They offer the further advantages of being parsimonious in the use of scarce capital resources, providing ways of mobilizing existing capital resources, having short gestation periods, being adaptable and flexible, and drawing upon and helping to develop local sources of entrepreneurship and management.

In spite of the growing awareness of the importance of rural non-farm enterprises in the overall process of rural development, in most developing countries very little reliable data are available relating to the nature and extent of the rural non-farm sector, the manner in which firms in this sector operate and the nature of constraints that they face; moreover, little is known about the types of policies and development assistance that are needed to maximize the contribution of these types of activities to the rural development process.

AID has supported some work in the past that relates to the rural off-farm activities and their role in rural development. For example, there have been projects dealing with small-scale industry development in a number of countries of Asia, Latin America and Africa. Although some of these projects have addressed the problems of firms in rural market terms and adjacent rural areas, most of the small-scale industry projects to date have in fact been directed at the relatively larger-scale firms in the higher-level urban centers.

These programs, focusing primarily on providing credit and technical assistance, have generally been unsuccessful in reaching the large numbers of smaller-scale rural firms with these services. Alternative measures to provide direct assistance to small-scale rural entrepreneurs have not been extensively developed nor have the various means of indirectly promoting rural non-farm employment and income opportunities been seriously considered, including such things as changes in policies dealing with taxation, import duties, administrative practices and controlled interest rates and other factors which affect the growth of the rural non-farm sector.

Furthermore, these types of small-scale industry projects have seldom been designed with rural development

objectives in mind; rather, they have been seen as measures to promote import substitution or have been focused on urban industrialization objectives. Consequently, although AID, other international organizations, LDC governments have had some tangential experience with some types of rural non-farm enterprises, the methods of maximizing the contributions of the total rural non-farm sector to the process of rural development are, at best, only vaguely understood.

There are a number of problems that need to be overcome if AID is to play a more effective role in assisting LDC governments to design and implement policies, programs, and projects in this area.

1. First, there is an important need for a better understanding of the way firms in the rural non-farm sector operate in various LDC environments, the types of constraints that they face, and the manner in which the rural non-farm sector can most effectively contribute to the process of rural development. There are conceptual, analytical, and methodological problems that need to be addressed as a first step to designing more effective policies and programs in this area.

2. The results of past experiences or current activities in generating off-farm employment are not readily available. There is need to sift through past experiences in this area to determine approaches and strategies for promoting rural non-farm activities that are most relevant to rural development. This is also necessary to identify issues that require additional research and emphasis.

3. There is a need to make the results of the analysis of past and current activities in this field available to AID practitioners and LDC officials and specialists in convenient, readily digestible form. Specifically, there is a need for better information and analytical guidelines to assist practitioners and LDC officials to design more effective policies and projects.

4. There are problems of identifying persons who are competent and have the type of experiences that LDCs and AID missions require to design, implement, and evaluate projects in this area. Particular problems arise because of the types of expertise that are

required at different stages of project design and implementation. For example, most rural enterprise projects require a broad range of expertise ranging from economic and social analysis to a consideration of specific types of managerial and technical problems.

5. Moreover, there is a need to increase the supply of qualified persons who are familiar with problems of promoting the development of rural non-farm enterprises and who have experience in specific types of LDC environments. In particular, there is a shortage of identified local talent in most LDCs that is available to contribute to programs designed to generate rural off-farm employment.

This project will address these problems and is designed to assist AID missions and LDC governments to design and implement more effective policies and projects through the following activities: (1) direct mission support activities in the form of applied research and consulting; (2) consultant network formation and management; (3) problem exploration and state of knowledge papers; and, (4) information dissemination.

Applied Research and Consulting

Formal social science research in the sense of "obtaining new knowledge" will be a relatively minor part of the activities conducted under this project. Analytical work will focus on evaluation and preparation of case studies on particularly crucial examples of success or failure in rural off-farm projects and the development of general studies for filling gaps in our knowledge. The primary focus will be on specific country problems and both research and consulting will take place in countries and in cooperation with missions which are heavily engaged (or want to be) in programs to increase off-farm employment and income opportunities in rural areas. There will also be some analysis using a cross-country approach, pulling together and comparing experience from several countries or approaching a problem generically without immediate reference to its country-specific manifestations.

Consulting will be done across a range of activities: assisting in preparation of project documents; helping in the development of research strategies which address the question of the role of off-farm employment in rural development and which will encourage a systematic

approach to the use of research in dealing with these types of rural development problems and marshal and develop research capability; and evaluating past present interventions in the area. To some extent, it will be necessary to limit intensive consulting by the principal researchers to those countries in which their research is occurring or to those which have very similar problems, but the consultant networks built up by the principal university source and information dissemination activities will enable a larger group of missions and LDCs to draw upon needed expertise. It is planned to make these resources available to regional bureaus as needed.

Consultant Network Formation and Management

It is often difficult for missions to secure services of appropriately qualified consultants on a timely basis. There is a great demand for a few well known people. But many competent individuals who are available are unknown to practitioners.

In this critical problem area, a concentrated effort will be made to identify and evaluate a number of people working in the field: well known people; equally competent but lesser known established experts; promising younger people; and LDC experts. The objective of organizing these people for work on AID programs (i.e., creating a network) will be better and more timely advisory assistance to missions and LDCs by means of evaluated rosters of consultants interested in and qualified for rural development assignments; facilitation of the development of long term consulting/research relationships between individual missions and first rate academic talent so that these investigators can become, in effect, informal extensions of mission staff; and development of the knowledge of these experts in the field through contacts with their colleagues, publications and more opportunity for field consulting.

State of the art and special studies

A great deal of description and analysis has been done on various aspects of off-farm employment generation;

in addition, AID missions around the world have attempted at various times, a number of different programs that are relevant to current efforts to generate off-farm employment and income opportunities as part of a strategy to promote rural development. Very little of this material and experience, however, has been conveniently organized and written for use by practitioners. In some cases, it may be necessary to re-interpret earlier work or to combine, augment or delineate it so as to make it more useful to current AID requirements. Current state of knowledge papers to be developed under this project will not only provide missions and LDC counterparts with easily accessible and digestible technical materials, but will also pinpoint areas which require deeper exploration, analysis or research efforts.

Information dissemination

Information dissemination activities, through publications, seminars, workshops, short training courses, and other devices, will be carried out to help AID personnel and counterparts working in rural development, as well as members of the consultant network, keep informed of useful developments in this critical problem area. This dissemination will occur while other activities are underway, rather than after they have ended, with an on-going feedback from practitioners to refine the substance and the utility of the presentation.

This problem area has been identified by missions, regional bureaus, and PPC as being a high priority for research and project planning. The applied research/consulting approach presented in this PP is believed to be an appropriate, operationally effective, flexible response to the Agency's needs in this area. This belief is based on a two-year period of analysis and discussions with AID and other practitioners and experts beginning with the Working Group on the Rural Poor and continuing through the present. The project is designed to keep the flow of project activities responsive to mission needs as they arise and to the directions indicated by early state-of-knowledge work and consulting experiences. This will require involvement in project decision making and monitoring by representatives of regional bureaus and maximum flexibility in implementation. Persons from other TAB offices and PPC with interests in this area will also be invited to participate in an inter-bureau committee on off-farm employment and rural enterprise development. These requirements make project management more complex than would be the case in a more narrowly

designed project limited to, for instance, research or consulting. However, such a design would not meet the Agency's highest priority needs in rural development. Part IV provides details on how the project will be implemented and contracted.

The core activities under this project will be carried out through a cooperative agreement between TA/RD and Michigan State University. This project will build upon the previous activities which Michigan State University has undertaken on rural off-farm activity. Under the African Rural Employment Project, which was funded in 1972 by USAID (AID/csd 3625), two MSU economists, C. Liedholm and E.J. Chuta, conducted an indepth study of small-scale industries in the rural areas of Sierra Leone. The unique array of empirical and analytical results generated by this study, which are summarized in African Rural Employment Paper No. 14, (1976) provide several insights into the nature, extent and composition of rural small-scale industries the major determinants of their scope, and the efficacy of the major policies that influence them either directly or indirectly.

This research provided evidence to refute many commonly held notions regarding the role of rural off-farm enterprises in rural development.

For example, whereas many economists have held the view that rural industries must decline as economic development occurs, the analysis of rural consumption data in Sierra Leone suggested that the income elasticity of demand for most rural small industries surveyed was quite high and thus indicated that the demand for these products should be expected to increase strongly as rural incomes increase. On the supply side, these various analyses reveal that alternative techniques of production existed within each of these small scale industries and that each of the small scale industries were more labor intensive, were more productive per unit of scarce capital and were more profitable than their large scale counterparts. Finally, with respect to policy formulation, the MSU work suggested that: (1) capital was not necessarily the overriding constraint facing Sierra Leone small scale industry, although improved access to credit was considered to be important; (2) policies designed to improve technical and managerial skills, particularly the latter, could play an important role in assisting this sector in Sierra Leone; (3) in-

direct policy, such as fiscal, monetary, and wage policy or those designed primarily to affect agriculture, large-scale industry, and the infra-structure also have an influence, often unintended on small scale firms.

Upon completion of this study in 1976, the World Bank entered into two cooperative research contracts with Michigan State University to disseminate these small-scale industry results for the Bank and to prepare a paper on the methodological aspects of conducting small-scale industry survey research. Currently, MSU is undertaking an applied research project in Bangladesh under funding provided by TA/RD to study rural industries and employment generation. Finally, Paul Strassmann, who is a member of MSU's economics department, has conducted extensive research for the ILO on the employment and income effects of rural construction activities. Thus, MSU has quite a wide array of experience in the area of rural off-farm activity.

B. Detailed Description

1. Activity Goals

The primary goal of this activity is to contribute to raising the productivity, employment and earning opportunities, and the quality of life of the rural poor by enhancing the ability of U.S.A.I.D. missions and host country institutions to identify, design, implement and evaluate programs and projects to generate rural off-farm employment and income opportunities. Goal achievements would be determined by positive changes in the off-farm strategies and policies of LDCs, successful implementation of off-farm related projects, and increases in the off-farm income and employment opportunities of the rural poor. It may not be possible to measure some of these achievements, however, until after the project has been terminated.

2. Activity Purposes

There are three main purposes of this activity:

a. To assist mission programs by providing both missions and regional bureaus with improved access to expertise on rural off-farm activities;

b. To marshal and disseminate existing knowledge on rural off-farm activities in a convenient form for practitioners; and

c. To generate new knowledge relating to rural off-farm activities in the context of program-relevant, applied research.

These activities will be designed to increase the information, analytical, and consulting resources needed for enhancing the decisions relating to the identification, design, implementation and evaluation of rural off-farm programs and projects.

By the end of the project the following measures for verifying the achievement of these purposes will include

a. A network of consultants and researchers providing rural off-farm expertise that will be in existence and functioning.

b. Specific information and findings in the form of state-of-knowledge papers, manuals, and other published materials that will have been developed on the subject of rural off-farm activities.

c. Information and materials on rural off-farm activities that will have been distributed through existing AID information channels and through newly developed mechanisms to ensure USAID mission and LDC access to these materials.

d. The developed information that will have been utilized by USAID missions and LDC project managers with support as necessary from network consultants to identify, design, implement and evaluate rural off-farm programs and projects.

3. Activity Outputs

There are four general categories of output that will be forthcoming from this activity:

a. The timely availability of consulting and applied research on critical problems relating to rural off-farm activities.

b. The development of a consulting and resource network relating to rural off-farm activities.

c. The generation of state-of-knowledge and special studies relating to rural off-farm activities.

d. The dissemination of information on rural off-farm activities to LDC, AID, and other donor practitioners and members of the consulting network. Each of these general output categories will now be specified in greater detail.

(1) Consulting and Applied Research

One of the major outputs of this activity is the provision of direct consulting services to AID missions, regional bureaus, and LDC host governments. The consulting services undertaken by the primary university contractor will focus on the general economic and social aspects of rural off-farm activities, particularly analytical techniques for the identification, design, implementation and evaluation of programs and policies to generate rural off-farm employment and income opportunities in various LDC environments. Although it is not envisaged that direct consulting services on the specific technical aspects of rural non-farm projects will be provided by the contractor, information on sources of such services will be provided through the consulting network, which is described below. To some extent, it will be necessary to concentrate on the intensive direct consulting in those two or three countries where the in-depth applied, research described below is occurring, although some direct consulting will also be provided to those countries having similar problems or issues. Smaller amounts of direct consulting will

also be provided on an ad hoc basis to other AID missions. Finally, direct consulting services will be made available to assist AID/Washington in evaluating rural off-farm projects submitted by missions and in developing programs in this area.

Directly related to the provision of direct consulting services is the generation of country-specific, applied research designed to assist the missions and host governments to improve the identification, design, implementation and evaluation of their rural off-farm programs and projects. This in-depth analysis by the prime university contractor will be carried out in two or three countries. The criteria for selecting these countries would include a high level of interest by the host government in the activity, a strong current AID commitment in the country, an active interest by the mission in rural off-farm activities, and a level of local institutional capacity that would permit the contractor to develop collaborative research arrangements with local researchers and institutions. Although the specific countries cannot be specified until further detailed consultations have been undertaken with AID regional bureaus, missions and host governments, conversations with AID regional bureaus have indicated that possible candidates might include Upper Volta, Egypt, Bangladesh, Nepal, and the Caribbean. The process for developing the country specific applied research and consulting activities is discussed in Part IV.

The specific applied research topics on rural off-farm activities to be examined in the two or three selected countries will depend on the interests and concerns of the host government, the AID missions, and local researchers. They will also reflect to some extent the priorities that will emerge from the state-of-knowledge studies, which will be conducted during the initial phase of this project. One applied research study that would appear to have high priority for initial investigation would be the development of practical guidelines for collecting information on the rural off-farm sector as a whole. Such information is needed for identifying and designing specific rural off-farm projects and programs as well as for providing the base line data needed for any subsequent monitoring and evaluating of these projects and programs. In most developing countries, little information exists on rural off-farm activities and most of the off-farm enterprises themselves do not generally keep records or books. Consequently, rural off-farm enterprise surveys must be conducted to generate from a systematic sample of enterprises not only stock data, such as the types of enterprise activity, the number of workers, and the stock of capital, but also weekly flow data, such as labor hours, material inputs

purchased, output sales, and profits. Moreover, data on social and cultural aspects of rural off-farm employment generation must also be generated as part of the project development process. Previous rural off-farm surveys conducted by MSU indicated that the required information could be collected by a university research team in approximately 9 - 12 months at a total cost of approximately \$75,000: these survey procedures, as well as the specification of the non-survey data requirements for generating basic information on the rural off-farm sector, need to be tested, codified, and then disseminated to missions and regional bureaus. Specifically, this initial applied research study, which would build on previous work that the contractors have undertaken for the World Bank, would involve pilot field testing of preliminary guidelines in one country, subsequent revision and field demonstration in one or two countries, further evaluation and refinement, and finally preparation of a manual or handbook for use by missions and regional bureaus.

A second related applied research study might focus on the development of improved informational guidelines for monitoring and evaluating ongoing rural off-farm projects and programs. Such information is needed in order to provide better and more rapid feedback to project managers and to improve the design of future projects, particularly given the experimental nature of many of the rural off-farm projects and programs. Pilot field testing, subsequent revision and field demonstration in one or two other countries would be needed to provide a small guidebook that could be used by A.I.D. missions, and LDC planners.

In addition to these activities relating to the development of informational guidelines, the applied research and consulting efforts would focus on in-depth studies centering on the analysis of alternative projects and policies designed to promote rural enterprises and off farm employment. These studies would be of value given the still rather limited experience with, and the innovational character of many of the projects designed to provide rural off-farm assistance. The determination of the appropriate costs and benefits, both direct and indirect, of an off-farm training scheme, where the cost of providing the training would have to be compared with the value of the extra earnings made by the trained worker due to the acquisition of skills presents a somewhat different array of problems, for example, then does the determination of the costs and benefits of a credit scheme for rural off-farm enterprises.

The specific projects to be evaluated and examined in detail would generally be selected from those either underway or proposed in those countries chosen for in-depth analysis. Much of the required data needed for these studies could be obtained from the previously conducted guidelines projects carried out in these countries and thus extensive amounts of additional data would need to be collected. Additional rural off-farm analyses might focus on such topics as the appropriate technology for specific types of off-farm activities, the nature and extent of the linkages between off-farm activities and agriculture, and the spatial or locational aspects of rural off-farm activities.

(2) Development of a Consulting and Research Network

Another important output of this activity is development of a consulting and resource network relating to rural off-farm activities. One of the first outputs will be the generation of an evaluated roster of potential consultants both in the United States and overseas on rural off-farm activities. Copies of this roster would be circulated to interested personnel in A.I.D. The contractor will also make recommendations on which individuals in the roster might fill mission requests. This consulting roster is the first step in creating and formalizing a network of consultants and researchers with interests and expertise relating to rural off-farm activities rather than the more specific technological aspects; however, linkages would be developed with those organizations or institutions providing more specific technical and/or industrial extension services, such as Technoserve, the Intermediate Technical Development Group (U.K.) and Georgia Institute of Technology. This network would be used to train, inform and support these consultants and researchers. To foster this network, the contractor will hold two international conferences on rural off-farm activity. In addition, the contractor will disseminate to network participants several types of information which are described below in more detail under information dissemination.

(3) Problem Exploration and State-of-Knowledge Papers

The contractor will also generate several state-of-knowledge papers relating to rural off-farm activities. The first project will be a general state-of-knowledge paper on rural off-farm activities. The purpose of this paper will be to outline the major issues relating to these activities and will highlight the areas of agreement and disagreement, the research gaps, and the major types of policy and program interventions dealing with the provision of assistance for rural off-farm activity. The major issues can be classified into three broad groups. The first group of issues relate to the nature, extent, composition, and growth of these activities. Do rural non-farm activities, for example, account for a significant percentage of income and employment in all developing countries? Are small scale manufacturing and trading activities consistently the most important component? Have rural off-farm activities generally declined as development proceeds as several observers have alleged, or have they increased? The second group of issues relate to the major determinants of the role or contribution of rural off-farm activities to the development process. On the demand side, what are the sources of the demand for these activities and do these sources exert a positive or negative influence on the growth of rural off-farm activity? Some observers, for example, have argued that farm income provides the only source of demand for these activities and that this demand will decline as rural income increases. What is the empirical evidence for this contention and what of the role of other sources of demand such as those stemming from production linkages with agriculture or from foreign or urban markets? On the supply side, there are many important issues relating to the role of rural off-farm activities in the development process. Are these activities, for example, more labor intensive than those undertaken by their large scale, urban counterparts? Moreover, do these activities generate more output per unit of scarce capital than their large scale counterparts? Indeed, if these rural off-farm activities are not only more labor intensive but also more productive per unit of capital, then both employment and output can be jointly maximized and the much discussed conflict between output and employment disappears, at least in a static sense. Furthermore,

the equity implications of rural off-farm employment programs need to be examined as well as numbers of other questions involving social and cultural aspects of rural industrialization. Finally, do these activities generally generate a positive economic profit and provide entrepreneurs with an income at least equal to that of farmers? The final group of issues center around what types of assistance has been used to foster these activities. What, for example, appear to be the major constraints on rural off-farm activity? Is it capital, skilled labor, land, a market, or some other constraint that appears to be crucial? In the light of these constraints, what instruments of policy have been or could be used to foster these rural off-farm activities and how and with what intensity or coverage have these instruments been applied? What have been the experiences of AID and other donor agencies in this area? These issues as well as others will be addressed in the general paper. A multi-disciplinary focus will be used in this endeavor and a practitioner's perspective will be reflected in the final document.

It is also envisioned that a second state-of-knowledge paper focusing on rural off-farm activities in Africa will also be prepared. Papers stemming from the applied research and consulting activities mentioned previously will also be forthcoming.

(4) Information Dissemination

The final general output of this activity relates to the dissemination of information on rural off-farm activities. The output will be primarily in the form of publications and workshops or seminars. There are several publications that are likely to be generated by this project such as: (1) a general state-of-knowledge paper on rural off-farm activity, (2) a state-of-knowledge paper relating to rural off-farm activity in Africa, (3) a manual on practical guidelines for collecting and analyzing information to aid in designing, implementing, and evaluating rural off-farm projects. Additional working papers and publications reflecting the applied research and consulting activities described above are also contemplated. With respect to workshops or seminars, it is planned that in addition to the two previously mentioned conferences on rural off-farm activities, there would be four regional workshops on rural non-farm activities. These workshops would focus on the relevant state-of-knowledge and applied research and consulting being undertaken in these regions. In addition, the contractor would organize and conduct small informal workshops in AID/Washington to keep bureau personnel up-to-date on emerging issues in rural off-farm activities.

Part 3. PROJECT ANALYSIS

A. Financial Plan

Project costs, to be born by TA/RD, are estimated at \$709,000 with \$324,000 to be obligated in FY 77 and \$385,000 to be obligated in FY 79. These costs are shown by the following tables. Table 1 is the proposed budget for rural off-farm activities by inputs while table 2 is the proposed budget for off-farm activities by output.

TABLE I
PROPOSED BUDGET FOR RURAL OFF-FARM ACTIVITIES BY INPUTS (EXPENDITURES)

I. SALARY AND WAGES (Includes 66% overhead + 15% fringes)	<u>FY</u> 1977-1978	<u>MM</u> Dollars	<u>FY</u> 1979	<u>MM</u> Dollars	<u>FY</u> 1980	<u>MM</u> Dollars	<u>FY</u> 1981
Senior Staff	9 \$ 50,906	9	\$ 50,906	9	\$ 50,906	5	\$ 22,442
Post Doctoral and/or Visiting Professor	12 \$ 39,820	12	\$ 39,820	12	\$ 39,820	6	\$ 17,555
Graduate Research Assistants (1/2 time)	12 \$ 13,500	18	\$ 20,250	24	\$ 27,000	11	\$ 11,903
Secretary	6 \$ 6,900	6	\$ 6,900	6	\$ 6,900	3	\$ 3,042
Executive Administrative Officer	4 \$ 6,200	4	\$ 6,200	4	\$ 6,200	2	\$ 2,733
Computer Programmer	1 \$ 1,000	1	\$ 2,000	2	\$ 4,000	1	\$ 1,763
Subtotal	\$118,326		\$126,076		\$134,826		\$ 59,438
II. <u>OTHER PROJECT COSTS</u>							
Travel	\$ 9,600		\$ 13,600		\$ 13,600		\$ 5,996
Other Direct Costs	\$ 46,000		\$ 45,700		\$ 52,900		\$ 29,481
Subtotal	\$ 56,500		\$ 59,300		\$ 66,500		\$ 35,477
GRAND TOTAL	\$174,826		\$185,376		\$201,326		\$ 94,915
+ 6% Inflation			\$196,498		\$225,485		\$112,000
							<u>\$709,809</u>

Table II: Proposed Budget for OFF FARM ACTIVITIES BY OUTPUT (EXPENDITURES)

<u>Output Category</u>	<u>FY 77-78</u>	<u>FY 79</u>	<u>FY 80</u>	<u>FY 81</u>
I Consulting and Applied Research*	\$ 68,661	\$ 77,215	\$ 92,939	\$ 34,022
II Network Formation*	8,484	5,656	5,656	5,656
III State of Knowledge*	25,767	16,793	---	---
IV Information Dissemination*	5,656	5,656	13,474	14,397
V Project Direction, Administration, Secretary, Other Direct Costs	<u>66,257</u>	<u>80,056</u>	<u>89,257</u>	<u>40,840</u>
Grand Total	\$ 174,826	\$ 185,376	\$ 201,326	\$ 94,915
+6% inflation annually		196,498	225,485	112,000
		PROJECT GRAND TOTAL: \$708,809		

* Reflects allocation of only senior faculty salaries, post doc salaries, and research assistants salaries.

OFF FARM EMPLOYMENT

Part 4 - IMPLEMENTATION PLANNING

There are two key ingredients in planning for implementation of this project. One involves the need for involvement of regional bureaus in project operations. The other involves the need for a flexible and collaborative approach to involving university sources of expertise and to evolving specific applied research and consulting activities. These two ingredients are related in that regional bureaus and missions should be the primary demanders of applied research and consulting and, therefore, responsible -- in collaboration with TA/RD and the universities -- for specifying allocation of effort under the project.

A. Implementing Mechanism:

The implementing mechanism for this project will be a Basic Memorandum of Agreement and supplemental Cooperative Agreements with Michigan State University. This mechanism was initially devised for the Expanded Program of Economic Analysis for Agricultural and Rural Sector Planning, an ongoing project managed by TA/AGR. The Memorandum of Agreement has already been processed between AID and MSU.

TA/RD's Cooperative Agreement with Michigan State University would be structured to allow MSU to carry out problem exploration and state-of-knowledge papers, the development and management of a consulting network, information dissemination activities, consulting services and specific applied research and analysis sub-activities agreed upon with interested missions and selected as a result of experience with other elements of the project. Funds would be obligated in the first year for operations over the first two years. A second tranche of funds would be obligated for the project in FY 1979, preferably for the remainder of project operations. MSU's contribution to the project, a feature of this mechanism, will be spelled out in the Cooperative Agreement and will follow the stipulations of the Memorandum of Agreement. Each applied research activity will be formally approved by the Rural Development Steering Committee (RDSC) composed of representatives of the regional bureaus, the allocation of funds for consulting will also be done with the approval of the RDSC.

The sequential approach to elaboration of specific applied research activities encourages collaborative participation in problem definition by the prime university cooperator, which is one of the primary objectives of the Expanded Program, and tends to elicit greater efforts than straight procurement approaches to our university relations. The Expanded Program also allows involvement in the same problem area by other universities participating in the program -- i.e., as long as the basic Memorandum of Agreement with that pre-selected university projects potential involvement in a particular problem, a subsequent cooperative agreement can specify the involvement. This is potentially reinforcing of the strong networking activity expected in this project.

B. Implementation Plan

The activities outlined in this document are initially planned to cover a 4-year period. During the first year of the contracting period, it is envisaged that the following activities, the details of which will be specified in the plan of work developed during the first three months, will be undertaken:

- a. a roster of consultants on rural off-farm activities will be prepared and distributed with AID.
- b. the cooperating university will assist bureaus and missions fill requests for short term consulting assistance.
- c. an international conference on rural off-farm activities will be organized and conducted.
- d. two countries will be identified for in-depth consulting and applied research through joint discussions among the cooperating university, regional bureaus, IAB, missions, and host government and institutions.
- e. the cooperating university will initiate in one of these countries consulting and applied research relating, with some likelihood, to the development of practical guidelines for collecting and analyzing information on the rural off-farm sector.

- f. a general state of knowledge paper on rural off-farm activities will be prepared and distributed within AID.
- g. the cooperating university will work with bureaus in reviewing mission proposals relating to rural off-farm activities.

During the remaining three years, the university will undertake the following additional activities (see Table II for details):

- a. commence in-depth consulting and applied research in a second country relating, with some likelihood, to sector guideline information.
- b. undertake in-depth consulting and applied research on other issues, including the development and testing of practical guidelines for managing and evaluating rural off-farm information projects as well as indepth analysis of alternative projects and policies.
- c. prepare and carry out one international conference relating to rural off-farm activities.
- d. prepare and carry out 2-4 regional workshops on rural off-farm activities.
- e. prepare a state-of-knowledge paper relating to rural off-farm activities in Africa.
- f. organize small informal workshops in AID/Washington to keep bureau personnel up-to-date on the current issues and developments relating to rural off-farm activities.

The details of the proposed phasing of these activities by month are summarized in the following table:

TABLE 2: Proposed Phasing of Activities by Month of Project Life

<u>Activity</u>	<u>Initiate</u>	<u>Complete</u>
<u>Year I</u>		
1. Roster of consultants	1	3
2. Fill short term consulting requests	1	43
3. General State of Knowledge Paper	2	9
4. Backstop bureaus	2	43
5. Contact Missions on intensive consulting/research	4	6
6. Hold international conference	7	7
7. Initiate intensive consulting/research in country I (Sector Guidelines)	8	24
<u>Subsequent Years</u>		
8. Initiate intensive consulting/research in country II (Sector Guidelines)	12	24
9. State of Knowledge paper Africa	12	18
10. Hold Regional Workshop I	16	16
11. Initial Project Evaluation	18	19
12. Initiate additional research/consulting in country I (Project Guidelines)	18	16
13. Initiate additional research/consulting in country II (Information Guidelines for Project Management and Evaluation)	24	36
14. Hold Regional Workshop II	30	30
14a. Interim Evaluation	31	32
15. Hold Regional Workshop III	32	32

TABLE 2: Proposed Phasing of Activities by Month of Project Life

<u>Activity</u>	<u>Initiate</u>	<u>Complete</u>
<u>Subsequent Years</u>		
16. Initiate additional consulting/research in country I and II	36	47
17. Hold Regional Workshop IV	42	42
18. Hold international conference	47	47
19. Final Project Evaluation	47	48

3. Coordination as an Integral Part of Project Creation

It is clear that other AID offices are involved either currently in activities that are related to some of the activities to be undertaken in this project or else have been involved in related activities in the past. Therefore, it is essential that effective liaison and coordination be programmed into the effort. Clearly we want to avoid duplication of effort and unproductive overlaps with related undertakings. However, this does not mean that to avoid overlap or some marginal duplication, we should forego fresh iterations of a critical problem area or a new approach to the subject when that could produce either a knowledge breakthrough or at least a fresh articulation of existing knowledge in more usable form for development practitioners. Therefore, it is essential that continuous coordination be built into the project to maximize its usefulness and cost effectiveness for the Agency.

Therefore, it should be understood that:

To coordinate the activities in this project with other offices interested in rural off-farm activities, TA/RD will invite regional bureaus, and other offices in TAB and PPC to participate in an inter-bureau committee for rural off-farm employment, whose functions will be to assure that related efforts within the Agency (and by other donors) whether past, current or planned, can be quickly called to the attention of the cooperating university for that area and appropriate coordination of the external effort encouraged.

Another function of this committee will be to provide a quick response feedback mechanism for informally reviewing draft papers or strategy statements that are developed under this project, thus assuring that an "Agency" reaction gets fed back to the contractor for use in refining the product while under development.

To the extent that the Committee members do not already naturally do so, the project manager for TA/RD will also relate developments in his area to other donors efforts, trying to maximize productive linkages and information flows.

D. Project Operations

Management responsibilities for operations under the project are vested in TA/RD. The responsibilities for monitoring and managing the activities in this problem area will be assigned to a member of the TA/RD professional staff who has both interest and expertise in this field. The project manager will not only coordinate and monitor the activities of the cooperating university but will also be involved in the substantive concerns of the project and will work in a collegial manner with the university cooperator to determine the scope and direction of issues papers and in-depth country specific applied research. However, the RD Steering Committee, advised where appropriate by the inter-bureau committee on off-farm employment, will participate fully in major decisions affecting project operations. Specifically, these decisions include, but are not limited to, the aggregate allocation of resources of the project among the geographic regions, the selection of LDCs where major applied research activities will be carried out; the evaluation of performance of universities, individual consultants, TA/RD staff (in the management of the project) and the missions (in the utilization of the project).

The scope of involvement of members of the Steering Committee will depend on their interests and needs in this critical problem area.

The managerial approach proposed for this project places upon the Steering Committee members and the regional bureaus a dual responsibility -- on the one hand, to identify and interpret the specific needs of missions within their region and seek through this project the maximum support in meeting those needs; and on the other hand, to participate in management with an agency perspective directed toward the objective of optimizing advance of the state-of-knowledge about and practice in this critical problem area.

Each of the functions under the project will require somewhat different managerial treatment.

State-of-art papers

The development of the state-of-the-art papers and other problems and issues papers will be managed primarily by TA/RD. The general subject matter and coverage will be reviewed by the inter-bureau committee.

We anticipate a problem in assuring that state-of-the-art and other papers for use by practitioners drafted by academics may not be as clear and "digestible" as desirable if left entirely to academic experts. The TA/RD professional staff member will work with the writers of the paper to assure appropriate coverage. In addition, a professional writer may be engaged to edit and, if need be, revise papers to improve their readability.

Network management

The development of networks and their utilization presents a somewhat more complex task than would appear on the surface. MSU will be responsible for identification of individuals, including established experts in the field, promising younger professionals and graduate students. The inclusion of LDC experts at all levels as well as Americans is to be emphasized.

Identification of names is a relatively simple exercise, as is collection of basic information for a roster such as experience, credentials, language capabilities, and types and locations of assignments in which the individual would be interested. All these activities will be carried out at the university essentially with only a monitoring role to be played by TA/RD.

A problem arises with the evaluation of the performance of people on the roster. Issues are raised: one, by the potential reluctance of academics to commit evaluations of a negative nature to paper; and two, the Privacy Act implications of maintenance of information of this sort by the government particularly as a basis for influencing "employment" decisions. Because the problems are not only statutory but are professional and personal in nature, we do not believe that we can define the precise mechanism by which the networking procedure can be handled at this time. This issue will be dealt with as part of the

negotiation process. At the present time, however, it is expected that the university would provide an assessment of the areas of expertise for members of the network (i.e., general economic aspects of rural industry development, credit, appropriate technology, etc.) and an informal assessment of the suitability of particular candidates for particular consulting assignments.

Applied Research and Consulting

The most important concern of this project is to improve access of the missions to the best available consulting talent and to encourage more extensive use of applied research in program development and operation. Responsibility for assuring that the right people are made available to the mission for the right job at the right time is a responsibility which must be shared by missions, regional bureaus, the primary university cooperator and TA/RD. TA/RD proposes to approach this implementation problem in the following fashion:

1. TA/RD will be responsible for developing materials to present and explain its program addressing selected critical problems in rural development, including off-farm employment, to the missions. Wherever desired, in AID/W or in regional conferences, a presentation of the program will be made by TA/RD staff. TA/RD staff will also explain the program in the course of TDY travel on other matters wherever desired and appropriate.

2. The missions, bureaus and TA/RD's project officer managing this activity will be primarily responsible for identifying field consulting needs and qualifications of needed consultants. The MSU project manager and TA/RD project officer will then work together in choosing a consultant from the network who is most qualified for the assignment.

3. With respect to operations in LDCs where a major university commitment will be made:

- a. AID and MSU will propose countries of particular interest in light of Agency needs and, on the part of MSU, its staff capabilities and knowledge about the country.
- b. missions will be notified of such interest and will be asked for agreement in principle along with that of the regional bureau involved,

the inter-bureau off-farm employment committee,
and TA/RD.

- c. Once agreement in principle is arrived at, a detailed scope of work will be developed in country between a representative of the university and the mission, subject to concurrence by the regional bureau and TA/RD.

4. As an operating principle, missions will be encouraged to enter their own self-financed agreements as a result of relationships started with MSU and other university cooperators with expertise in this field rather than working through this TA/RD financed project. The role of TA/RD's project in this connection is to get initial work underway, make connections, facilitate transactions and not to control the development of relationships. TA/RD should be directly involved only insofar as funding under this project is required for R&D effort and available for ancillary consulting services.

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT PAPER FACESHEET		1. TRANSACTION CODE <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE	PP
3. COUNTRY/ENTITY TA/RD		2. DOCUMENT CODE 3	
5. PROJECT NUMBER (7 digits) <input type="text" value="1190"/>		4. DOCUMENT REVISION NUMBER Original <input type="checkbox"/>	
6. BUREAU/OFFICE A. SYMBOL TAB		7. PROJECT TITLE (Maximum 40 characters) <input type="text" value="Alternative Rural Development Strategies"/>	
8. ESTIMATED FY OF PROJECT COMPLETION FY <input type="text" value="8"/> <input type="text" value="1"/>		9. ESTIMATED DATE OF OBLIGATION A. INITIAL FY <input type="text" value="77"/> B. QUARTER <input type="text" value="4"/> C. FINAL FY <input type="text" value="79"/> (Enter 1, 2, 3, or 4)	

10. ESTIMATED COSTS (\$000 OR EQUIVALENT \$) -						
A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L C	D. TOTAL	E. FX	F. L/C	G. TOTAL
AID APPROPRIATED TOTAL						
(GRANT) FN	469		469	802		802
(LOAN)						
OTHER U.S. 1.						
2.						
HOST COUNTRY						
OTHER DONOR(S)						
TOTALS	469		469	802		802

11. PROPOSED BUDGET APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>77</u>		H. 2ND FY <u>78</u>		K. 3RD FY <u>79</u>	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	200J	200		469				333	
(2)									
(3)									
(4)									
TOTALS				469				333	

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		12. IN-DEPTH EVALUATION SCHEDULED
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	
(1)					802		MM YY <input type="text" value="1"/> <input type="text" value="3"/> <input type="text" value="7"/> <input type="text" value="9"/>
(2)							
(3)							
(4)							
TOTALS						802	

13. DATA CHANGE INDICATOR: WERE CHANGES MADE IN THE PID FACESHEET DATA, BLOCKS 12, 13, 14, OR 15 OR IN PRP FACESHEET DATA, BLOCK 12? IF YES, ATTACH CHANGED PID FACESHEET.

1 = NO
 2 = YES

14. ORIGINATING OFFICE CLEARANCE					15. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION				
SIGNATURE Charles S. Blankstein <i>Charles S. Blankstein</i>					DATE SIGNED MM DD YY <input type="text" value="0"/> <input type="text" value="5"/> <input type="text" value="1"/> <input type="text" value="7"/> <input type="text" value="7"/> <input type="text" value="7"/>				
TITLE Director, TA/RD					MM DD YY <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>				

Project Paper Outline
Alternative Rural Development Strategies

	<u>PAGE</u>
PART 1. SUMMARY AND RECOMMENDATIONS	
A. Recommendations	
B. Description of the Project	
PART 2. PROJECT BACKGROUND AND DETAILED DESCRIPTION	
A. Background and Justification	
B. Detailed Description	
1. Goal	
2. Purpose	
3. Outputs	
4. Inputs	
PART 3. PROJECT ANALYSIS	
A. Financial Analysis and Plan	
PART 4. IMPLEMENTATION PLANNING	
A. Administrative Mechanism	
B. Implementation Plan	
C. Coordination	
D. Project Operations	

Part 1. SUMMARY AND RECOMMENDATIONS

A. Recommendations

It is recommended that \$802,000 in grant funds be approved to finance four years of consulting and applied research activity as outlined in this Project Paper. The obligation schedule would be as follows: FY 1977 -- \$469,000; FY 1979 -- \$333,000, subject to the availability of funds to start the project in FY 77.

B. Summary Description of the Project

This project will assist Bureaus, Missions and LDCs design better national and regional rural development strategies by providing the following services from a cooperating university: state of arts papers, consulting and applied research in LDC s in close cooperation with missions and LDC researchers, development of a roster of expert consultants available for work in this area and dissemination of information through publications, workshops and seminars involving mission and LDC practitioners and members of the network with emphasis on promoting a South-South dialogues in order to speed up the transfer of information about alternative rural development strategies and programs.

This project will focus on alternative rural development strategies and country experiences, and the linkages between national strategies and specific rural development programs and projects. A critical world-wide appraisal of the literature on rural development in historical perspective will produce intermediate level generalization about the linkages between national rural development strategies and project strategies, and the consequences of pursuing alternative rural development strategies over time. Field consultancy, applied research and special studies and dissemination activities are included in the project in order to assist missions and LDCs develop improved rural development strategies and programs.

Part 2. PROJECT BACKGROUND AND DETAILED DESCRIPTION

A. Background and Justification

There is growing agreement that development of the rural sector is the most pressing problem of LDCs in the 1970's and 1980's. The development strategies of the 1950's and 1960's which focused on capital formation and industrialization, rural to urban migration, urbanization, and import substitution were unable to come to grips with excess industrial capacity, urban congestion, rural under-employment, food shortages, widespread poverty and inequalities in income, wealth and social opportunities. Beginning in the late 1960's and early 1970's many LDCs, donors and development economists shifted to a new development emphasis with priority focused on meeting basic needs of urban and rural people, rural mobilization, development of appropriate technology, international and national agriculture research systems, etc. Rural development is central to the "new development economics." LDC officials now recognize that improved strategies and policies to promote rural development include questions of resource allocation, institutional restructuring, and a careful appraisal in advance of the equity implications of proposed technological innovations.

Although rural development is essentially a local process, it is obvious that national and regional rural development strategies and policies can exert a profound influence on the degree of success and replication of specific rural development projects. However, there are surprisingly few research results which lead to intermediate level generalizations about the process of rural development, and about the consequences of pursuing alternative rural development strategies over time.

Most research on rural development has centered on appraisals of the results of rural development projects (Puebla, Comilla) and research on definitional and conceptual issues such as the distinctions between community development, rural development and integrated rural development. The lack of research results leading to intermediate generalizations about the rural development process and the sequence of rural development activities is reflected in the lack of suitable material for rural development training programs. Also when research is completed there is relatively little transmission of knowledge about rural development experiences among Asian - African - Near East and Latin American countries. This dissemination gap is partially a function of language problems, North - South university social science networks, and partially because regional bureaus of donor organization foster North - South movements of money and technical assistance rather than a South-South exchange of practical experiences in implementing alternative rural development strategies, programs and projects over time.

There are a number of problems which must be faced if AID and U.S. universities are to play a more effective role in assisting LDC governments develop and implement improved national and regional rural development strategies.

1. First, there is an urgent need for a systematic assessment of the historical experience of alternative rural development strategies and programs, including the community development programs in Asia, Africa and the Carribean, mainland China's experience of the past 20 years, and the contemporary experience of Tanzania, Peru, Mexico, etc. Specific attention should be directed to drawing "intermediate level generalizations" about the rural development process from a careful analysis of major rural development programs in historical perspective with emphasis on an analysis of the interplay of ideology, institutions and technology. These intermediate level generalizations should produce typologies which will help in anticipating the outcome of technological interventions and rural development programs within various social and institutional environments.
2. There is a need to disseminate the results of this analysis of past and current rural development experiences in English, French, Spanish and Arabic in order that it can be quickly and easily understood by rural development practitioners.
3. There is a need to develop a network of talent which can respond to mission requests for specific consulting assignments and requests for continuous consulting on major problem in a country over a period of 3-4 years.
4. There is a need to generate new knowledge about the rural development process through special studies, applied research with emphasis on the links between alternative rural development strategies and specific rural development projects.
5. There is a need to expand the supply and intellectual capacity of both AID and LDC government officers on the broad issues of designing and implementing improved rural development strategies which will benefit the rural poor. Special short-term training programs, workshops, seminars are needed with emphasis on a South-South exchange of information on rural development strategies and experiences.
6. There is a need to articulate and defend a long term perspective (20-30 years) of the process of rural development, alternative strategies, the consequences of pursuing alternative rural development strategies over time and the implication of this long term perspective AID's rural development programs and projects.

This project will address these problems and it is directed toward assisting mission and LDC governments to design and implement more effective national and regional rural development strategies through the following activities: (1) direct mission support activities in the form of applied research and consulting; (2) organization and operation of a network of consultants; (3) state of knowledge papers and case studies; and (4) information dissemination.

Consulting will be performed across a range of activities in AID/W and in the field: assisting in reviewing project documents, working

with LDC governments and missions on alternative rural development strategies and the consequences of these strategies over time, evaluating major rural development experiences and participation in seminars and workshops in the U.S. and overseas. The consulting activities of MSU faculty will be channeled to countries and regions concentrating on major national and regional rural development programs such as Bangladesh, Egypt, Jamaica and the Sahel. However, the network of consultants built up by the cooperating university will be available to provide mission access to a range of non-MSU consultants.

The applied research activities of this project are not designed to pursue academic or disciplinary goals. Formal social science research will be a relatively minor part of the activities conducted under this project. The applied research will focus on particularly important national rural development experiments in historical and contemporary perspective. These case studies will be conducted on countries with major rural development experiments under way (e.g. mainland China) and in countries where missions are heavily engaged in or planning to be engaged in significant national rural development programs (e.g., Egypt's village development program, Jamaica, Bangladesh and the Sahel. Also, the countries chosen for in-depth applied research and consulting will be partially a function of the comparative advantage of MSU's faculty, opportunities to collaborate with LDC analysts on these studies and the priorities of missions, bureaus, TA/RD Steering Committee and the inter-bureau committee on rural development strategies.

Organization and Operation of a Network of Consultants

It is obvious that bureaus and missions have great difficulty in securing the services of appropriately qualified consultants on a timely basis. There is a great demand for "academic superstars" while many unknown scholars — especially LDC scholars — are under-employed. A concentrated effort will be made to assemble a roster of qualified consultants: the well-known experts as well as the up and coming junior experts, LDC scholars and U.S. minorities. The objective of the network is to increase the supply of talent through improved information and to evaluate the talent in order to offer more rapid and effective assistance to missions. The network can provide a "switch-board function by uncovering latent talent in the U.S. and the LDCs and in channeling this talent into regions and countries where major rural development programs are being planned — e.g., Egypt, Jamaica, Sahel, Southern Africa, Bangladesh and Nicaragua. Another objective of the network is to provide first rate academic talent to missions on a long-term basis in order that these individuals can provide continuity and become in practice "informal" members of missions staffs.

MSU will draw on its experience over the 1971-76 period in developing and implementing an African Rural Employment Network which was financed by AID csd/3625 and grants from the Population Council and the Rockefeller Foundation.

State of the arts papers and case studies

The lack of operationally useful literature on rural development beyond case studies of rural development projects points to the need for an intensive and comparative survey of rural development literature in historical and contemporary perspective. A team of three MSU scholars - Akhter Hameed Khan, Benedict Stavis, Carl K. Eicher - and visiting professors from the Caribbean and Latin American will prepare a major state of the arts paper which focuses on alternative theories and models of rural development in Asia, Africa, Latin American and the Near East and case studies of significant rural development projects within these regions. The aim of the general state of the arts paper is to produce a balanced assessment of what is known about alternative theories and models of rural development, major agreements and disagreements and intermediate level generalization about the rural development process. The assessment will also examine how various income groups have been affected by alternative rural development strategies over time.

In addition to the general state of the arts paper a series of case studies of major contemporary rural development experiments - Kenya, Tanzania, mainland China, - and innovative rural development projects will be forthcoming over the life of the project. These "think" pieces will be reviewed at various regional seminars and translated when appropriate into French, Spanish and Arabic. These papers will be aimed at rural development practitioners but they can also serve as valuable materials for training programs and universities courses on rural development. For example, the Bunda College of Agriculture of the University of Malawi has overhauled its undergraduate curriculum and has made rural development the organizing theme of its entire curriculum. However, the College has experienced difficulty in securing instructional material about rural development in Latin America, Asia and Africa, and the Near East.

Special studies of one to three months duration will be carried out by members of the network in response to requests from missions and LDC governments for immediate answers to pressing problems. The initiative for these studies will come from the field. MSU scholars and the network of consultants should be able to undertake a relative large number of special studies over the lifetime of this project. Part or all of the funding for these special studies should come from mission funds.

Information Dissemination

Information dissemination activities through publications, seminars, workshops, training courses and other devices will be carried out to help AID personnel and counterparts, and members of the network keep informed of the progress and output of this critical problem area. The dissemination will be started during the first year and carried out through the lifetime of the project. The information system will draw heavily upon the experience of MSUs African Rural Employment Network which sponsored numerous seminars and distributed over 40,000 African Rural Employment publication in French and English without charge to government officers, AID personnel and scholars in over 70 countries.

Publications in this problem area will be translated into French, Spanish and Arabic as deemed necessary in order to speed up the flow of information about alternative rural development strategies and programs.

Regional and international workshops and seminars will be used to provide a flow of ideas from the network to mission and LDC practitioners and to provide continuous feedback among the network of consultants and field personnel. After the state of the arts paper on alternative rural development strategies is completed approximately nine months after project initiation, it is planned to convene three or four regional seminars to discuss the draft paper and then to revise and publish it in English, French, Spanish and Arabic. These workshops will also provide an opportunity to link the network of consultants with key personnel in the field in order to discuss the need for special studies, applied research and consulting assignments. Finally, the contractor will convene small training seminars in Washington, D.C. which will be modeled after the highly successful two week International Rural Development Seminars which were held at MSU in March 1975 and June of 1976. One of the major outputs of these dissemination activities will be the upgrading of AID & LDC rural development planners and practitioners.

Part 3. PROJECT ANALYSIS

A. Financial Plan

Project costs, to be born by AID, are estimated at \$802,000 preferably to be obligated in two tranches of \$469,000 and \$333,000. Project operations will extend over four fiscal years. Table 1 presents the proposed budget for alternative rural development strategies by inputs.

B. Detailed Description

1. Activity Goals

The major goal of this activity is to enhance the capacity of national and regional rural development strategies, policies and programs to promote rural development objectives. Goal achievement will be determined by positive changes in rural development strategies and policies of LDC's, successful implementation of rural development strategies consistent with improving income and employment opportunities of the rural poor. It may not be possible to measure some of these achievements until after the project has been completed.

2. Activity Purposes

- a) to assist TA/RD, regional bureaus, missions and LDC institutions with improved understanding of the rural development process with emphasis on the design, implementation and evaluation of alternative rural development strategies.
- b) to assemble and disseminate historical and contemporary knowledge on alternative development strategies in convenient and useful form for planners and rural development practitioners.
- c) to generate new knowledge through special studies and applied research in countries with major national rural development experiments in progress.
- d) to develop and operate a network of specialists with expertise on the design, implementation and evaluation of alternative rural development strategies in LDC's.

These activities will be designed to increase the flow of information and the analytical and consulting resources needed for decision-making on the design and implementation of improved national and regional rural development strategies.

By the end of the project the following measures for verifying the achievement of these purposes will include:

- a) a network of consultants and researchers will be functioning and providing expertise on rural development strategies.

b) specific information and findings in the form of state-of-the-arts papers, reports, special studies and other published materials on major national rural development experiences will have been developed and translated when appropriate into French, Spanish and Arabic.

c) information and material on alternative rural development strategies will have been distributed through existing AID information channels and through newly developed mechanisms to ensure rapid and easy access by AID missions and LDC professionals.

d) the disseminated information will have been utilized by AID missions and LDC planners and managers with support as necessary from network consultants to develop, implement and evaluate major national rural development strategies.

3. Activity Outputs

There are four general categories of output that will be forthcoming from this activity:

a) the development of a consulting and resource network relating to alternative rural development strategies.

b) consulting and applied research on the critical problem of developing improved understanding of alternative national and regional rural development strategies and the consequences of pursuing these strategies over time.

c) the generation of state-of-knowledge papers, and case studies of major rural development experiments in progress and special short-term studies requested by missions and LDC governments.

d) the timely dissemination of information on alternative rural development strategies to LDC, AID, and other donor practitioners and members of the consulting network.

Each of these general output categories will now be specified in greater detail.

Organization and Operation of a Consulting and Resource Network

The organization and operation of a consulting and resource network relating to alternative rural development strategies is one output of this project. One of the first steps will be preparation of a roster of qualified consultants on rural development strategies, including the well-known experts, up and coming junior experts and LDC scholars. Copies of the roster will be circulated to interested bureaus and missions. The cooperating university will make recommendations about matching consultants with mission requests and assist TA/RD in recruiting consultants for specific assignments. The roster of consultants is the first step in creating and formalizing a network of consultants and researchers who are interested in the comparative analysis of alternative

rural development strategies and the practical problems of designing and implementing improved national and regional rural development strategies. The network will help train, inform and support the consultants who are members of the network. In addition the network will establish liaison with rural development research programs in LDCs and high income countries which are examining the broad questions of designing, implementing and evaluating national and regional rural development strategies. The cooperating university will use a variety of techniques to disseminate information to members of the network. This is spelled out in detail under the discussion of dissemination of information.

Consulting and Applied Research

The provision of direct consulting services to AID missions, regional bureaus and LDC host governments is one of the major outputs of this project. Since rural development is essentially a local process it is imperative that consultants working on national and regional rural development strategy problems be closely linked with members of other consultant networks and applied researchers who are generating micro data on rural development projects, including the relationships between national policies and project implementation, benefit incidence and replication.

The consulting services provided by the cooperating university and by the network will come from a variety of disciplines. They will be chosen for their analytical capacity, field experience, and competence in providing balanced assessments of alternative theories and models of rural development. Since it has proven easier to plan than to implement rural development programs, attention will be directed by consultants to closing the gap between the formation of national and regional rural development strategies and the implementation of these strategies.

MSU consultants will focus on three or four countries which have or plan to launch major national rural development programs. MSU consultants will then work with missions, LDC governments and local researchers on a number of specific assignments over time. In addition to in-depth consulting in three or four countries the network can provide consultants for specific short term assignments and can probably assist 6-10 missions per year on relatively short term (2-4 week) assignments. Consultants in the network can assist in performing a limited amount of project documentation and review for missions and bureaus. Consultants can be effective on short term assignments. They can draw on experiences from other countries and regions, they can serve as catalysts, they can help clarify options and they can perform an indirect training function by helping to upgrade mission staffs and the intellectual capital of host governments and local scholars. However, consultants can be unproductive unless their assignments are carefully thought out in advance and local people are prepared to join in and work together. This requires careful planning and considerable skill at the mission level in ensuring that the right consultant is selected and that the groundwork is prepared with local people.

Also, there can be a rapid depletion of the intellectual capital of consultants if they become bogged down in routine tasks and do not have enough time to generate new knowledge. The tasks of applied research and consulting can be mutually reinforcing. Applied research can contribute to improved policy analysis and can enhance the productivity of the network consultant in subsequent consulting assignments.

Applied research will be a relatively small but important activity in this project. Applied research will be focused on three or four countries with planned rural development programs such as Egypt, Jamaica, Bangladesh, and possibly one Sahelian country. The applied research will be developed in close cooperation with LDC researchers and missions. The scope of work for these applied research studies will be developed during the second year.

State of Arts Papers and Case Studies

A series of state of the arts papers, case studies and "think pieces" on rural development strategies will be another output of this project. The failure of research on the results of specific rural development projects and research and writing on concepts and definitions of rural development to produce any significant breakthrough of knowledge about the rural development process has led many scholars and rural development practitioners to adopt an inward looking stance and to emphasize the uniqueness of each country and the inability to transfer knowledge about rural development from one country to another. However, an examination of the rural sector in the U.S., Kenya, China or Tanzania would reveal that there are many common problems: developing incentives, developing bio-chemical and mechanical technology relative to changing factor endowments and prices, institutional restructuring, improving the administration of rural programs, and the development of improved information systems. The state of the arts papers and case studies of major rural development experiments in a number of countries will focus on what is unique and what is generalizable about these experiments for possible transfer and application in other countries. The state of the arts papers will strive to point out what intermediate level generalization can be advanced about the rural development process through an intensive search of the literature with emphasis on the interplay of ideologies, institutions and technology.

The state of the arts papers and case studies are not designed to answer today's rural development problems. They will shed light on some pressing problems, provide insights and provide a long term perspective (20-30 years) on what are the key issues in designing improved rural development strategies to serve the rural poor. This vision is essential in an agency such as AID which has to channel most of its money and talent into relatively short term (3-5 years) rural development programs and projects. The state of the arts papers should assist in creating a climate of debate about the rural development process, about designing alternative rural development strategies and about the likely consequences of pursuing particular strategies under alternative combinations of technology, institutions, ideologies and social environments.

Mainland China's experiences in rural development are now being carefully studied by LDC's (e.g., Developments Paths in Africa and China, 1976) and by donor organizations. Therefore, over the lifetime of this project one member of MSU's staff will produce a series of papers on China's rural development experiences and the implication for LDCs and donors.

Information Dissemination

The final general output of this paper will be information dissemination on alternative rural development strategies. The output will be primarily in the form of publications, seminars, and workshops. The aim of this sub-activity is to disseminate a balanced assessment of the historical evolution of alternative rural development strategies, the implementation of alternative strategies, the linkages between national, regional and project strategies and the consequences of alternative strategies. The general state of the arts papers will be prepared, discussed at regional seminars and then revised and distributed in English, French, Spanish and Arabic. In addition case studies of major country rural development experiences will be prepared and circulated with emphasis on the lessons that can be learned for other countries. The output of this sub-activity should help upgrade the quality of rural development practitioners in the field by exposing them to new ideas, by challenging them and by encouraging them to think beyond their own project and country. Another output of the dissemination activities will be to upgrade and develop a competent network of consultants who are equipped to work on a range of practical problems. The publications produced in this project should be useful as training materials for local, regional and international rural development training programs, for LDC universities and for AID seminars and training courses. The dissemination activities will focus on a South-South flow of ideas and experiences by encouraging LDC consultants in the network to share their experiences with rural development planners, researchers and practitioners in other countries. A good example of this cross-fertilization is taking place in Jamaica, a MSU Professor of Economics - Carl Liedholm and Dr. E. J. Chuta, a Nigerian, are helping social scientists at the University of West Indies design and carry out a survey of small scale industry in Jamaica as a forerunner to donor assistance for the expansion of small scale industry. Dr. Chuta conducted research on small scale industry in Sierra Leone, as part of MSU/University of Sierra Leone research financed by AID/csd/3625. Moreover, the World Bank has requested Drs. Chuta and Liedholm to go to one or two Asian or African countries during the summer of 1977 in order to test a proposed methodology for "minimum" data collection for the design and implementation of small scale industry projects. The Liedholm/Chuta example illustrates how the South-South dialogue can be carried out through applied research, consulting, and dissemination activities. Dr. Chuta will return to Nigeria in December to assume a teaching and research position at the University of Nigeria. He will draw on his Sierra Leone research experience in carrying out research on small scale industry in Nigeria. In December of 1977 Dr. Chuta will discuss the results of his research at an ECA conference in Addis Ababa. These examples illustrate how the network will develop LDC capacity to work on LDC problems.

Part 4. IMPLEMENTATION PLANNING

There are two key ingredients in planning for implementation of this project. One involves the need for the participation of regional bureaus in project operations. The other involves the need for a flexible and collaborative approach to tapping university sources of expertise and to assigning priorities to applied research and consulting activities. These two ingredients are related in that regional bureaus and missions should be the primary demanders of applied research and consulting and, therefore, responsible -- in collaboration with TA/RD and the universities -- for specifying allocation of effort under the project.

As an operating principle, the role of TA/RD in this project is to get initial work underway, make connections, facilitate transactions and not to control the development of relationships between missions and cooperating universities. TA/RD should be directly involved only insofar as funding under this project is required for applied research and special studies of an exploratory nature and ancillary consulting services. Missions will be encouraged to enter into their own self-financed agreements for consulting, special studies and applied research with MSU and other contractors with expertise in this field.

A. Implementing Mechanism

The implementing mechanism for this project will be a Basic Memorandum of Agreement and supplemental Cooperative Agreements with Michigan State University. This mechanism was devised for the Expanded Program of Economic Analysis for Agriculture and Rural Sector Planning, an ongoing project managed by TA/AGR. The memorandum of agreement has already been processed between AID and MSU.

TA/RD's Cooperative Agreement with Michigan State University would be structured to allow MSU to carry out state of the arts papers, the development and management of a consulting network, information dissemination activities and specific applied research and special studies agreed upon with interested missions. Funds would be obligated in the first year for operations over the first two years. A second tranche of funds would be obligated for the project two years later preferably for the remainder of the project. MSU's contribution to the project will be spelled out in the Cooperative Agreement and will follow the stipulations of the memorandum of agreement.

The sequential approach to the elaboration of specific applied research activities encourages collaborative participation in problem definition by the prime university contractor which is one of the primary objectives of the Expanded Program, and will assist in eliciting greater efforts than straight procurement approaches to university relations. The Expanded Program also allows involvement in the same problem area by other universities participating in the program -- i.e., as long as the basic memorandum of agreement with that pre-selected university projects potential involvement in a particular problem, a subsequent cooperative agreement can specify the involvement. This potentially reinforces the networking activities in this project.

B. Implementation Plan

The activity outlined in this document is designed for a four year period of implementation. A comprehensive evaluation will be done at the end of the second year and the results used to adjust and elaborate a detailed work plan for the remaining two years.

The activities will be carried out in two phases. The first phase would cover the first year of the contracting period and the second phase the remainder of the time. In phase one the following activities will be initiated:

a) the cooperating university will work with bureaus in reviewing mission proposals for major rural development programs in a few selected countries.

b) a roster of consultants on rural development strategies will be prepared and distributed within AID. Special efforts will be made to identify U.S. minority consultants.

c) the cooperating university will assist bureaus and missions in filling requests for short term consulting assignments.

d) a comparative state of the arts paper will be prepared on community development and rural development in historical perspective with emphasis on drawing intermediate level generalizations about alternative rural development strategies.

e) three or four regional conferences will be carried out to discuss the state of the arts paper with emphasis on promoting a South-South dialogue among mission and LDC personnel on alternative rural development strategies. These conferences will also help link the network of consultants with mission and LDC personnel.

f) three or four countries will be selected for in-depth consulting and special studies on national and regional rural development strategies. These countries will be selected through joint discussions with the cooperating university, the inter-bureau committee, missions, and LDC's government and research institutions.

g) maintain informal liaison with principle researchers and analysts in major donor organizations on changing approaches of donors to national and regional rural development problems.

h) undertake systematic collection of documents, data banks and publications on rural development with emphasis on major national approaches to rural development such as community development, mainland China's experience, Tanzania's experiments, etc. Both historical and contemporary publications will be acquired, cataloged and made available to scholars from other universities and other countries.

During the remaining three years the cooperating university will undertake the following activities:

- a) continue in-depth consulting activities in three or four countries and in a limited number of other countries.
- b) initiate special studies and applied research in three or four countries on major national and regional rural development experiments.
- c) prepare a series of case studies on critical assessments of major rural development experiments and translate selected papers in French, Spanish and Arabic in order to further the dissemination of knowledge and a South-South dialogue on these issues.
- d) organize and carry out a series of small workshops on alternative rural development strategies and experiments for AID/Washington personnel in order to strengthen the Agency's intellectual capital on rural development.
- e) maintain close liaison with other donors (i.e., World Bank, IDB, FAO) on strategies and approaches to rural development.
- f) develop and expand the network of consultants who can assist Bureaus and Missions.
- g) reproduce and circulate papers, reports and studies on rural development to bureaus, missions and LDC institutions in order to speed up the flow and exchange of information on contemporary rural development experiments. This will be part of a cross-project exchange of information system developed by TA/RD.
- h) convene a number of conferences near the end of the contract to disseminate the final results of this activity to relevant planners, policy makers, practitioners and researchers in LDC's and AID missions and bureaus.

C. Coordination as an integral part of project design and implementation

Since other AID offices are involved either currently in activities that are related to some of the activities to be undertaken in this project or else have been involved in related activities in the past, it is essential that continuous coordination be built into the project to maximize its usefulness and cost effectiveness for the Agency.

Therefore, it should be understood that:

To coordinate the activities in this project with other offices interested in alternative rural development strategies TA/RD will invite regional bureaus and other offices in TAB and PPC to participate in an Inter-Bureau Committee on Rural Development Strategies. The main function of this inter-bureau committee is to achieve broad

Agency participation in the design and implementation of this activity. Another function of the inter-bureau committee will be to provide a feedback mechanism to ensure that an "Agency" reaction gets fed back to the contractor on a systematic basis. The project manager for TA/RD will also facilitate linkages and information flows among donors, and contractors working with AID on related activities.

D. Project Operations

Management responsibilities for operations under the project are vested in TA/RD. The responsibilities for monitoring and managing the activities in this problem area will be assigned to a member of the TA/RD professional staff. The project manager will monitor the project and work in a collegial manner on the major substantive issues with the cooperating university. However, the RD Steering Committee, will participate in major decisions affecting project operations. Specifically, these decisions include, but are not limited to, the allocation of project resources among the geographic regions, the selection of LDCs where in depth consulting and applied research activities will be carried out and the evaluation of performance of the contractor.

The scope of involvement of members of the RD Steering Committee will depend on their interests and needs in this critical problem area.

The managerial approach proposed for this project places upon the inter-bureau committee members and the regional bureaus a dual responsibility -- on the one hand, to identify and interpret the specific needs of missions within their region and seek through this project the maximum support in meeting those needs; and on the other hand to take an agency-wide perspective in order to maximize effectiveness of this project to the entire Agency.

State of art papers. The development of the state-of-the-art papers and other problem identification and issues papers will be managed primarily by TA/RD. However, the general subject matter and coverage of the papers will be reviewed with the inter-bureau committee. The TA/RD staff member monitoring this project will work with the authors of the paper to ensure that they are easily understood by rural development practitioners.

Network Management. The development of networks and their utilization presents a somewhat more complex task than would appear on the surface. MSU will be responsible for identification of individuals, including established experts in the field, promising younger professionals and graduate students. The inclusion of LDC experts at all levels as well as Americans is to be emphasized.

Identification of names is a relatively simple exercise, as is collection of basis information for a roster such as experience, credentials language capabilities, and types and locations of assignments in which the individual would be interested. All these activities will be carried out at the university essentially with only a monitoring role to be played by TA/RD.

A problem arises with the evaluation of the performance of people on the roster. Issues are raised: one, by the potential reluctance of academics to commit evaluations of a negative nature to paper; and two, the Privacy Act implications of maintenance of information of this sort by the government particularly as a basis for influencing "employment" decisions. Because the problems are not only statutory but are professional and personal in nature, we do not believe that we can define the precise mechanism by which the networking procedure can be handled at this time. This issue will be dealt with as part of the negotiation process. At the present time, however, it is expected that the cooperating university would provide an assessment of the areas of expertise for members of the network and an informal assessment of the suitability of particular candidates for particular consulting assignments.

Applied Research and Consulting. The most important concern of this project is to improve access of the missions to the best available consulting talent and to encourage more extensive use of applied research and special studies in program development and operation. Responsibility for assuring that the right people are made available to the mission for the right job at the right time is a responsibility which must be shared by missions, regional bureaus, the primary university cooperator and TA/RD. TA/RD proposes to approach this implementation problem as follows:

1. TA/RD will be responsible for explaining this program to the missions. Wherever desired, in AID/W or in regional conferences, a presentation of the program will be made by TA/RD staff. TA/RD staff will also explain the program in the course of TDY travel on other matters wherever desired and appropriate.

2. The missions, bureaus and TA/RD's project officer managing this activity will be primarily responsible for identifying field consulting needs and qualifications of needed consultants. The MSU project manager and TA/RD project officer will then work together in choosing a consultant from the Network who is most qualified for the assignment.

3. MSU will undertake special studies and applied research in LDCs according to the following guidelines:

- a) The TA/RD and MSU jointly agree that the country is pursuing or planning to pursue a major national rural development experiment which is of interest to the Agency, the Bureau and to MSU.

- b) Missions express an interest in having MSU carry out applied research and special studies.

- c) MSU faculty members have the interest, language capacity and experience to carry out such studies.

d) Once agreement in principle is arrived at with the Committee, MSU and TA/RD, a detailed scope of work will be developed between the cooperating university and the mission, subject to concurrence with the regional bureau and TA/RD.

4. Mainland China's experience in rural development will be carefully assessed by a MSU authority on China over the lifetime of this project.

TABLE I

BUDGET FOR ALTERNATIVE RURAL DEVELOPMENT STRATEGIES PROJECT BY INPUT

	FY 1978*	FY 1979	FY 1980	FY 1981
	MM Dollars	MM Dollars	MM Dollars	MM Dollars
I. Salaries				
A. Professor	9	15	13	3
B. Assoc. Professor	14	12	12	12
C. Research Assistants (1/2 time)	12	12	12	-
D. Secretary	12	12	12	12
E. Administrative Officer	2	2	3	2
Subtotal	<u>80,000</u>	<u>94,000</u>	<u>88,000</u>	<u>46,000</u>
II. Overhead (66% on all on-campus salaries)	52,800	62,040	58,080	30,360
III. Fringe Benefits (15% on all salaries except research assistant)	10,200	12,300	11,400	6,900
IV. Travel and other direct costs	61,000	58,000	52,000	21,370
Subtotal	\$204,000	\$226,340	\$209,480	\$104,630
+Inflation 6% year		\$239,920	\$234,617	\$123,463
GRAND TOTAL				<u>\$802,000</u>

*14 months

UNITED STATES GOVERNMENT

Memorandum

TO : AA/TA, Mr. Curtis Farrar

DATE: May 17, 1977

FROM : TA/RD, Mr. Charles Blankstein *CB*

SUBJECT: Rural Development Integration Processes (PID)

The attached document entitled "Integration of Income Producing and Social Services Activities" is included in the TA/RD ABS as a "pre-PID" for purposes of notice rather than formal request for R&DC approval. Our work on this project to date has produced a wide range of ideas and approaches. We believe a very useful project will emerge from further work. But neither we in TA/RD nor the many people within and outside who we feel should be involved have had the time to focus the attention required to present this PID now.

The "pre-PID" therefore focuses on identifying the problem to be addressed and the process of planning and strategizing which we believe will produce a PID later in this fiscal year for project authorization in FY 1978.

The problem we intend to address is the need for systematic understanding of modes and methods of combining components of rural development in projects. It is generally agreed that "single function" interventions in the rural system (e.g., only credit or only extension) rarely work well because of the interrelated nature of constraints faced by the rural population. Fully integrated projects addressing all relevant constraints have been tried, and, given sufficient investment, may work. But replicability and tendency to compete rather than work through local government are common concerns.

As a practical matter, AID practitioners and LDC officials normally address rural development through partial integrations addressing several functions but not all in a given rural system.

The purpose of the proposed project is to examine experience from an operational perspective to gain insights into relationships between different kinds of combinations of rural development activities in project settings.



5010-110

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Some questions which might be addressed include the following:

Under what conditions should health, nutrition and family planning projects be combined?

When is it desirable to initiate only income production projects?

What circumstances call for only social service efforts?

Are there certain combinations of social service and production projects which reinforce each other? Which complement each other? Which are mutually counterproductive?

Are there sequences or phases in the implementation of multi-function projects that produce optimal development outcomes? Under what circumstances should social and production services be integrated administratively? Are there limits to the number or kinds of services that should be combined administratively?

Are there minimal additions that should be made to projects of any type (e.g., regularly drill wells as part of an agriculture or education project or include education components in all projects)?

Under what conditions do development projects induce demand for social services activities? In what ways can some minimal level of social services (health, home economics, adult education, etc) stimulate output from small farms? In what ways specifically do health, nutrition and education conditions constrain output increase?

Does a successful off-farm employment or labor intensive rural public works scheme require a co-requisite social service component as a pre-condition? or should supporting social services be introduced after the production unit is functioning?

Does imposing specific taxes on local populations to generate capital for local development projects affect the level of participation/support of clients?

Does raising the capital, labor, building materials and other resources used in combined projects from the client population have any bearing on the degree and timeliness with which projects become self-sustaining?

What types of administrative arrangements have been used to coordinate productive and social services? Under what circumstances should authority be delegated to local decisionmaker? to client groups?

How does one design a multiservice project so as to maximize front and back linkages — that is, connections both with key institutions and processes at the local operational level and with regional, national, and international institutions and processes? Are there primary or pre-requisite ties to "externalities" without which success of particular local efforts is unlikely?

In general, what combinations of activities have worked? Why? At what cost?

The problem we have faced in developing this project is one of defining approach, theme and boundaries. The issue is not one of relevance and utility but rather the richness and variety of viewpoint. Given the variety of thought within TA/RD we can only conclude that ideas and viewpoints Agency-wide will be much broader. This suggests that the utility of the project will be very much affected by the breadth of participation in project development which we can achieve.

As a consequence, we have decided not to select arbitrarily one or a few approaches generated internally for PID presentation. Rather we propose to initiate a process of planning and strategizing intended to cast the net broadly.

The "pre-PID" makes certain assumptions on project funding levels which we think are reasonable for a number of alternative approaches to the problem. Obviously, they are speculative. Staff time allocation to the activity we believe to be reasonable on a number of alternative assumptions.

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT DOCUMENT ACTION FORM	1. TRANSACTION CODE <div style="border: 1px solid black; display: inline-block; padding: 2px;">A</div> A = ADD C = CHANGE D = DELETE	PDAF <hr/> 2. DOCUMENT CODE <div style="text-align: center; font-size: 1.2em;">4</div>
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3. COUNTRY/ENTITY <u>Technical Assistance Bureau</u>	4. DOCUMENT REVISION NUMBER <u>Original</u>
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5. PROJECT NUMBER (7 digits) <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	6. BUREAU/OFFICE A. SYMBOL: <u>TAB</u> B. CODE: <div style="border: 1px solid black; display: inline-block; padding: 2px;">06</div>	7. PROJECT TITLE (Maximum 40 characters) <div style="border: 1px solid black; padding: 2px;">Integration Processes</div>
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8. RELATED DOCUMENT CODE <div style="border: 1px solid black; display: inline-block; padding: 2px;">1</div> 1 - PID 2 - PRP	9. PROJECT DOCUMENT ACTION (ENTER COMMENT FOR * ITEMS IN BLOCK 13)	ACTION TAKEN <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> A - APPROVED D - DISAPPROVED* S - SUSPENDED* CA - CONDITIONALLY APPROVED* DD - DECISION DEFERRED*
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10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)							
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
FN	200	290		310		685	
TOTALS				310		685	

11. PROPOSED PLANNING RESOURCES <div style="border: 1px solid black; display: inline-block; width: 20px; height: 20px;"></div> 1 - APPROVED 2 - DISAPPROVED 3 - APPROVED AS MODIFIED	12. PROPOSED NEXT DOCUMENT A. <div style="border: 1px solid black; display: inline-block; padding: 2px;">3</div> 2 - PRP 3 - PP B. PROPOSED NEXT DOCUMENT DATE <div style="border: 1px solid black; display: inline-block; padding: 2px;">08/7/77</div>
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13. COMMENTS (Maximum 240 characters) <div style="border: 1px solid black; height: 40px;"></div>

14. ACTION REFERENCE	A. AIRGRAMS: <u>AIDTOA</u> TELEGRAMS: <u>STATE</u> MEMORANDA:	B. ACTION REFERENCE DATE <div style="border: 1px solid black; display: inline-block; padding: 2px;">MM DD YY</div>
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5. CLEARANCES	TYPED NAME	TITLE	DATE	INITIALS
A.	Jerry Weaver, TA/RD	Project Manager	5/17/77	<i>JW</i>
B.	Harlan H. Hobgood, TA/RD	Deputy Director	5/17/77	<i>HH</i>
C.	Allan Randlov, TA/PPU	Analyst		
D.	Robert Simpson, TA/PPU	Director		
E.				
F.				

16. RESPONSIBLE BUREAU SIGNATURE	17. ACTION DATE <div style="border: 1px solid black; display: inline-block; padding: 2px;">MM DD YY</div>
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AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT IDENTIFICATION DOCUMENT FACESHEET
 TO BE COMPLETED BY ORIGINATING OFFICE

1. TRANSACTION CODE
 A A = ADD
 C C = CHANGE
 D D = DELETE

PID
 2. DOCUMENT CODE 1

3. COUNTRY/ENTITY
 Technical Assistance Bureau

4. DOCUMENT REVISION NUMBER
 Original

5. PROJECT NUMBER (7 DIGITS)

6. BUREAU/OFFICE
 A. SYMBOL TAB B. CODE 06

7. PROJECT TITLE (MAXIMUM 40 CHARACTERS)
 Integration Processes

8. PROPOSED NEXT DOCUMENT
 A. 2 = PRP 3 = PP
 B. DATE MM YY 08 77

9. ESTIMATED FY OF AUTHORIZATION/OBLIGATION
 a. INITIAL FY 78 b. FINAL FY 80

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

FUNDING SOURCE		4455e8f
A. AID APPROPRIATED		685
B. OTHER U.S.	1.	
	2.	
C. HOST COUNTRY		
D. OTHER DONOR(S)		
TOTAL		685

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

A. APPRO- PRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. FIRST FY 78		LIFE OF PROJECT	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	H. GRANT	I. LOAN
(1) FN	200	290		310		685	
(2)							
(3)							
(4)							
TOTAL				310		685	

12. SECONDARY TECHNICAL CODES (maximum six codes of three positions each)
 200 | 251 | 190 | 100

13. SPECIAL CONCERNS CODES (MAXIMUM SIX CODES OF FOUR POSITIONS EACH)
 BRW | EQTY | PART

14. SECONDARY PURPOSE CODE

15. PROJECT GOAL (MAXIMUM 240 CHARACTERS)
 Improve design and implementation of AID mission-supported programs directed toward increased productivity, income and quality of life of the rural poor.

16. PROJECT PURPOSE (MAXIMUM 480 CHARACTERS)
 To assist practitioners in the design of rural development projects. To increase our knowledge about the linkages among key rural functions through program relevant applied research activities. To provide access for missions/bureaus to knowledgeable consultants.

17. PLANNING RESOURCE REQUIREMENTS (staff/funds)

18. ORIGINATING OFFICE CLEARANCE

Signature: Charles S. Blankstein

Title: Director, TA/RD

Date Signed: MM DD YY 05 16 77

19. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION
 MM DD YY 05 16 77

Integration of Income-producing and Social Services

I. Summary of the Problem and Proposed Response

Experience suggests that the problems of the rural poor form an intractable web of obstacles which snares and confounds assistance efforts. Single function interventions such as road-building and potable water, although productive of certain benefits, ultimately fail to relieve the plight of the rural majorities because single function projects do not deal with the interconnected system of poverty. Attacking this system along with a comprehensive multidimension "integrated rural development" project produces marked changes in the lot of the rural poor; but the costs of doing "everything" is prohibitive. Where pilot projects of this type are tried, it is impossible to replicate them on a broader scale. Thus both single and all-function interventions are ineffective and may actually compound the difficulties of the LDCs by inequitable allocation of scarce resources.

Typically the problem confronting designers and managers of rural development efforts is to devise a partial set of intervention functions -- some mix of income production and social services -- that is cost effective and practical within the constraints of time, money, materials and other resources available. Many partial sets or combined programs are being tried in the LDCs. Many units within AID have addressed the problem of how to combine functions in rural development projects.

Yet the problem of replicability remains: a set of functions which produces self-sustained development in one environment may not be successful in another. Or to put the issue as a question: under what circumstances is a particular combination of production and social services likely to produce optimal change?

Interventions which have been tried should be analyzed in order to determine which are mutually reinforcing of desired goals, which are complementary, and which are mutually exclusive to determine if there are combinations we have missed or ways of analyzing which lead us to new approaches and to partial approaches.

The end product of this process will be synthesis of methods for designing rural development projects. This work will be presented to practitioners to assist them in selecting combinations of activities and implementation strategies that seem likely to stimulate productive and social services projects in a particular situation.

II. Response to the Problem

The central focus of the present project is locating mixes of rural development project components. This information will be generated by asking people who are knowledgeable about rural development, by reading descriptive evaluations of projects, by conducting a series of observations in the field of projects underway, and by thinking about what we have seen, read and heard.

The goal of the project is the systematic presentation in practical and useful alternative methods for the design of rural projects which under specific circumstances will produce self-sustaining development.

To this end we shall seek the widest available range of opinion, methodology, experience and point of view. The research agenda for this project will be inclusive and eclectic; it may produce results that are unexpected, unlikely and "counter-intuitive". The sole criterion for future consideration of a project, model or opinion is: does it seem logical and is it economical -- that is, is there anything we think we know about rural development that says the point of consideration will not work? The received wisdom about rural development may very well hide or distort approaches going to search; we may not find anything. Progress to date, however, suggests that we will turn up ways of designing projects that will be useful to practitioners.

III. Project Description

Seeking alternative methods of designing projects requires an extensive review of printed source materials. This has been initiated as part of the PID phase. In addition, we will obtain the views of academic experts of rural development priorities and problems and to obtain their suggestions about approaches to project design that can be incorporated in the Project Paper and subsequent research. Attempts are being made to locate LDC personnel and institutions who can assist in the identification of useful case study projects and in the discussion of alternative approaches to project design.

A set of formal papers or think pieces will be commissioned with FY 1977 small activity funds which shall be the foundation for much of the project's subsequent work. These papers will address the utility and limitations of alternative design strategies and shall draw on both the experience of the writer and the secondary sources available. In this aspect, attention is being given to forming a broad pool of multidisciplinary, multiexperienced personnel from both academic and donor institutions.

In completing this project, several deliverables or subprojects are anticipated:

— a state-of-the-art review shall be conducted of secondary sources to ascertain the leading thinking about the relationships between production and service;

— the present project shall collaborate closely with others in the Critical Problems package to identify individuals possessing demonstrated expertise and interest in serving as consultants to missions on questions of rural development. This roster will be added to those under preparation in other projects to strengthen TA/RD's response capability when asked for assistance by missions/bureaus;

— in consultation with bureau/mission personnel, a representative sample of integrated projects (12-15) shall be selected and studied through a common frame of reference in order to isolate the interaction of key variables affecting the projects' ability to generate improvements among the target population. Projects shall be selected on the basis of size, stage of development of the host population, stage of the project's development, and similar situational factors;

— on the basis of these case studies plus the extensive review of the literature, a project report shall be prepared that offers operational suggestions on the phasing or sequencing of project components. These findings shall be made available to mission personnel and shall be disseminated to the broader audience of interested observers of rural development through seminars, scholarly publications, and similar vehicles.

IV. Contractual Mechanism

At this point it is difficult to determine the precise contractual mechanism which will be chosen. Suffice to say that there exists a number of universities as well as consultant and research firms qualified to bid for the project. LDC institutions and personnel may participate either as subcontractors or as staff members, particularly in the execution of the case studies.

V. Financial Requirements and Plans

The estimated cost of this project is approximately \$685,000. Funding will take place in FY 1978 (\$310,000) and FY 1980 (\$375,000). Expenditure over four years (FY 1978 through FY 1981). A tentative budget for the project includes:

VI. Development of the Project

Development of the Project Paper will be done with heavy involvement of other Agency personnel. We shall establish an inter-bureau committee to advise on appropriate methods and approaches to project design. Interviews will be held with specialists in both technical and operational aspects of rural development and efforts will be made to secure the points of view of mission personnel during TDY in Washington. Interviews will be conducted with representatives of other donor organizations and with academicians. Several "think pieces" addressing problems of development project design from various perspectives will be obtained. While tapping Agency and other talent, we will attempt to strike a judicious balance of broad participation but not excessive demands on Agency personnel.

The Project Paper will combine the results of the interviews and think pieces to establish a frame of reference for the development of the project.

In moving toward defining alternative methods for designing rural development projects, we shall seek suggestions for approaches from a wide range of development practitioners, academics, and TAB, bureau and other Agency personnel. By casting an especially broad net, we are hopeful of capturing non-traditional as well as orthodox thinking about rural development. The pace and resource demands inherent in this process of discovery and analysis is difficult to judge; hence much of what follows should be read as a first approximation. It may eventuate that we discover less of practical value to project managers than the tone of the next sections implies. At the very least, however, the discussion, analysis, case studies and reflection incorporated in the project will establish a benchmark for future effort, a set of issues or questions about rural development to which concentration effort may be directed, and will locate experts and potential consultants with points of view the utility of which may not have been recognized previously.

<u>Detailed Development of Research Design</u>	\$60,000
<u>Case Studies</u>	
10 Country's 12-15 Cases Travel & Per Diem for 3 researchers \$3,000 each X 12	36,000
In-country survey costs	10,000
Salaries \$25,000 X 3	75,000
Overhead @ 100%	75,000
	<u>196,000</u>
Contingency	4,000
	<u>\$200,000</u>
<u>Consulting to Missions</u>	
Travel and Per Diem	30,000
12 M Months at \$3,000/mo	35,000
Overhead @ 100%	35,000
	<u>\$100,000</u>
<u>Program Directive, etc.</u>	
- Senior Research Director 1/3 time 3 years at \$40,000/yr = Overhead	40,000 40,000
- Research contracts for LDC institutions at \$10,000 each	40,000
- Misc. small contracts	20,000
	<u>\$140,000</u>
<u>Data Analysis, etc.</u>	
Data Analysis	25,000
Preparation and dissemination of reports	40,000
Seminars (3 regional conferences: 1-Africa; 1-LA; 1-Asia. LDC and Mission participants to discuss and evaluate reports)	60,000
	<u>\$125,000</u>
<u>Literature Review</u>	\$ 60,000
	<u><u>\$685,000</u></u>

RURAL DEVELOPMENT

NON-CLUSTER ACTIVITIES

Program Development and Support

With the exception of a small activity to develop a roster of social scientists, this cluster consists of one project: the RSSA with the US Department of Agriculture. The problem which this cluster addresses is the Agency's need for (a) flexibility and breadth in providing short-term expert advise to help it define and analyze rural development problems and prepare appropriate project level responses beyond that which can be done with a limited direct-hire and IPA staff and (b) stability to TA/RD's program through provision of supplementary personnel if for any reason the direct hire staff requirements of the office are not met.

TA/RD will use the RSSA to supplement and deepen core staff resources so that it can more effectively carry out the office strategy with its heavily mission and regional bureau oriented program. As described in the project table, the RSSA will provide a wide range of services to TA/RD, including consultants for field missions on critical rural development problems, in-house work on problem exploration and project development, and the provision of personnel to work directly with TA/RD staff on project evaluation and monitoring.

tasks over sustained periods of time. In the latter category, it will be noted from the D tables that in FY 1977 we have three RSSA employees working alongside our direct-hire personnel. When it is possible to have the RSSA people physically located with our regular staff, we have found their contribution to be excellent. The economic anthropologist is playing a key role in project development in three problem areas. The program and research assistants have relieved more senior staff for more substantive duties. Flexible access to occasional expertise has been invaluable in project development.

Through the RSSA, the USDA/ERS will be an important part of the networks to be set up in each of the critical problem areas of TA/RD's program. Moreover, USDA is prepared to assist in both design and maintenance of the several networks and consultant rosters to be developed under our projects.

The direct-hire staffing projections for TA/RD are predicated on the RSSA continuing to be as useful as it has been thus far. Should its usefulness diminish, through, for instance, the impossibility of housing RSSA employees physically with TA/RD employees, we will have to rethink our office staffing projections, our

program levels, or the office's operating strategy. An appropriate point at which to do this would be next year at this time, after we have had experience with implementing the critical problems program. Our major constraint in using the RSSA even more fully has been the problem of adequate physical space available to TA/RD.

Funding

We are requesting \$175,000 in the base FY 1979 program for the USDA RSSA. This corresponds to a funding proportion of 10% of the base. If the RSSA works out as we hope it will, this must be considered minimal funding. We would prefer to double the amount of FY 1979 funding for the RSSA at the outset but have had to program the additional \$175,000 into priority 3.

Staffing

Management of the RSSA is the responsibility of the Deputy Director, backed up by the Associate Director. Because it is intertwined with most of the other project activities of the office, most of the other staff members are also involved with this project, usually for planning and strategizing purposes, as will be seen in the D

tables. In FY 1978 10.5% of total staff time, or 288 staff days, will be spent on planning and managing RSSA activities. In the FY 1979 base program this projection claims about the same amount of management effort at 10.4% or 292 man days. No significant additional DH staff time is needed to manage the fully funded RSSA projected in Priority 5.

Quarter Related
Priority BASE
Date 4-14-77

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

Office JA/RD
Cluster No. 5099
Activity Coordinator Hobgood

	Page in ABS	Des. Obl. Cat. Stat. RDA	Revised OVB	FY 1977		FY 1978		FY 1979		Project Revised Service or New Apprv'd PP Due Thru Mo/Yr
				Work Days Total	Unliquidated 9/30/77	C. P. Redist	Work Days Total	Work Days Total	Reqst'd Amount	
<u>A. Planning and Strategizing</u>										
1. <u>Project</u>		E	2 37	13			11	11		
1096 USDA RSSA										
2. <u>Non-Project</u>										
a. <u>TAB Activities</u>										
1) <u>Small Activities</u>										
a) Social Science Consultant Roster			1 24	8			4	2		
2) Other (Coordination)				12			10	10		
b. <u>Non-TAB Activities - attend meetings, seminars</u>				3			3	3		
TOTAL				36			28	26		
<u>B. Regional Bureau & Mission Service</u>										
1. <u>Project</u>										
1096 USDA RSSA		E	2 37				5	5		
2. <u>Non-Project/Non-TAB Activities</u>										
a. Assistance to missions/bureaus				119			143	144		
b. Attend meetings, seminars, etc.				5			5	5		
TOTAL				124			153	154		

(*) 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 Cluster
 (\$ in thousands)

Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru Mo/Yr
				Revised OYB	Work Days Total	Unliquidated 9/30/77	C.P. Redist	Work Days Total	Reqst'd Amount	Work Days Total	Reqst'd Amount		
	E	2	37	532	35	384		20		175	20		10/78
C. Project Development & Management													
1. Project													
1096 USDA RSSA													
2. Non-Project													
a. TAB Activities													
1) Small Activities													
a) Social Science Consultant Roster													
2) Other (coordination)													
b. Non-TAB Activities													
1) Assistance to missions/bureaus													
TOTAL													
D. Contact with International Organizations - attend meetings, seminars, etc.													
TOTAL													

(*) 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/RD
 Cluster No. 5099 ITIS Program Development & Support
 Activity Coordinator Hebood

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

Cluster Related
 Priority _____
 Date _____

	FY 1979 Priority 1			FY 1979 Priority 2			FY 1979 Priority 3			FY 1979 Priority 4			FY 1979 Priority 5		
	Reqst'd Amount	Work Days	Consul- Tants	Reqst'd Amount	Work Days	Consul- Tants	Reqst'd Amount	Work Days	Consul- Tants	Reqst'd Amount	Work Days	Consul- Tants	Reqst'd Amount	Work Days	Consul- Tants
A. <u>Planning and Strategizing</u>															
1. <u>Project</u>															
<u>1096 USDA RSSA</u>															
2. <u>Non-Project</u>															
a. <u>TAB Activities</u>															
1) <u>Small Activities</u>															
a) <u>Social Science Consultant Roster</u>															
2) <u>Other (Coordination)</u>															
b. <u>Non-TAB Activities - attend meetings, seminars</u>															
TOTAL															
B. <u>Regional Bureau & Mission Service</u>															
1. <u>Project</u>															
<u>1096 USDA RSSA</u>															
2. <u>Non-Project/Non-TAB Activities</u>															
a. <u>Assistance to missions/bureaus</u>															
b. <u>Attend meetings, seminars, etc.</u>															
TOTAL															
(*) <u>Project also has significant amount of research activity</u>															
(**) <u>Project also has significant amount of adaptation or application activity</u>															
(***) <u>Project also has significant field service element</u>															

Cluster No. 5099 Title _____
 Activity Coordinator _____

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

Cluster Related A-1
 Priority _____
 Date _____

	Priority 1			Priority 2			Priority 3			Priority 4			Priority 5		
	Reqst'd Amount	Work Days	Consul-Total												
C. <u>Project Development & Management</u>															
1. <u>Project</u>															
1096 USDA RSSA															
2. <u>Non-Project</u>															
a. <u>TAB Activities</u>															
1) <u>Small Activities</u>															
a) Social Science Consultant Roster															
2) Other (coordination)															
b. <u>Non-TAB Activities</u>															
1) Assistance to missions/bureaus															
TOTAL															
D. <u>Contact with International Organizations - attend meetings, seminars, etc.</u>															
TOTAL															
(*) 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															

175 -2

175 -2

2

-3

-1

A/RD
 of No. 5000 Title Program Development & Technical Assistance Bureau Program Review Cluster Related A-1
 Activity Coordinator Support Priority _____ Date _____

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

	Priority 1			Priority 2			Priority 3			Priority 4			Priority 5		
	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants	Reqst'd Amount	Work Days	Consul- Total tants
E Administration & Supervision															
TOTAL															
GRAND TOTAL				175											-1

(*) 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 18/11/77

Activities which cannot be attributed to Specific Clusters

A-2

Technical Assistance Bureau Program Review

Office Summary of Proposed Obligations by Cluster

Priority _____
Date _____

(\$ in thousands)

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	Revised OYB	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru Mo/Yr		
						Work Days	Uniquely dated 9/30/77	C. P. Redist	C. P. Redist	Work Days	Reqt'd Amount	Work Days	Reqt'd Amount	Total		Total	Total
<u>C. Project Development and Management</u>																	
1. ABS review					20									20			
2. CP review					10									10			
3. Other: review of TAB projects					2									2			
office project summaries					10									10			
TOTAL					42									42			
<u>D. Contacts with International Organizations</u>																	
(FAO, UNRISD, ILO)					28									28			
TOTAL					28									28			
<u>E. Administration and Supervision</u>																	
TOTAL					264									264			
GRAND TOTAL					603									683			

(*) 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

TA/RD
 Activity Coordinator _____

Technical Assistance Bureau Program Review
 Office Summary of Proposed Obligations by Cluster

Priority 4
 Date 4-14-77

	Page in ABS	Des. Cat. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Service or New Apprv'd Thru Mo/Yr		
				Revised OYB	Work Days	Unliquidated 9/30/77	C.P. Redist	Work Days	Total	Consul-tants	Reqst'd Amount	Work Days		Total	Consul-tants
A. Planning and Strategizing															
1. ABS preparation, review and approval															
2. CP preparation, review and approval															
3. OYB preparation, review and approval															
4. Responding to Inquiries															
5. Training															
6. Other: review of TAB projects															
Title XII & ARSP Committees															
Section 117 Coordination															
TOTAL															
B. Regional Bureau and Mission Service															
1. ABS review															
2. Responding to Inquiries															
TOTAL															

(*) 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 TH/MD

Activities which cannot be attributed to Specific Clusters A-2

Technical Assistance Bureau Program Review

Office Summary of Proposed Obligations by Cluster

Priority 5
Date 4-14-77

Activity Coordinator _____

	Page in ABS	Des. Cat.	Obl. Stat.	RDA	FY 1977			FY 1978			FY 1979			Project Revised Service or New Apprv'd Thru Mo/Yr	
					Revised OYB	Work Days		C. P.	C. P.	C. P.	Reqst'd Amount	Work Days			Project Revised Service or New Apprv'd Thru Mo/Yr
						Consul-tants	Total					Unliqui-dated 9/30/77	Consul-tants		
Project Development and Management															
1. ABS review															
2. CP review															
3. Other: review of TAB projects office project summaries															
TOTAL															
4. Contacts with International Organizations (FAO, UNRISD, ILO,															
TOTAL															
5. Administration and Supervision															
TOTAL															
GRAND TOTAL														-2	

(*) 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

PART II - F TABLES

ONGOING PROJECT FISCAL DATA SHEET F-1

A. Project Identification
 1. Cluster # 5001 Title Participation
 2. RDA # 31 Title RD Analysis & Planning
 3. Project # 0609 4. Code 249-D
 5. Project Title Alternative Organizational Strategies Research Project
 6. Contractor: Development Alternatives, Inc.
 7. Contract No. AID/C/18-C-1323
 8. Project Manager Morton
 9. Appropriation 1 IO Category A

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY 76	FY 76	FY
2. Services:	FY 76	FY 79	FY
3. LOP Costs:		\$ <u>375</u>	\$

C. Countries
 interregional
Haiti
Guatemala
Nicaragua
 plus 5 to be selected

D. Project Documentation Status Data
 1. Date Current Approval 3-10
 2. New/Revised PP due TA/PPU
 3. Date Last Eval. CFER 2/23/77
 4. Date of Current PAR
 5. Next Evaluation 2/27/78
 In-depth Evaluation 2/27/78
 Terminal Evaluation
 Special Evaluation
 6. Period 3-23-76-1-1-79

1. Planned Outputs
 Phase I - Analytic approach/research strategy development; collection instrument development for study of alternative organizational intervention strategies to reach the rural poor.
 Phase II - Data collection on a minimum of 26 cases in at least 5 countries of organizational intervention/local organizations.
 Phase III - Data analysis and preparation of presentation of findings in a form useful to development practitioners.

E. Project Description
 1. Phase I completed
 2. Phase II - field testing and field research to commence 4/77.

3. Purpose of Project/Anticipated Achievement Date
 To provide AID and LDC practitioners with way of thinking about and designing organizational interventions to improve the quality of life of the rural poor

4. Project Change Requiring Revised PP and/or PAY
 None anticipated at this time.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977	32	-	-	8	40
1978	29	-	-	10	39
1979	27	-	-	10	37

F. Other Donors

NAME	\$000/Yr.	(1)		(2)		(3)		(4)		(5)		(6)		(7)		(8)		(9)		(10)	
		Personnel	Materials																		
1. Cum. Thru 9/30/76	200	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///	///
2. Est. FY 1977																					
3. Est. FY 1978		87	40	-	-	-	-	-	-	-	-	-	-	-	87	150	80	0	0	0	0
4. Proposed FY 1979																					
5. Proposed FY 1980																					
6. Proposed FY 1981																					
7. All other																					
8. TOTAL		375	375												375	375	375	375	375	375	375

ONGOING PROJECT FISCAL DATA SHEET F-1

A. Project Identification
 1. Cluster # 5001 Title Participation
 2. RDA # 37 Title RD Analysis & Planning
 3. Project # 0086 4. Code 240
 5. Project Title Local Action Guidance and Implementation
 6. Contractor: DAI, UNRISD, New
 7. Contract No. AID/OM/TA-C-73-41
 8. Project Manager Marton
 9. Appropriation: 10 Category B*

B. Project Approval Status (\$000)
 Item Initial Approved Requested
 1. Obligation: FY 73 FY 76 FY 77
 2. Service: FY 73 FY 77 FY 79
 3. LOP Costs: FY \$1152

C. Countries
 Interregional

D. Project Documentation Status Date
 1. Date Current Approval 8/72
 2. New/Revised PP due TA/PPU 5/77
 3. Date Last Eval. 10/76
 4. Date of Current PAR 12/77
 5. Next Evaluation In-depth Evaluation x
 Terminal Evaluation
 Special Evaluation
 6. Period 8/72 - 12/77

E. Project Description
 2. Progress in Achieving Outputs/Est: Completion Date
 Field work completed and three volume study produced (Output 1). Additional research conducted on: (a) Role of women in rural development, (b) information systems to support rural development. Prototype on-going information systems designed for two development projects.
 Process for improved design and implementation of rural development projects to reach small farmers developed and concepts applied in design of new projects. Projects will provide test of research findings (Outputs 2&3). Testing process expanded in FY-77 and converted to guidelines & training materials (Outputs 2&3). Preliminary findings of local action R&D discussed at workshops and symposia, with considerable demand for completed findings. (Outputs 4&5)

3. Purpose of Project/Anticipated Achievement Date
 Activities under this project are assisting AID more effectively to design and implement projects which involve the rural poor in the development process.
 If findings are verified through evaluation, we will feel confident that project has achieved its purpose - end of FY-78.
 4. Project Change Requiring Revised PP and/or PAF
 DAI/AID is being requested to amend the project for additional funds and extension of time for UNRISD grant and for extension of time for DAI final report preparation caused by slower than anticipated approval of mission projects included in DAI's scope of work.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977	36	-	-	17	53
1978	33	-	-	11	44
1979	22	-	-	2	24

F. Other Donors NAME \$000/Yr.	(1) Personnel Dollars WM	(2) Participations Dollars WM	(3) Commodities	(4) Other Costs	(5) Total	(6) Expnd. End FY	(7) Total	(8) Expnd. End FY	(9) Planned	(10) Services Funded Thru Month Year	Description of fundline
1. Cum. Thru 9/30/76	902	111			902	745	157			9-30-76	UNRISD grant & DAI final report prep
2. Est. FY 1977	250	111			250	184	223			9-30-79	UNRISD grant, DAI final rpt. prep start up DAI eval
3. Est. FY 1978						100	123				DAI evaluation
4. Proposed FY 1979						123	0				DAI evaluation final: rpt. prep; management & evaluation component, Chile project under Local Action I
5. Proposed FY 1980											
6. Proposed FY 1981											
7. All other											
8. TOTAL	1152	111			1152	1152					

A. Project Identification
 1. Cluster # 5001 Title Participation
 2. RDA # 37 Title RD Analysis & Planning
 3. Project # 0086 4. Code 249
 5. Project Title Local Action Guidance/Implementation
 6. Contractor: Development Alternatives, Inc.
 7. Contract No. AID/cm/ia-c-73-41
 8. Project Manager Morton
 9. Appropriation 10 Category B*

B. Project Approval Status (\$000)
 Initial Requested
 1. Obligation: FY 73 FY 76 FY 77 FY 78
 2. Services: FY 73 FY 77 FY 78
 3. LOP Costs: FY FY FY 1175

C. Countries
 Chile
 Colombia
 Haiti
 Kenya
 Sudan
 Upper-Volta
 Zaire

D. Project Documentation Status Data
 1. Date Current Approval 8/72
 2. New/Revised PP due IA/PPU 5/77
 3. Date Last Eval,
 4. Date of Current PAR 6/30/77
 5. Next Evaluation X
 In-depth Evaluation
 Terminal Evaluation
 Special Evaluation
 6. Period 8/72-6/77

E. Project Description
2. Progress in Achieving Outputs/Est. Completion Date
 1. Work is nearing completion on the review of the econometric analysis of the small farmer strategies report. This review will be submitted to the appropriate AID committee on or about May 15, 1977.
 2. DAI is presently reviewing the status of the 11 projects in whose designs they were involved toward the preparation of the final report on Local Action. They will submit an interim report by 6/30/77.
 3. There is a possibility that further funds under this project will be budgeted for further DAI involvement as the completion of the PP for the Chile Farm Management Project, and for a monitoring and evaluation component of that project.

3. Purpose of Project/Anticipated Achievement Date
 To identify, through data collection and analysis, important linkages and general conditions leading to effective local action within rural development programs; specify quantitative & behavioral model and test hypothesis in the field of local action.

4. Project Change Requiring Revised PP and/or PAF
 Anticipate preparation of Action Memorandum to DA/AID requesting extension of time to allow DAI to include in its final report data on projects under the Local Action Project which have been delayed in the review process.

5. Technical Office Support: (In work days)
 F.Y. DH IPA CONSULT RSSA TOTAL
 1977 10 - - - - 10
 1978 3 - - - - 3
 1979 - - - - -

F. Other Donors
 NAME \$000/Yr.
 None.

G. Budget Summary
 In (\$000) and Work Months - MM
 Personnel - MM
 1. Cum. Thru 9/30/76 283
 2. Est. FY 1977 76
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other 759
 A. TOTAL 759

F. Other Donors	NAME \$000/Yr.	G. Budget Summary	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	Description of Funding
		Work Months - MM											
		1. Cum. Thru 9/30/76	283										
		2. Est. FY 1977	76										Finalizing design work on projects including preparation of final report
		3. Est. FY 1978											1) this amount to be applied to other sub projects under Local Action I
		4. Proposed FY 1979											2) plus \$66,000
		5. Proposed FY 1980											
		6. Proposed FY 1981											
		7. All other											
		A. TOTAL	759										

A. Project Identification
 1. Cluster # 5001 Title Participation
 2. RDA # 37 Title RD Analysis & Planning
 3. Project # 0986 4. Code 249
 5. Project Title Local Action Guidance
 6. Implementation
 7. Contract No. UNRISD
 8. Contract No. AID/ta-G-1253
 9. Project Manager Morton
 10. Appropriation 10 Category B#

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY 73	FY 76	FY 77
2. Service:	FY 76	FY 77	FY 77
3. LOP Costs:			\$ 104

C. Countries
 Interregional
 Thailand
 Sri Lanka
 Philippines

D. Project Documentation Status Date
 1. Date Current Approval 7/76
 2. New/Revised PP due TA/PPU 4/77
 3. Date Last Eval, 3/77
 4. Date of Current PAR 10/77
 5. Next Evaluation In-depth Evaluation X
 Terminal Evaluation
 Special Evaluation
 6. Period 7/76 - 10/77

2. Progress in Achieving Outputs/Est. Completion Date
 E. Project Description
 The grantee is requesting an extension of time and funds to expand the project to include further data collection and analysis. If this extension is approved by DA/AID, the anticipated completion date will be 10/77.

3. Purpose of Project/Anticipated Achievement Date
 To build up an approach to development indicators through data collection, analysis, and presentation using scalogram techniques. Given DA/AID approval, final report is anticipated 10/31/77.

4. Project Change Requiring Revised PP and/or PAF
 TA/RD in process of preparing Action Memorandum to DA/AID to extend funding and LOP on this grant.

5. Technical Office Support: (In work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977	14	-	-	10	24
1978	11	-	-	5	16
1979	-	-	-	-	-

6. Budget Summary
 in (\$000) and Work Months - WM
 1. Cum. Thru 9/30/76 80 77
 2. Est. FY 1977 24 3
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other
 8. TOTAL 104

7. Other Donors
 NAME \$000/Yr.
 UNRISD 25

8. Budget Summary
 in (\$000) and Work Months - WM
 1. Cum. Thru 9/30/76 80 77
 2. Est. FY 1977 24 3
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other
 8. TOTAL 104

9. Budget Summary
 in (\$000) and Work Months - WM
 1. Cum. Thru 9/30/76 80 77
 2. Est. FY 1977 24 3
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other
 8. TOTAL 104

10. Services Funded Thru Month Year
 9 77 data collection, computer programming
 10 78 data analysis, verification
 final report preparation

11. Budget Summary
 in (\$000) and Work Months - WM
 1. Cum. Thru 9/30/76 80 77
 2. Est. FY 1977 24 3
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other
 8. TOTAL 104

12. Budget Summary
 in (\$000) and Work Months - WM
 1. Cum. Thru 9/30/76 80 77
 2. Est. FY 1977 24 3
 3. Est. FY 1978
 4. Proposed FY 1979
 5. Proposed FY 1980
 6. Proposed FY 1981
 7. All other
 8. TOTAL 104

SUB-PROJECT FISCAL DATA SHEET F-3

A. Project Identification
 1. Cluster # 5001 Title Rural Participation
 2. RDA # 37 Title Rural Development
 Analysis and Planning 4. Code 249
 3. Project # 0986
 5. Project title Local Action Guidance and Implementation
 6. Contractor: Iqbal Sobhan
 7. Contract No. AID/em/ta-147-533
 8. Project Manager Morton
 9. Appropriation 1 10. Category B*

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY 76	FY 76	FY 76
2. Service:	FY 76	FY 76	FY 76
3. LOP Costs:		\$ 5	\$

C. Countries
 Interregional _____

D. Project Documentation Status Data
 1. Date Current Approval 3/76
 2. New/Revised PP due TA/RPU _____
 3. Date Last Eval, 10/4/76
 4. Date of Current PAR _____
 5. Next Evaluation _____
 In-depth Evaluation _____
 Terminal Evaluation _____
 Special Evaluation _____
 6. Period _____

E. Project Description
 2. Progress in Achieving Outputs/Est. Completion Date
 Project completed 1/21/77.
 Final Report accepted.

3. Purpose of Project/Anticipated Achievement Date
 To analyze the data set generated by the DAI report "Strategies for Small Farmer Development: An Empirical Study of Rural Development Projects" using factor analysis and canonical analysis to improve the design and implementation of rural development project. - Project completed.
4. Project Change Requiring Revised PP and/or PAF

5. Technical Office Support: (In work days)

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

F. Other Donors

NAME	\$000/Yr.	(1) Personnel Dollars MM	(2) Participants Dollars MM	(3) (4) (5) (6) (7) (8) (9) (10) (11)	(A) (B) (C) (D) (E) (F) (G) (H) (I) (J) (K) (L) (M) (N) (O) (P) (Q) (R) (S) (T) (U) (V) (W) (X) (Y) (Z)
1. Budget Summary in (\$000) and Work Months - MM 9/30/76		5	1	1	1
2. Est. FY 1977					
3. Est. FY 1978					
4. Proposed FY 1979					
5. Proposed FY 1980					
6. Proposed FY 1981					
7. All other					
8. TOTAL		5	1	1	1

Description of funding: Developing knowledge for the improvement of rural development project design.

A. Project Identification

1. Cluster # _____ Title _____
 2. RDA # _____ Title _____
 3. Project # 0986 4. Code _____
 5. Project Title _____
 6. Contractor: Near East Foundation
 7. Contract No. _____
 8. Project Manager _____
 9. Appropriation _____ 10. Category _____
 11. Planned Outputs _____

B. Project Approval Status (\$000)

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

C. Countries

D. Project Documentation Status Data

1. Date Current Approval _____

2. New/Revised PP due TA/PPU _____

3. Date Last Eval, _____

4. Date of Current PAR _____

5. Next Evaluation _____

 In-depth Evaluation _____

 Terminal Evaluation _____

 Special Evaluation _____

6. Period _____

E. Project Description

2. Progress in Achieving Outputs/Est. Completion Date _____

3. Purpose of Project/Anticipated Achievement Date _____

Sub-project completed.

4. Project Change Requiring Revised PP and/or PAY

5. Technical Office Support (in work days)

F.Y. _____ DH _____ IPA _____ CONSULT _____ RSSA _____ TOTAL _____

1977 _____

1978 _____

1979 _____

F. Other Donors MANF \$000/Yr.	G. Budget Summary in (\$000) and Work Months - MM 9/30/76	(1) Personnel Dollars MM	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	1. Cum. Thru 9/30/76	35	///	///	///	///	///	35	35	---	9	72
	2. Est. FY 1977											
	3. Est. FY 1978											
	4. Proposed FY 1979											
	5. Proposed FY 1980											
	6. Proposed FY 1981											
	7. All other											
	8. TOTAL	35	///	///	///	///	///	35	35	---		

A. Project Identification
 1. Cluster # _____ Title _____
 2. RDA # _____ Title _____
 3. Project # 2786 4. Code _____
 5. Project Title _____
 6. Contractor: Paraguayan Center for Social Studies
 7. Contract No. _____
 8. Project Manager _____
 9. Appropriation: _____ 10. Category _____

C. Countries

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY _____	FY _____	FY _____
2. Service:	FY _____	FY _____	FY _____
3. LOP Costs:	FY _____	FY _____	\$ _____

D. Project Documentation Status Data
 1. Date Current Approval _____
 2. New/Revised Pp due TA/PPU _____
 3. Date Last Eval, _____
 4. Date of Current PAR _____
 5. Next Evaluation _____
 In-depth Evaluation _____
 Terminal Evaluation _____
 Special Evaluation _____
 6. Period _____

E. Project Description
 2. Progress in Achieving Outputs/Est. Completion Date _____
 3. Purpose of Project/Anticipated Achievement Date _____

Sub-project completed.

4. Project Change Requiring Revised PP and/or PAF _____

5. Technical Office Support: (In work days)
 F.Y. _____ DH _____ TPA _____ CONSULI _____ RSSA _____ TOTAL _____
 1977 _____
 1978 _____
 1979 _____

F. Other Donors NAME \$000/Yr.	(1) Personnel Dollars MM	(2) Participations Dollars MM	(3) Commodities Costs	(4) Other Costs	(5) Total	(6) Expeng-End Funds	(7) Funded Thru Month Year	(8) Description of Funding	(9) Services	
									(10) Funded Thru Month Year	(11) Funded Thru Month Year
1. Cum. Thru 9/30/76	30				30	30	8			
2. Est. FY 1977										
3. Est. FY 1978										
4. Proposed FY 1979										
5. Proposed FY 1980										
6. Proposed FY 1981										
7. All other										
8. TOTAL	30				30	30				

A. Project Identification

1. Cluster # _____ Title _____
 2. RDA # _____ Title _____
 3. Project # 0936 4. Code _____
 5. Project Title _____
 6. Contractor: TransCentury (Weiss)
 7. Contract No. _____
 8. Project Manager _____
 9. Appropriation: _____ IO Category _____
 10. Planned Outputs _____

B. Project Approval Status (\$000)

Item	Initial		Approved		Requested	
	FY	FY	FY	FY	FY	FY
1. Obligation:						
2. Services:						
3. LOP Costs:						

C. Countries

D. Project Documentation Status Date

1. Date Current Approval _____
2. New/Revised PP due IA/PPU _____
3. Date Last Eval, _____
4. Date of Current PAR _____
5. Next Evaluation _____
 In-depth Evaluation _____
 Terminal Evaluation _____
 Special Evaluation _____
6. Period _____

E. Project Description

2. Progress in Achieving Outputs/Est. Completion Date _____
 3. Purpose of Project/Anticipated Achievement Date _____

Sub-project completed.

4. Project Change Requiring Revised PP and/or PAF

F.Y. _____ DH _____ IPA _____ CONSULT _____ RSSA _____ TOTAL _____

1977 _____
 1978 _____
 1979 _____

F. Other Donors NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - MM		(1) Personnel \$	(2) MM	(3) Participants MM	(4) MM	(5) Commod- ities	(6) Costs	(7) Total	(8) Expend- itures	(9) End Pipeline	(10) Services Funded Thru Month Year	(11) Description of Fundline
	9/30/76	MM											
	1. Cum. Thru	69							69	69			
	2. Est. FY 1977												
	3. Est. FY 1978												
	4. Proposed FY 1979												
	5. Proposed FY 1980												
	6. Proposed FY 1981												
	7. All other												
	A. TOTAL		69						69	69			

A. Project Identification

1. Cluster # 5001 Title Participation
 2. RDA # 37 Title RD Analysis & Planning
 3. Project # 1132 Code: 249-J
 5. Project title Local Action II
 6. Contractor: New
 7. Contract No. -
 8. Project Manager Morton
 9. Appropriation I 10. Category B*

B. Project Approval Status (\$000)

Item	Initial	Final
1. Obligation:	FY 78	Requested FY 79
2. Service:	FY 78	FY 81
3. LOP Costs:	\$	\$ 500

C. Countries

Not yet determined

D. Project Documentation Status Date

1. Date of Current PID Approval 6-77
2. Draft Project Paper due TA/PPU 3-78

E. Project Description

To assist AID to design, implement, and evaluate projects which will more effectively involve the rural poor in the development process and thereby improve their quality of life.

PROJECT PURPOSE(S) (IFY WITHIN BUDGET)

To yield a thorough understanding of the relationship between local action as a component in development and the success of development projects as defined in objective, output terms.

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	7	-	-	11	18
1978	28	-	-	11	39
1979	41	-	-	20	61

PLANNING RESOURCE REQUIREMENTS (in \$000s) Project Design

Type 2.5 mm RSSA Amount (\$000) 3.75

F. Other Donors

NAME \$000/Yr.

Note

G. Budget Summary in (\$000) and Work Months - WM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	
												Personnel Dollars WM
1. Cum. Thru 9/30/76												
2. Est. FY 1977												
3. Est. FY 1978	180	90			20	200	2	198	7-77			Start-up costs
4. Proposed FY 1979	260	130			40	300	200	298	7-81			Select cases; begin review & analysis
5. Proposed FY 1980							200	98				Analysis & evaluation
6. Proposed FY 1981							98	0				Final report preparation & related seminars
7. All other												
A. TOTAL		440			60	600						

D. Project Documentation Status Data
 1. Date of Current PID Approval 3/22/77
 2. Draft Project Paper due TA/PPU 5/1/77

C. Countries

Not yet determined

B. Project Approval Status (\$000)

Item	Initial	Approved	Final
1. Obligation: FY 78			Requested FY 80
2. Service: FY 78			FY 82
3. LOP Costs:			\$ 1,547

A. Project Identification

1. Cluster # 5001 Title Participation
 2. RDA # 37 Title Rural Development,
 Planning and Analysis
 3. Project # 1137 4. Code 249-J
 5. Project Title Participation
 6. Contractor: New
 7. Contract No.
 8. Project Manager Norman Nicholson
 9. Appropriation 10 Category B(1)(***)

E. Project Description

Technical Office Support to Manage Project (in work days)

[To improve the capacity of AID missions to identify, develop, implement and evaluate programs and projects which improve the income, productivity and quality of life of the rural poor.

PROJECT PURPOSE(S) (Enter within brackets)

[Establish program of activities concerning rural development participation which, through production of state-of-art work, applied research in selected LDCs, provision of consulting services, and creation of networks and information dissemination processes will help the Agency foster appropriate kinds and levels of participation by the rural poor in the development process.

PLANNING RESOURCE REQUIREMENTS (in millions) Project Design

Type

None

FY	CONSU	RSSA	TOTAL
1977	34	6	65
1978	7	9	46
1979	16	9	49

F. Other Donors
 NAME \$000/Yr.

C. Budget Summary in (\$000) and Work Months - MM	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
1. Cum. Thru 9/30/76											
2. Est. FY 1977											
3. Est. FY 1978	474					248	722	258	464	9/79	Networking & Consulting
4. Proposed FY 1979								378	86		Applied Research & State-of-Art
5. Proposed FY 1980	580					245	825	401	510	6/82	Applied Research & State-of-Art
6. Proposed FY 1981								424	86		Applied Research & Consulting
7. All other 1982								86			Consulting & Final Report
8. TOTAL	1,054					493	1,547	1,547			

- A. Project Identification**
- Cluster # 5002 Title Rural Development
 - Methodology
RDA # 31 Title Rural Development
Analysis and Planning
 - Project # 1136 Code 290
 - Project Title Methodologies for Rural Development Analysis
 - Contractor: new
 - Contract No. Not yet contracted
 - Project Manager Thomas Dobbs, TA/AD
 - Appropriation: ID Category B (***)

PROJECT FISCAL DATA SHEET F-2

Item	Final	
	Unfinal	Final
1. Obligation:	FY 77	Approved FY 78
2. Services:	FY 77	FY 80
3. LOP Costs:		\$ 701

C. Countries

Not yet determined

D. Project Documentation Status Date

- Date of Current PID Approval May 1976 (PID)
- Draft Project Paper due TA/SPC May 1977

* AA/TA approval only.

E. Project Description

Technical Office Support to Manage Project (in work days)

Improve income and employment opportunities for the poor in rural areas.

PROJECT PURPOSE(S) (may write briefly)

Better policy, planning, and project decisions, through more efficacious use of rural development planning and analysis tools.

PLANNING RESOURCE REQUIREMENTS (millions) Project Design

Amount (\$000)

Consulting fees, per diem, and travel for workshop to focus on PB redesign \$3,500

F. Other Donors NAME \$000/Yr.	(1) Personnel Dollars		(2)	(3)	(4) Participants Dollars	(5) Commo-Other Expenses	(6) Other Costs	(7) Total	(8) Expnd. Thru FY	(9)	(10) Services Funded Thru Month Year	Description of Funding
	1977	1978	1979	1977	1978	1979	1977	1978	1979	1977	1978	
2. Est. FY 1977	287	52		116	403	30	373	JAN 1979				State-of-art work
3. Est. FY 1978	213	43		85	298	250	421	SEPT 1980				State-of-art, consulting, case studies
4. Proposed FY 1979						250	171					Consulting, case studies
5. Proposed FY 1980						171						Consulting, case studies
6. Proposed FY 1981												
7. All other												
a. TOTAL	500			201	701	701						

- A. Project Identification**
- Gluster # 5003 Title Critical Problems in Rural Development
 - RDA # 37 Title RD Planning & Analysis
 - Project # 1135
 - Code: J 200
 - Project Title Area Development
 - Contractor: New
 - Contract No. -
 - Project Manager: Nicholson
 - Appropriation: 10 Category B(*) (***)

PROJECT FISCAL DATA SHEET F-2

Item	B. Project Approval Status (\$000)	
	Initial	Final
1. Obligation:	FY 78	Approved FY 80
2. Service:	FY 78	Requested FY 82
3. LOP Costs:		\$ 1,470

- C. Countries**
- Not yet determined

- D. Project Documentation Status Date**
- Date of Current PID Approval 3/22/77
 - Draft Project Paper due TA/PPU/17/77

E. Project Description

Improve the problem analysis and project design of AID projects oriented toward development of rural areas and directed at rural poor.

PROJECT PURPOSE(S) (List within brackets)

Improve the analysis, planning & implementation of area development programs in IDC's through development of consulting network, production and dissemination of State-of-the-art work related to key aspects of area development, and encourage applied research related to area development projects.

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	23	30		7	60
1978	25	30		8	63
1979	28	30		8	66

PLANNING RESOURCE REQUIREMENTS (in Millions) Project Design

- | Type | Amount (\$000) |
|--|----------------|
| 1 month consultant regional planner | \$6,000 (RSSA) |
| 1 month consultant public administration | \$6,000 (RSSA) |

1/ Includes priority adjustments

F. Other Donors

NAME \$000/Yr.	G. Budget Summary in (\$000) and Work Months - MM		Participants		Commodities		Other Costs		Total		Expend-End FY. Funded Thru Month Year		Description of Funding
	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)		
	Personnel Dollars MM	9/30/76	Dollars MM	MM	MM	MM	MM	MM	MM	MM	MM	MM	
	2. Est. FY 1977												
	3. Est. FY 1978	363											
	4. Proposed FY 1979	210			107	470	144	326	9	79			Network & Consulting
	5. Proposed FY 1980	478			90	300	379	247	12	80			Applied Research & State of Art
	6. Proposed FY 1981				222	700	495	452	6	82			Applied Research & Consulting
	7. All other						403	49					Consulting & Final Report
A. TOTAL		1,051			419	1,470	1,470	0					

D. Project Documentation Status Data
 1. Date of Current PID Approval 3/22/77
 2. Draft Project Paper due 7/1/PPU 5/77

C. Countries not yet determined

B. Project Approval Status (\$000)

Item	Initial	Approved FY	Requested FY	Final
1. Obligation:	FY 77		FY 77	
2. Service:	FY 77		FY 81	
3. LOP Costs:			\$ 1,730	

A. Project Identification
 1. Cluster # 1003 Title Critical Problems in Rural Development
 2. RDA # 37 Title Rural Development Analysis and Planning
 3. Project # 1169 4. Code J201
 5. Project Title Rural Financial Institutions

6. Contractor: New
 7. Contract No. Tom Mehen
 8. Project Manager: Tom Mehen
 9. Appropriation: 10 Category (6)(*) (**)

E. Project Description

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	30	-	-	47	77
1978	51	-	-	26	77
1979	71	-	-	7	77

PROJECT GOAL (in work days)

Improved design and implementation of AID mission programs dealing with rural financial markets and credit to small producers and directed toward increased productivity, income and quality of life of the rural poor.

PROJECT PURPOSES (in work days)

Assist mission programs by providing access to consultants to work on a wide range of program related activities; 2. Marshall existing and new knowledge on rural financial markets and small producer credit in convenient digestible form for practitioners. 3. Generate new knowledge in the context of program relevant research activity.

PLANNING RESOURCE REQUIREMENTS (in \$/line) Project Design

Amount (\$000)

F. Other Donors NAME \$000/Yr.	Type	PLANNING RESOURCE REQUIREMENTS (in \$/line) Project Design										
		(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
		Budget Summary in (\$000) and Work Months - WM	Personnel Dollars (M)	Participants Dollars (M)	Commodities	Other Costs	Total	Expended Thru	End FY	Services Funded Thru	Description of Funding	
		Cum. Thru 9/30/76						Month	Year	Month	Year	
		0										
		680	217			120	800	30	770	7-79	Start up cost of project	
									400	370	Problem exploration, mission support	
		790	217			190	430	425	375	8-81	Indepth applied research, mission support	
									450	425	Indepth applied research, mission support	
									425	0	Indepth applied research, mission support	
		1470					260	1730	1730			

- A. Project Identification**
- Cluster # 5003 Title Critical Problems in Rural Development
 - RDA # 37 Title Rural Development Analysis and Planning // 2
 - Project # 112 4. Code: J201
 - Project Title Rural Market Systems
 - Contractor: New
 - Contract No.
 - Project Manager Tom Mcken
 - Appropriation 10 Category B(****)

B. Project Approval Status (\$000)

Item	Initial	Approved	Final
1. Obligation:	FY 77	FY 77	FY 79
2. Service:	FY 77	FY 77	FY 81
3. LOP Costs:		\$	\$ 923

C. Countries

D. Project Documentation Status Date

- Date of Current PID Approval
- Draft Project Paper due TA/PPU 5/77

E. Project Description

Improved design and implementation of AID mission programs dealing with rural market systems and marketing processes designed to increase the productivity, income, and quality of life of the rural poor.

PROJECT PURPOSES (list within brackets)

Assist mission programs by providing access to consultants to work on a wide range of program related activities; 2. Marshall existing knowledge on rural marketing systems and processes in convenient digestible form for practitioners; 3. Generate new knowledge in the context of program relevant research activities.

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	31	-	-	42	73
1978	48	-	-	22	70
1979	63	-	-	9	70

PLANNING RESOURCE REQUIREMENTS (in millions) Project Design

F. Other Donors NAME \$000/Yr.	(1) Personnel Dollars MM	(2) Participants Dollars MM	(3) Commodities	(4) Other Costs	(5) Total	(6) Expnd- Und FY Pipeline	(7) Month Year	(8) Services Funded Thru Month Year	(9) Description of Funding
G. Budget Summary in (\$000) and Work Months - MM									
1. Cum. Thru 9/30/76	0	0	0	0	0	0	0	0	
2. Est. FY 1977	327	99		36	363	25	338	3	start up, program exploration
3. Est. FY 1978						210	128		problem exploration, Mission support
4. Proposed FY 1979	504	132		56	560	260	428	7	Mission support, in depth applied research
5. Proposed FY 1980						280	148		Mission support, in depth applied research
6. Proposed FY 1981						148	0		Mission support, in depth applied research
7. All other									
8. TOTAL	831			92	923	923			

PROJECT FISCAL DATA SHEET F-2

A. Project Identification

1. Cluster # 5003 Title Critical Problems in Rural Development

2. RDA # 31 Title Rural Development Analysis and Planning

3. Project # 1190 Code 200

4. Project Title Alternative Rural Development Strategies

5. Contractor: New

6. Contract No. _____

7. Project Manager Mehen

8. Appropriation: 10 Category B (#) (***)

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY 77	FY	FY 79
2. Service:	FY 77	FY	FY 81
3. LOP Costs:	\$	\$	\$ 802

C. Countries

not yet determined

D. Project Documentation Status Date

1. Date of Current PID Approval 6-77

2. Draft Project Paper due TA/PPU 6-77

E. Project Description

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	22	-	-	-	22
1978	32	-	-	7	39
1979 ^u	30	-	-	7	37

Improved design and implementation of AID Mission programs directed toward increased productivity, income and quality of life of the rural poor.

PROJECT PURPOSE(S) (list within brackets)

[] Generate new understanding about alternative strategies for achieving rural development under varying conditions. 2. Marshall existing and new knowledge in convenient & digestible form for practitioners, including students in LDC training centers. 3. Assist mission programs by providing access to senior consultants to advise on policy, strategy and implementation issues.

PLANNING RESOURCE REQUIREMENTS (initial/total) Project Design

Type

None.

1/ Adjusted for priorities.

F. Other Donors

NAME	\$000/Yr.	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	Description of Funding
		Personnel	Participants	Commod-	Other	Total	Expand-	End FY	Month	Year		
		Dollars MM	MM	ities	Costs	Costs	Status	Pipeline				
1. Cum. Thru 9/30/76												
2. Est. FY 1977	329					140	469	19	450	9	79	Start-up
3. Est. FY 1978								250	200			SOTA, seminars, networking, start-up research
4. Proposed FY 1979	233					100	333	280	253	3	81	applied research, consulting, info. dissemination
5. Proposed FY 1980								200	53			applied research, consulting, seminars, info. dissem.
6. Proposed FY 1981								53	-			info dissemination
7. All other												
8. TOTAL	562					240	802	802	802	0		

-207-

A. Project Identification
 1. Cluster # 5003 Title Critical Problems in Rural Development
 2. RDA # 37 Title Rural Development
 3. Analysis and Planning 4. Code 279 J
 5. Project Title Off-Farm Employment
 6. Contractor: New
 7. Contract No.
 8. Project Manager - Math
 9. Appropriation: 10 Category B(****)

PROJECT FISCAL DATA SHEET F-2

Item	Project Approval Status (\$000)		Requested Final
	Initial	Approved	
1. Obligation:	FY 77	FY 79	
2. Service:	FY 77	FY 81	
3. LOP Costs:			\$ 709

C. Countries
 not yet determined

D. Project Documentation Status Dates
 1. Date of Current PID Approval
 2. Draft Project Paper due TA/PPU 5/77

E. Project Description

Improved design and implementation of AID mission programs dealing with off-farm employment and income generation designed to increase the productivity, income and quality of life of the rural poor.

PROJECT PURPOSE(S) (list within brackets)

[Assist mission programs by providing access to consultants to work on a wide range of program related activities; 2. Marshall existing knowledge on rural off-farm employment generation in convenient digestible form for practitioners. 3. Generate new knowledge in the context of program relevant research activity.]

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	31	-	-	42	73
1978	47	-	-	22	69
1979	62	-	-	7	69

PLANNING RESOURCE REQUIREMENTS (millions) Project Design

Amount (\$000)

Type

F. Other Donors NAME \$000/Yr.	(1) Personnel		(2) Participants		(3) Commodities	(4) Other Costs	(5) Total	(6) Expend. Thru	(7) Pipeline	(8) Month	(9) Year	(10) Services Funded Thru	(11) Description of funding
	9/30/76	MM	MM	MM									
1. Cum. Thru	0	0	0	0	0	0	0	0	0	0	0	0	0
2. Est. FY 1977	292	91				32	324	20	304	6	79		Start up, problem exploration
3. Est. FY 1978						38	385	197	337	3	81		Problem exploration, initial field trips
4. Proposed FY 1979								225	112				In depth Research, Mission support
5. Proposed FY 1980								112	0				In depth Research, Mission support
6. Proposed FY 1981													In depth Research, Mission support
7. All other													
8. TOTAL							70	709	709				

A. Project Identification

1. Cluster # 2003 Title Critical Problems in Rural Development
 2. RDA # 37 Title Rural Development
 3. Analysis and Planning 4. Code 2003
 5. Project Title Integration of Income-Producing and Social Services
 6. Contractor: New
 7. Contract No.
 8. Project Manager Weaver
 9. Appropriation: 1 10 Category B (***)

B. Project Approval Status (\$000)

Item	Initial	Final
1. Obligation:	FY 78	Requested FY 80
2. Service:	FY 78	FY 81
3. LOP Costs:		\$ 685

C. Countries

Not determined

D. Project Documentation Status Data

1. Date of Current PID Approval
 2. Draft Project Paper due RA/PPU 9-77

E. Project Description

Improved design and implementation of AID mission-supported programs directed toward increased productivity, income and quality of life of the rural poor.

F. Other Donors

None.

G. Budget Summary

None.

PROJECT FISCAL DATA SHEET F-2

FY	DH	IPA	CONSULT	RSSA	TOTAL
1977	4	15	-	-	19
1978	28	30	-	7	65
1979	23	30	-	5	58

Technical Office Support to Manage Project (in work days)

PROJECT PURPOSE(S) (list within brackets)

1. Increase our knowledge about the linkages among key rural functions through program relevant applied research activities.
 2. Marshall existing and generated knowledge in convenient, digestible form for practitioners.
 3. Provide access for missions/bureaus to knowledgeable consultants.

H. Planning Resource Requirements (initial)

Project Design

Amount (\$000)

None

PLANNING RESOURCE REQUIREMENTS (initial)

Category	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
	Personnel	Participants	Commodities	Other	Costs	Total	Expend. Thru	FY	Month	Year	Description of Fundings
	\$/mo	\$/mo	\$/mo	\$/mo	\$/mo	\$/mo	9/30/76	1977			
2. Est. FY 1977											
3. Est. FY 1978	225	72			85	310	80	230	10	79	SOTA, rosters, select topics/countries research
4. Proposed FY 1979							215	15			begin applied research, networking, consulting
5. Proposed FY 1980	335				50	385	250	150	9	81	applied research, consulting, seminars, networks
6. Proposed FY 1981							150				synthesis, seminars, consulting, networks
7. All other											
8. TOTAL											

1/ Assumes not implemented through MSU.

A. Project Identification
 1. Cluster # 5003 Title Critical Problems
 2. RDA # 007 Title Rural Development Planning and Analysis
 3. Project # 1170 4. Code 2003
 5. Project Title Rural Development and Fertility
 6. Contractor: New
 7. Contract NO.
 8. Project Manager Weaver
 9. Appropriation: 10 Category B(2)(***)

C. Countries
 not yet determined

B. Project Approval Status (\$000)

Item	Initial	Approved FY	Requested FY
1. Obligation:	FY 79	FY 81	FY 82
2. Service:	FY 79	FY 82	
3. LOP Costs:		\$ 665	

D. Project Documentation Status Data
 1. Date of Current PID Approval 3/22/77
 2. Draft Project Paper due TA/PPU 9/77

Technical Office Support to Manage Project (in work days)

FY	DH	IPA	CONSULT	BSSA	TOTAL
1977	10	13	-	-	23*
1978	9	26	-	5	40*
1979**	11	26	-	5	42*

E. Project Description
 Improved design and implementation of AID mission programs directed toward increased productivity, income and quality of life of the rural poor:

PROJECT PURPOSE(S) (list within brackets)
 Generate new knowledge about the effects of rural development on fertility and the consequences for rural development of high fertility rates. 2. Marshall existing and new knowledge in convenient digestible form for practitioners. 3. Assist Mission programs by providing access to consultants to build concern for fertility-rural development relationships into their programs.

PLANNING RESOURCE REQUIREMENTS (in millions) Project Design

Type	Amount (\$000)
None.	

F. Other Donors

NAME	\$000/Yr.
None.	

G. Budget Summary in (\$000) and Work Months - WM

1. Cum. Thru 9/30/76	2. Est. FY 1977	3. Est. FY 1978	4. Proposed FY 1979	5. Proposed FY 1980	6. Proposed FY 1981	7. All other	8. TOTAL	Participants		Commodities		Other Costs		(7) Total	(8) Expenditures	(9) FY Funded Thru Pipeline	(10) Services Month Year	(11) Description of Fundings	
								WM	Dollars	WM	Dollars	WM	Dollars						WM
			215	65															
			40	265	115	140	9	80											SOTA hypothesis specific network devel., consult.
			40	410	135	5													case studies, consulting, network, info. dissemin.
			40	410	274	141	9	82											case studies, other applied research, consulting
			80	665	141	0													networking, info. dissemination, consulting
					665	0													

A. Project Identification
 1. Cluster # 3099 Title Non-Cluster
 2. RDA # 37 Title RD Analysis and Planning
 3. Project # 3096 4. Code 299
 5. Project Title Program Development and Support
 6. Contractor: USDA (RSSA)
 7. Contract No.
 8. Project Manager H. Hobbgood
 9. Appropriation: 1 10 Category R

B. Project Approval Status (\$000)

Item	Initial	Approved	Requested
1. Obligation:	FY 77	FY 77	FY 80
2. Services:	FY 77	FY 78	FY 80
3. LOP Costs:		\$ 532	\$ 1257

C. Countries
 N/A

D. Project Documentation Status Data
 1. Date Current Approval 4/15/77
 2. New/Revised PP due TA/PPU N/A
 3. Date Last Eval, N/A
 4. Date of Current PAR N/A
 5. Next Evaluation 9/77
 In-depth Evaluation
 Terminal Evaluation
 Special Evaluation X
 6. Period

3. Purpose of Project/Anticipated Achievement Date
 To provide program development and support assistance to TA/RD for its applied research, planning, and consulting activities in support of AID rural development programs and projects.

2. Progress in Achieving-Outputs/Est. Completion Date
 Project authorized, fully negotiated at technical level, pending formal obligation and signing of the participating agency support agreement.

I. Planned Outputs
 Timely provision of specialized program support assistance totalling approximately 99 man months as follows:

- In rural resources - 9 mm
- In methodologies - 9 mm
- Network Development - 6 mm
- Area Development - 6 mm
- Senior Economists-General - 18 mm
- Rural Devl. General - 18 mm
- Training analysis - 6 mm
- Mission project support - 18 mm
- Secretarial support - 9 mm

4. Project Change Requiring Revised PP and/or PAF
 N/A

5. Technical Office Support: (in work days)

F.Y.	DH	IPA	CONSULT	RSSA	TOTAL
1977	28	4	-	3	35
1978	17	-	-	3	20
1979	15	-	-	5	20

F. Other Donors

NAPE \$000/Yr.	(1) (2)		(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	Description of funding	
	Personnel Dollars	Participations Dollars										Commodities
1. Cum. Thru 9/30/76	532	99										
2. Est. FY 1977						632	148	384	10	78	Project development and support	
3. Est. FY 1978							355	27				
4. Proposed FY 1979	350						350	24	9	80	Project development and support	
5. Proposed FY 1980	375						375	399	0	81	Project development and support	
6. Proposed FY 1981												
7. All other												
8. TOTAL	1257					1257	1257					

PART II - G TABLES

Resource Requirements
\$000/Work Days

FY 77 FY 78 FY 79

Small Activity Projects

A. Cluster # 5001 Title Participation

1. Small Research

a. Landless Poor Research
(\$34,714)

A study of the nature, location, and growth trends in the landless poor, the programs that have attempted to improve the lot of the landless poor, and the foundation of researchable hypotheses about developmental measures for incorporating the landless poor into integrated rural development undertakings.

-/3

-/3

b. P.V.O.s and Participation

A case study in Maharashtra State of AID assisted Catholic relief service, aid to farmer service associations in the 1960's.

-

\$20/5 -/3

c. Political Economy Models of Co-ops

Application of collective choice models to problems of small voluntary cooperative activities in LDCs.

\$25/5

-

d. Women's Participation

Exploration of special problems and opportunities for women's access to opportunities of development.

-

\$23/5

-

e. Leadership Recruitment

Explore relationship between leadership roles and development activities, and how various recruitment procedures influence role performance.

-

\$27/5

-

(Sub Total) \$25/8

\$43/13

\$27/8

2. Evaluation

a. Regional Administration of Rural Development (\$25,000)

A study of aspects of Israeli experience in rural development which may be applicable in other developing countries and recommended mode of transfer, in cooperation with the Settlement Study Center, Rehoveth, Israel.

-/1

-

(Sub Total) -/1

1

-

3. Utilization

-

-

-

Attachment G
Resource Requirements
\$000/Work Days

Small Activity Projects

A. Cluster # 5002 Title Rural Development Methodologies

1. Small Research

a. Non-Economic Social Science Methodologies (\$10,000)

Preparation of a preliminary state of the arts paper on non-economic social science methodologies for agricultural sector and rural area policy analysis.

<u>FY 77</u>	<u>FY 78</u>	<u>FY 79</u>
-/11	-	-

(Sub Total)

-

2. Evaluation

(Sub Total)

-

3. Utilization

(Sub Total)

-

4. Special Projects Inputs

A state-of-the-arts survey on rural development information systems covering rural regions, agricultural sector, while considering levels of rural development decision making information required at various levels, types of data-information and acquisition techniques, and organizational information institutional implications of alternative information systems.

-

-/27

(Sub Total)

-

-/27

Cluster Total

-/38

Small Activity Projects

A. Cluster #	5003	Title	Critical Problems in Rural Development	Resource Requirements		
				\$000/ Work Days	FY 77	FY 78
1.	<u>Small Research</u>					
a.	Financing Public Works Maintenance	Transition from investment to maintenance is key to success of rural works projects. We need to know more about organization and finance of maintenance.		(\$23.5)	-1/2	-1/2
b.	Differentiation of Function and Authority in Rural Development	Need to know more about roll of specialized versus general function of local institutions and also about the impact of scale on behavior patterns in such institutions.		(\$26.4)	1/2	-1/2
c.	Modeling of Broker/Patron Behavior	Farmer response to opportunities in many rural areas as mediated through patrons and brokers. Although much has been done on sociology and politics of this relationship there has been little on its development			-1/2	(\$28.2)
d.	Anthropological Analysis of Rural Industries-Taiwan	Develop anthropological approaches for analyzing rural small scale industries, building upon the previous economic data and analysis carried out in Taiwan.		(\$30)	1/1	-1/4
e.	SOTA & Small Scale industries in Japan, Taiwan, Korea, Philippines	Evaluate the experiences of Japan, Taiwan, Korea, and the Philippines in promoting small scale industries and rural enterprise development.		(\$30)	1/1	-1/8
		(Sub Total)		\$23.5	1/2	(\$28.2)
2.	<u>Evaluation</u>					
	Rural Development Administration Grant (\$30,585)	Partial support of Dr. Akhter Hameed Khan for preparation of a historical primer on Rural Administration in Asia.			-1/1	
		(Sub Total)			-1/1	
3.	<u>Utilization</u>					
4.	<u>Special Projects Inputs</u>					
a.	Rural Financial Markets (\$26,500)	SOTA paper on Rural Financial markets discussing current knowledge and methodology, areas of agreement and disagreement, and identification of current research and evaluation efforts.				
b.	Water User Associations (\$6,400)	A study of water users organizations emphasizing the spectrum of water use associations, their role in improved water management, and guidelines for formation.			-1/2	
c.	Extended Family Support Systems	3-phase study of rural investment patterns and urban investment on the part of rural dwellers.				(\$35)

		<u>Small Activity Projects</u>		<u>Resource Requirements</u>	
		<u>FY 77</u>	<u>FY 78</u>	<u>\$000/Work Days</u>	<u>FY 79</u>
<u>A. Cluster # 5003 (con't) Title Critical Problems in Rural Development</u>					
<u>4. Special Projects Inputs (con't)</u>					
d. Special Project Inputs, Area Development (\$5,980)	Assistance in the preparation of the Area Development Applied Research and Consulting project paper.	\$6/1	-	-	-
	(Sub Total)	\$6/2	\$35/7		-/7
	<u>Cluster Total</u>	\$29.5/2	\$121.4/20		\$28.3/30

Resource Requirements
 \$000/Work Days
 FY 77 FY 78 FY 79

Small Activity Projects

A. Cluster # 5099 Title Program Development & Support

1. Small Research

(Sub Total) - - -

2. Evaluation

(Sub Total) - - -

3. Utilization

(Sub Total) - - -

4. Special Projects Inputs

A. Social Science Consultant Roster (\$9,900)

An assessment of AID-provided curricula vitae of American social scientists in order to develop a roster of approximately 50 social scientists who appear qualified for work with AID in African and Near East rural development project planning, implementation, and evaluation.

-/14 - -

(Sub Total) -/14 - -

Cluster Total

-/14 -

GRAND TOTAL