

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

Southeast Asia Development Research Program

I. Introduction

Early in 1966, the AID Bureau for Far East, through the "Newsletter" of the Association of Asian Studies, announced to social scientists whose research and teaching relates to countries of Southeast Asia its interest in receiving proposals for research on topics relevant to national development in those countries. A number of research proposals have since been received for consideration, some of them on subjects with which AID is directly concerned. Proposals received under this special program of the Bureau for East Asia are reviewed and evaluated by panels of experts, much as is done under the agency-wide research program administered by the AID Research and Institutional Grants Staff of the AID Office of the War on Hunger.

A research proposal may be developed as result of a request from an overseas AID mission, or from a geographical or other division in AID. Proposals may also be initiated by individual scholars or by one or more educational or research institutions.

Results of research in the form of reports are usually made generally available to interested persons and officials in the U.S. and abroad. AID reserves the right to review reports before publication to make sure that information prejudicial to good relations with other countries is not included.

II. Program Purpose

This program is directed toward gaining for AID and its staff an improved understanding of the development process in countries where U.S. technical assistance programs are proceeding at the request of national governments in Southeast Asia.

Development implies change: physical change, institutional change, and attitudinal change. Our experience in overseas technical assistance programs demonstrates repeatedly that Asians and Americans who are concerned with planning and executing development programs and projects need a better understanding of existing socio-economic-political institutions in Asian countries so that development programs can be more intelligently planned and carried out with minimum disruption of established institutions, and in accordance with national aspirations.

The Southeast Asia Development Research Program, while established to meet an operational need of AID, also presents opportunity for American social scientists and their Asian colleagues to identify and study social and human factors which affect positively or negatively the development process in Southeast Asian countries, including the Philippines, South Vietnam, Thailand, Laos, and perhaps Malaysia, Indonesia, Cambodia and Burma in special cases. (Although Korea lies outside this area, research on Korea is not excluded.)

The program is also expected to enhance the research capability of Asian social scientists through empirical research conducted in association with qualified American scholars. In future, Asian countries will be able confidently to turn to their own social scientists for accurate assessment of the effect of their social institutions upon national development, and for appropriate solutions of difficulties. The Bureau for East Asia concurs with many Asian and American social scientists who hold that: 1) human factors are so critical in their effect upon the rate and direction of national development that more systematic study of social institutions is essential to improve technical assistance and other aspects of the U.S. foreign aid program; and 2) social science studies of the development process in Asia will be most fruitful if carried out by both Asian and American scholars. Cooperative studies can reinforce objectivity, and may bring forth facts or considerations which might otherwise elude researchers from one country. Joint research helps bridge language barriers, and makes available expertise which otherwise could not be drawn upon.

Development research projects under this program may be carried out in the United States and/or in one or more Southeast Asian countries by qualified American social scientists, usually in association with Asian social scientists, and usually with support of American and/or Asian educational or research institutions, as may be appropriate in each project. Projects may involve one or two principal investigators, or a team representing several specialties, may continue for a short term or over a period of months or years.

It is intended that research findings and conclusions will be made available to Asians and Americans concerned with carrying out development programs in the region. Thus they may be assisted in devising policies or courses of action which may better advance national development.

III. Criteria for Selection of Projects

The range of possible topics which might be considered in this program is too great to define, even by an illustrative list. Several other criteria may provide guidance as to what kinds of research may be given higher consideration by the Bureau for East Asia.

- a) Operational Relevance. Projects whose results may be operationally significant to a mission director, to mission technicians or advisors will be preferred.
- b) Professional Competence. Projects proposed by more experienced investigators will be given prior consideration when such senior investigators participate actively in the research.
- c) Timeliness. Research results should become available within a time span during which they can be usefully applied by AID.
- d) Replication. Preference may be given to a project whose objectives and research designs may be pertinent to more than one country or area.
- e) Orientation to Other Research. The more desirable project would be one which may significantly supplement or affect other on-going development research, or an on-going AID program elsewhere.
- f) Professionally Sound. A research design rigorous enough to assure respectable results will enhance AID interest in a project. The organization or persons undertaking the project should be of recognized competence in the judgement of responsible professional personnel, and sufficient resources should be available to assure continuation and completion of a project once started.

IV. Submittal of Research Proposals

Research proposals under the Southeast Asia Development Research Program need not be submitted in a specific form, but the kind of information needed by AID adequately to evaluate proposals is outlined below. Projects of limited scope may be more briefly described. While emphasis is placed on social science research, studies in other fields pertinent to Southeast Asian development are not excluded. AID may elect to give financial support through a grant, by negotiating a contract, or by retaining services through a consulting arrangement, as may be most appropriate.

Each proposal should be submitted in at least 20 legible copies to facilitate simultaneous review and evaluation by specialists. All copies should be forwarded to the Director, Technical Advisory Staff, Bureau for East Asia, Agency for International Development, Washington, D. C. 20523.

Before submitting a complete proposal, as described hereafter, proposers are encouraged to make preliminary inquiry of the Director of the Technical Advisory Staff as to the probable relevance to AID needs of the subject, objectives and scope of the proposed research.

A proposal may be submitted at the request of AID, or on the initiative of the proposer, who may be a qualified individual scholar, a group of researchers, or an institution. One senior person should be designated to whom AID may direct communications, giving his home and office addresses and telephone numbers.

V. Suggested Outline for Research Proposal

Proposals for research under the Southeast Asia Development Research Program should include the following basic information and any other data essential for a fair evaluation of its merits and its relevance to AID operational needs.

- A. Name and address of the proposing and/or sponsoring institution. The name and department of the principal investigator should be indicated, with addresses and telephone number. Proposals submitted by individuals should give the essential biography of the principal investigator, list of published works, and names and addresses of at least five professional references.
- B. Proposals submitted by institutions or firms should be signed on the original copy by the principal investigator(s), by relevant department heads, and by an official authorized to commit the institution in matters involving business and financial affairs.
- C. Title of the proposed research should be brief but properly descriptive.
- D. Specification of a desired starting date is of great value to the Bureau staff in scheduling reviews of proposals. The proposer should name a date no later than the first formal commitment he will have to make for personnel or equipment. Alternate starting dates should be specified. The probable duration of the proposed research should also be indicated.
- E. A summary of the proposed research is required, and should be included in the proposal. (A separate, more detailed statement of the work to be undertaken can be submitted as an appendix, if desirable). The summary should state objectives, relation of proposed research to present state of knowledge of the field, and its relevance to development

programs of AID and development problems of countries in the Far East region. It should include a summary of the concepts, theories, or hypothesis to be studied. Finally, the summary should indicate the data to be collected, and anticipated sources, methods of analyzing data, instruments to be used, etc.

- F. The detailed statement of research design, submitted in the summary or elaborated in an appendix, should include fuller exposition of items in the summary, and also include relation of proposed research to previous work done on this project or to related work in programs elsewhere, and a bibliography of pertinent literature and related research. The general plan of work should be outlined as specifically as possible, including what participation or cooperation may be anticipated from other scholars or institutions, in the U.S., or overseas. The summary and the detailed statement will be the principal source of data concerning the proposal on the basis of which AID will review and evaluate relevance and importance of the proposed research study for the Southeast Asia Development Research Program. It should be as complete as possible, well-organized and indexed, and concisely stated to facilitate a prompt, fair and judicious review.
- G. The proposal should list the names and academic titles of all professional personnel to be associated directly with the research, including time which each expects to devote to the undertaking. A principal investigator should be identified who will be responsible for direct supervision of the work and will participate in the research. Similar information is to be supplied for personnel to be engaged as research assistants, technicians, graduate or undergraduate students, secretarial or clerical staff.
- H. The proposal should describe briefly other research in this or related fields which has been carried out by the sponsoring institution or by the principal investigators who are to participate in the proposed research. Publications containing results of such previous research should be cited. (Copies of pertinent manuscripts should be supplied, if available.)
- I. Estimate of total cost for each research proposal should be presented on an annual budget basis, and reflect the magnitude of the research effort. Funds requested from AID should be indicated for each of the budget categories listed below. Contributions to the proposed research from other U.S. Government, and non-U.S. Government sources should be listed. Funds may be requested for any of the following categories so long as the item is considered necessary to the conduct of the proposed research.

- 1) Salaries chargeable to project, including rate of pay proposed for part-time personnel. Support by list of personnel by title, indicating percentage of time to be devoted to project by each person. (AID assumes that research is one of the normal functions of faculty members of institutions of higher learning. Time spent on research within the term of appointment is deemed to be included within the regular institutional salary of the faculty members. Project funds may not be used to augment the total salary or rate of salary during the period of time covered by the term of faculty appointment.)
 - 2) Consultant fees. The number of days and rate of pay per day.
 - 3) Travel and subsistence, U.S. and foreign shown separately. Anticipated costs of required travel, indicating purpose and probable duration. Travel is normally not to exceed cost of direct jet economy air accommodations.
 - 4) Non-expendable equipment. List of items and their cost.
 - 5) Expendable equipment and supplies. A general list and statement indicating which items will be consumed in the proposed research.
 - 6) Publication costs. Types of publication costs anticipated, including purchase of reprints.
 - 7) Other direct costs, not included above.
 - 8) Indirect costs allowable under Federal Procurement Regulations.
- J. The proposal should include also a statement of other research projects governmental and otherwise, currently being undertaken by the principal investigators who may be associated with the proposed project. Show for each project the title, by whom research is sponsored, amount and years of support.
- K. Indicate whether this proposal has been submitted to other possible sponsors, in whole or in part. The concurrent submission of a proposal to other organizations will not prejudice its review by the AID Bureau for East Asia.

VI. Smaller Projects

The foregoing outline may be more elaborate than is necessary for reviewing and evaluating a small and straightforward project to be carried out by one or two principal investigators. In proposing such less complex research studies, it may be advisable to follow a simplified form of the above outline appropriate for adequately describing the project.

VII. Financing

When a research study has been selected and approved for full or partial financial support by AID, the method of providing such support (contract, grant, or other) will be arranged as most appropriate in each case with the proposer. AID may join with other interested agencies in support of studies.

VIII. Project Scope and Content

AID does not seek to influence, circumscribe or control the findings of research studies made with its financial support. The studies in this program are to be carried out in compliance with the objectives, scope and methods agreed upon between AID and the responsible senior investigator and any sponsoring institution.

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