

PN-AAG-054

PRINCETON UNIVERSITY

Woodrow Wilson School of Public and International Affairs

ANNUAL REPORT FY 1978

LDC INCOME DISTRIBUTION AND PUBLIC POLICY AID/otr-c-1492

June 30, 1977 - June 30, 1978

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I. Annual Report Summary Sheet

LDC Income Distribution and Public Policy AID/otr-c-1492
Project Title and Contract Number

John P. Lewis
Trustees of Princeton University
Principal Investigator and Contractor

Princeton University, Princeton, New Jersey 08540
Contractor's Address

June 30, 1976 - March 31, 1980
Contract Period (as amended) From - To

July 1, 1977 - June 30, 1978
Reporting Period From - To

Total Expenditures and Obligations
Through Previous Contract Year

Through 6/30/78: \$292,453

Total Expenditures and Obligations
For Current Contract Year*

6/30/78 to 3/31/80: \$433,812

*Since the amended contract runs only through 3/31/80 we have assumed AID will wish to obligate all of the remaining costs in the U.S. FY 10/1/78 to 9/30/79 and therefore have not segregated the periods 7/1/78 to 6/30/79 and 7/1/79 to 3/31/80 in our financial projections. However, if such a breakdown is desired, we shall be happy to provide it.

I. Summary Sheet

Work is proceeding on studying the economic and political aspects of income distribution, especially the effects of government policies on distributional outcomes in Turkey, Nigeria and Egypt. Subjects being addressed are the general economics, politics, and historical-ideological framing of income distribution, rural/agricultural, rural-urban, and urban dimensions, and the equity impacts of taxation, agricultural policies, education, other public services, industrial policies and unionization. Draft of the papers on Turkey are in their final stages; it is expected that a manuscript will be ready for a publisher before the end of 1978. The Nigeria papers are in preliminary draft, having been collectively reviewed by the participants. The Egypt papers, whose authors are in process of receiving a series of visits by Princeton participants, are well underway; first drafts are expected in January 1979.

II. Project Objectives

The project objectives, as stated in the contract, are to assist developing countries and donor agencies in meeting their need for a better understanding of ways to improve the formulation and implementation of social equity objectives within the context of economic development efforts.

Extensive research is currently underway in Turkey, Nigeria, and Egypt to define the current nature of income distribution in these societies, the historical development, and the influence of government economic policies on distribution, with an eye to the most equitable alternatives commonly considered.

III. Accomplishments to Date

On the whole we are very pleased with the way this ambitious project is coming. It was intentionally organized to place heavy responsibilities on the LDC participants.

The Turkish project was the subject of a major conference at the University of Warwick, U.K., at the end of August 1977 when papers were at the first-draft stage. Papers were then very uneven. They were intensively critiqued orally and subsequently received abundant written comments--mainly by the principal investigators and Princeton project personnel. In February 1978 a small meeting of the Turkish principal investigators, one or two of the other Turks in this country for other reasons, and the Princeton group was held to check progress on paper revisions and also to consider a first draft on "Overview Statement" (intended as an introductory chapter to the eventual volume) by the principal investigators. In early July a final plenary meeting of the project was held in Istanbul attended by almost all of the Turkish participants plus Professors Lewis and Bienen from Princeton. There was striking improvement in the individual papers. Almost all were up to a good mark, some were outstanding. Authors essentially converged on an illuminating interpretation of the historical background of equity issues in Turkey, on the pattern of development vis-a-vis equity issues, 1950 to date, and on the impact of such variables as agricultural modernization, the changing balances between countryside, towns, and metropolitan areas, migration, planning priorities, industrial and labor policies, and education. If Turkey has been considered something of a test case until now of the workability of "incrementalist" redistributive reform, the consensus was that the future is in considerable doubt with regard to the success of income distribution policies.

The convergence of results is reassuring as to the workability of the project's procedural methodology (heavy emphasis on intra-project meetings, exchange, and comments) and it owes a good bit to the clarification of concepts, definitions, and common data sources made earlier on. Also the Istanbul meeting considered a second draft of the overview chapter. Revised drafts of the individual papers will be received in mid-September 1978. Early in October at Princeton the principal investigators and the Princeton group will gather to check the drafts received, and to complete the overview statement. Perhaps following some intervening copy editing, a manuscript should be ready to present to publishers in the late fall.

The Nigerian project, after the difficult and delayed start recounted in earlier reports, also has been moving well during the past year. It reached its first draft, major-project-meeting phase almost eleven months after the Turkey exercise, but it now plans to accomplish the second "half" of the work somewhat more quickly than in the Turkish case. The meeting mentioned was held at the University of Lagos, July 17-21. The American contingent included Bienen, the Princeton principal investigator, Lewis, David Morell, and Donald Morrison (MIT political scientist who had been recruited to strengthen the political side of the study). As explained below, three colleagues from Egypt attended. Almost all of the Nigerian participants were present, although in something of a serial way because of unforeseen overlap with their University obligations. The latter had been extended in time because of the closing of Nigerian universities during part of the spring). Most of the papers were substantial first drafts. They were subjected to particularly intensive discussion, and this, again, is now being followed up by the provision of detailed written comments. It is expected that the revised papers together with a preliminary overview draft will be ready for review at

a meeting in February 1979.

At present the strong points in the Nigerian set are a major, comprehensive, empirically original study of the inter-class, interregional and rural-urban equity effects of the Nigerian educational system by Diejomaoh and Anusionwu, a rather trail-breaking examination of the equity effects of financial intermediaries by Teriba, a solid original analysis of income taxation by Omorogiuwa, a careful analysis of industrial incomes and policies by Fajana, the promise of some very illuminating, previously unpublished survey data on rural-urban conditions and attitudes to be presented by Morrison, drawing on the ideas and support of Nigeria's leading political scientist, Professor Billy Dudley, and Bienen's general political analysis. There is a serviceable first draft also on recent economic history by Rimmer and work has begun in the agricultural/rural areas. The last needs much development, but reinforcement now has been recruited in the person of Dr. F.S. Idachaba, presently with the staff of the International Food Policy Research Institute.

In a sense, as fully expected, the Nigeria study is replete with data problems, but none has become a blocking factor; participants are exhibiting resourcefulness in squeezing information from existing sources. Similarly, analytical methodology presents no disruptive problems. Much of it has been reviewed and criticized in great detail in the review of individual draft papers, but we expect responsive improvements in almost all instances. Certain key conceptual and definitional issues still are under debate within the project -- e.g., the dividing line between "rural" and "urban," and which benchmarks should be used for defining upper or higher incomes. But these will be resolved under the strong leadership of one of the principal investigators, Professor Victor Diejomaoh, now the Dean of Social Sciences at the University of Lagos.

As noted in a letter of July 31, 1978 from project director Lewis to Mr. Silverstone of AID, the Nigeria project faces a financial problem. The depletion of "research expenses fund" has run far ahead of expectations because of the staggering inflation Nigeria has experienced since the project budget was drawn. Also Professor Diejomaoh's compensation as principal investigator needs moderate supplementation, both because of the heavy project responsibilities he is now so ably carrying and as a matter of cross-country equity under circumstances where Nigerian professional salaries probably are at least as high as Turkish and Egyptian salaries. Accordingly -- there being nothing else squeezable in either the Nigerian part or the rest of the project budget -- we strongly request a supplement of \$12,500. This request has been endorsed by Ambassador Donald Easum.

In August 1977 the project agreement and budget were amended to cover a similar country project in Egypt, where, under the leadership of Dr. Gouda Abdel-Khalek, a team of Egyptian social scientists, comparable in their numbers, quality and inter-disciplinary mix to the Turkey and Nigerian participants, has been recruited. As projected from the beginning of our Egyptian "exploration" and confirmed at the project planning meeting held in Cairo in January 1977, the Princeton principal investigator is Professor Robert Tignor, an economic historian. Also participating are political scientists Fouad Ajami, Henry Bienen, and Michael Danielson, and economists Charles Issawi and John Lewis. Also (see below) the Dean of the Woodrow Wilson School, Donald Stokes, has had occasion to become involved in his capacity as a specialist in survey research.

At the turn of 1977-78 a small crisis occurred: it had been arranged for the project to be administratively lodged in Cairo with the Institute of National Planning, but a change of directors of that institution

made this no longer agreeable. Dr. Abdel-Khalek quickly was able to find a new home for the venture in the highly regarded National Council for Sociological and Criminological Research headed by Dr. Ahmad M. Khalifa. The AID/Egypt Mission, interested in the project and currently doing an excellent job of monitoring it via Mission economist Peter Davis, has been most helpful with the provision of some reinforcing blocked-currency funding. Thus the Mission made it possible for several of the Egyptian participants to attend both the major conference reviewing the draft Turkey papers at Warwick in August 1977 and the comparable Nigerian conference at Lagos in July 1978. These were useful learning experiences for the Egyptians, and, equally, their comments and suggestions were valuable to the authors of the Turkey and Nigerian papers.

Even more important, given the major recent data gaps in Egypt, has been the willingness of the AID Mission to fund a major rural-urban household survey, designed by the Egyptian participants in consultation with the National Council of Sociological and Criminological Research, the organization, highly experienced in survey research, that is to conduct the survey. Dean Donald Stokes was recruited in March to come to Egypt as a consultant to the AID Mission for purposes of advising the Egyptians on the design of the survey and its instruments. Although, after that, the survey exercise seemed to be on track, a worrisome period came in early June with the news that Dr. Khalifa had decided to shelve the venture -- as it turned out because of uneasiness about its sensitivity in the light of the new political constraints the Egyptian government had announced in May. However, Tignor, visiting in June, succeeded with the Egyptian participants in culling a few more overtly sensitive questions from the questionnaire without significantly weakening its value; and

when Lewis and Bienen visited in mid-July Dr. Khalifa indicated his intention to proceed. This news came as a great relief to the Egyptian participants, both because a number of their individual studies are depending heavily on the survey and as a signal that, after a time of questioning, the political acceptability of the project and hence of their participation in it seemed to have been reconfirmed.

A series of Princeton visits to the Egypt project is in progress. Tignor, traveling with Stokes, attended a multiday project meeting of the Egyptian participants in Cairo in March at which progress reports were presented and discussed. As indicated, Tignor visited again for two weeks in June. Lewis and Bienen visited in July for five days between their Istanbul and Lagos stops, consulting with Abdel-Khalek and most of the Egyptian participants individually; Tignor will visit again in September, and Ajami will pay an extended (about six weeks) visit beginning in September, partly to consult with counterparts, mainly to work on his own contribution to the study.

In general the work is proceeding well and expeditiously. Several papers already are in substantial preliminary draft or outline. New data sources that have emerged in the past eighteen months have been identified and are being exploited; these together with the results of the project's "own" survey should permit the completion of a strong set of first drafts now scheduled to be reviewed at a project meeting with several of the Princeton group in January 1979. No major methodological problems are evident. There have been some hitches: One (INP) agricultural economist had to drop out and another (also INP) agricultural economist has been recruited to take his place; his work therefore will somewhat lag the group. And the economist who, in the Egyptian group's own enthusiasm to probe deeply, had been recruited empirically to penetrate the whole

issue of corruption has, in the aftermath of Sadat government's political tightening in May, thought better of it (not only for his own sake but the viability of the whole project) and decided instead to write on income taxation--a subject that plainly needed treating. We still are dissatisfied with the thinness of urbanization issues in the Egypt project and still hope to bring more of Michael Danielson's expertise to bear. But on the whole prospects are good. The Princeton side has been greatly strengthened by the addition to our faculty and research team of John Waterbury who has much experience in Egypt and who will contribute on the urban side.

Experience of the past year only reinforces an estimate made in last year's annual report: the cross-country comparability of the individual country studies is and will be considerably better than was projected in the original project proposal. This is because of the recasting of the Nigeria project along lines of the Turkey coverage; the conformance of the Egypt design to the same pattern--and, indeed, of the Thai design if that should also be funded (see below); the extent to which we have had cross-project representation in country-focus meetings; and selective reinforcements of the original teams (in all three countries) to fill gaps noteworthy not only for their within-country significance but for their attention in the other country studies. At the same time, the theory of each country study emphasizes the importance of focusing on aspects unique to that country, and in each case implementation is proving faithful to this principle.

IV. Dissemination and Utilization

AID received copies of the Turkey draft papers presented at the August 1977 Warwick conference. Since the improved drafts presented at Istanbul in early July are so close to completion, we will not provide these until they have undergone final revision and an overview chapter is completed--probably before the end of October 1978.

Some of the papers by Princeton participants are being distributed routinely to several dozen agencies, institutes, libraries, and academic departments as Research Program in Development Studies Discussion Papers. The distribution list is appended. The majority of our participants are LDC nationals, and many of them circulate their draft papers in their own countries.

During the next few months the finished Turkey manuscript will be ready for presenting to a commercial publisher, the Nigeria volume will be ready by the late summer or fall of 1979 and the Egypt volume by the turn of 1979-80. We hope for but will not insist on a single publisher for all three volumes, preferably one with good distribution links in the respective countries as well as the U.S. The Turkish and Egyptian groups are planning to make their own arrangements for the translation and publication of their respective volumes locally in Turkish and Arabic.

We believe that the hope animating the project, namely that its final products will be of lively interest to policy makers, researchers, and students in the countries studied as well as in the U.S., other advanced economies, and the multilateral agencies, remains realistic. Additionally the exercise is having the by-product effect of building experience in collaborative project management not simply research in three rather large groups of LDC social scientists and one group of American academics.

V. Work Plan

1. Turkey project, in the balance of 1978, following July conference discussed above: September, receipt of final drafts of papers; October, review of final drafts and completion of overview chapter; late fall, submission to publisher.

2. Nigeria project, in 1978-79, following the July Lagos meetings discussed above: by January, receipt of revised drafts, work on overview chapter commenced; February, meeting to consider revised drafts and discuss overview first draft; June, receipt of final drafts; August or September, completion of overview and substantive editing, submission of manuscript to a publisher.

3. Egypt project, 1978: September-October, Tignor and Ajami visits to Cairo; December, receipt of first drafts of papers; 1979: January, conference to review first drafts; June or July, meeting to review revised drafts and consider first-draft overview; late summer or early fall, receipt of final drafts; by about the end of calendar year, completion of overview and substantive editing, submission of manuscript to publisher.

4. Meanwhile, in accordance with the original four-country concept of the project, after extensive interchange with a group of putative Thai colleagues, we have submitted to AID/Washington a draft proposal for a similar project on income distribution in Thailand which, following revision, we hope may be accepted as a further amendment to the overall project and be funded in late FY1978 or early FY1979. It will involve the same kind of approximately 2 1/2 year cycle as its predecessors.

5. In the coming year planning will commence for the cross-country papers or monographs that, near the end of the composite project, the Princeton group will write drawing selected lessons across the set of country studies.

VI. Minority Involvement

Recruitment of participants for individual country studies was handled largely by the principal investigators in the host country. Most of the personnel on the Turkey project are Turkish nationals, and two are women. On the Nigerian project, most are Nigerians, although there are no women. The Egyptian project is staffed mainly by Egyptians, with two women participating. The proposed Thai project participants are mostly of Thai nationality, with one female principal investigator and one female participant.

The Princeton participants, drawn from the ranks of existing faculty members, are all white males; one is a native of Lebanon, another of Egypt.

VII. Princeton Personnel Changes

Professor Lewis, the director of the project, will be leaving it in January 1979 because of his nomination by the U.S. and probable election as the next Chairman of OECD-DAC. He, however, hopes to remain partially active in the project, attending selected meetings, advising on certain papers, and contributing to Princeton's final cross-project commentary. In his absence Professor Bienen will assume the directorship of the project and of RPDS.

Reinforcement of the Princeton economics input will be provided by Assistant Professor John Page, now of the Stanford Food Research Institute, who is joining Princeton's Woodrow Wilson School and Economics Department in September 1978, very probably by a senior development economist to be recruited during 1978-79, and by the use where appropriate of economics consultants from other American universities (e.g., Bent Hansen of the University of California, Berkeley, in the case of the Egypt project).

R.P.D.S. has just been augmented by the arrival (in July 1978) of Dr. John Waterbury as Research Political Scientist and Lecturer with the rank of Associate Professor. He will be involved in the Egypt and the proposed Thailand projects as well as in the cross-country work.

Thanks to the addition of Dr. Waterbury and the capabilities of an able team of secretaries headed by Administrative Secretary Jean Nase, it has been possible for R.P.D.S. to economize by eliminating, as of August 1978, the position of Executive Assistant formerly held by Susan Chizeck. However, we stand ready, as the work requires, to appoint new research assistants and to employ part-time editors.



SSIC NUMBER

NOTICE OF RESEARCH PROJECT

SUPPORTING ORGANIZATION:		SUPPORTING ORGANIZATION NUMBER(S):	
Agency for International Development		Contract No: otr-c-1492 and/or Control No:	
PROJECT TITLE:			
Less Developed Country Income Distribution and Public Policy			
INVESTIGATOR(S):		DEPARTMENT/SPECIALTY, School or Division	
John P. Lewis Director, Research Program in Development Studies		Woodrow Wilson School of Public and International Affairs	
PERFORMING ORGANIZATION:		PERIOD FOR THIS NRP:	
Name and Address:	Woodrow Wilson School Prospect Avenue Princeton University Princeton, New Jersey 08540	Start Date:	June 30, 1976
Including Zip Code.		End Date:	March 31, 1980
		Annual Funding:	\$722,618 (Approx.)
PROJECT SUMMARY: Be brief-200 word maximum: (Include Objective, Approach, Current Plans and/or Progress)			
<p>Project objectives are to assist developing countries and donor agencies in meeting their need for a better understanding of ways to improve formulation and implementation of social equity objectives within the context of economic development efforts.</p> <p>Work is proceeding on studying the economic and political aspects of income distribution, especially the effects of government policies on distributional outcomes in Turkey, Nigeria, and Egypt. Subjects being addressed are the general economics, politics, and historical-ideological framing of income distribution, rural/agricultural, rural-urban, and urban dimensions, and the equity of taxation, agricultural policies, education, other public services, industrial policies and unionization. Draft of the papers on Turkey are in their final stages; it is expected that a manuscript will be ready for a publisher before the end of 1978. The Nigeria papers are in preliminary draft, having been collectively reviewed by the participants. The Egypt papers, whose authors are in process of receiving a series of visits by Princeton participants, are well underway; first drafts are expected in January 1979.</p>			

IX. BUDGET

Line item No. ^{1/}		Expended from 6/30/76 to 6/30/77	Expended from 6/30/77 to 6/30/78	Remaining	Total
I.	Subject to only nominal Princeton University Indirect Costs:				
A.	<u>Turkey Country Study Costs</u>	<u>\$46,580</u>	<u>\$ 9,303</u>	<u>\$ 31,517</u>	<u>\$ 87,400</u>
1.	Salary	7,500	1,500	6,500	15,500
2.	Consultants	11,500	7,773	13,227	32,500
3.	Local research expenses	27,580	30	11,790	39,400
B.	<u>Nigeria Country Study Costs</u> ^{2/}	<u>21,090</u>	<u>32,088</u>	<u>26,422</u>	<u>79,600</u>
4., 5.	Salary and consultants	4,975	7,968	26,457	39,400
6.	Local research expenses	16,115	24,120	(-35)	40,200
C.	<u>Egypt Country Study Costs</u>	<u>--</u>	<u>36,075</u>	<u>87,550</u>	<u>123,625</u>
8.	Salary	--	3,000	4,500	7,500
9.	Consultants	--	10,625	24,375	35,000
10.	Local research expenses	--	22,450	33,675	56,125
11.	International travel and subsistence	--	0	25,000	25,000
D.	<u>Conferences and Meetings</u> ^{3/}	<u>25,498</u>	<u>18,767</u>	<u>51,575</u>	<u>95,840</u>
7. } 12. } 13. } 17. } 18. } 19. }	Planning conferences for Nigeria, Egypt, "fourth country"; international travel, in-country per diem, and in-country travel of Princeton participants; cross- country task force meetings				

IX. BUDGET (continued)

	Subtotal: categories A., B., C., D.	\$ 93,168	\$ 96,233	\$ 197,064	\$ 386,465
14.	Princeton indirect costs in A., B., C., D.	<u>3,120</u>	<u>0</u>	<u>2,080</u>	<u>5,200</u>
	SUBTOTAL: Items subject to only nominal Princeton indirect costs	\$ 96,288	\$ 96,233	\$ 199,144	\$ 391,665
II. Subject to USG-Approved Princeton University Indirect Cost Rate					
	E. <u>Princeton University Costs</u> ^{3/}	<u>43,198</u>	<u>56,734</u>	<u>234,668</u>	<u>334,600</u>
15.	Salaries and fringe benefits	17,139	33,799	105,496	156,434
16.	Research assistants	5,082	1,531	4,787	11,400
20.	Duplication and printing	0	0	21,000	21,000
21.	Editorial assistance	0	0	6,000	6,000
22.	Research coordination	6,198	1,995	5,807	14,000
	Subtotal: Princeton direct costs	\$ 28,419	\$ 37,325	\$ 143,090	\$ 208,834
23.	Indirect costs ^{4/} (a) Through FY 1978 @ 52%	14,779	19,409		
	(b) Beginning with FY 1979 @ 64%			91,578	
	Indirect costs: (a) plus (b)				125,766
	GRAND TOTAL	<u>\$ 139,486</u>	<u>\$ 152,967</u>	<u>\$ 433,812</u>	<u>\$ 726,265</u>

Footnotes:

1/ Line items numbers refer to AID contract amendment of 8/31/77 to contract No. AID/ptr-C-1492.

2/ Contract amendment uses nomenclature of "salaries" for principal investigators' fees, "consultants" for participants" (i.e., authors') fees. In the case of the Nigerian, unlike the Turkish and Egyptian, principal investigators, these two components of compensation have not been differentiated. Nigerian planning conference (item No. 7) has been included with other country-project planning conferences under D. below.

3/ Items 17, 18, and 19 in the contract amendment table (international travel, per diem, and in-country travel of Princeton participants) have been reassigned from E. to D. because Princeton had agreed that these items would not be subject to its normal indirect costs.

4/ The 52% rate was the one built into the contract. However (see text) resident DOE auditors recently have recalculated the Princeton indirect cost rate at 64% beginning July 1, 1978, and under standard practice this is expected to become effective for all U.S. Government contracts with the University.

East-West TDI Resource Materials Collection 1777 East West Road, Lincoln Honolulu, Hawaii 426 96822	DIRECTOR Program on Comparative Economic Development Cornell University 260 Goldwin Smith Hall Ithaca, N.Y. 14850	
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