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EVALUATION OF THE POPULATION COUNCIL'S
INTERNATIONAL AWARDS PROGRAM ON THE
DETERMINANTS OF FERTILITY

A Report Prepared by:
DR. JAMES MCCARTHY
DEPARTMENT OF POPULATION DYNAMICS
THE JOHNS HOPKINS UNIVERSITY

DR. THOMAS MERRICK
CENTER FOR POPULATION RESEARCH
GEORGETOWN UNIVERSITY

DR. CHARLES WESTOFF
OFFICE OF POPULATION RESEARCH
PRINCETON UNIVERSITY

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PREFACE

The purpose of this evaluation is to assess the effectiveness of the International Awards Program on the Determinants of Fertility, administered by the Population Council and funded by the United States Agency for International Development, Office of Population. In carrying out the evaluation, the team reviewed Program files and met both with AID staff and Population Council staff. This report presents the results of our efforts, which culminated in a series of recommendations related both to the International Awards Program and more generally to the role of AID in supporting social science research on population.

This evaluation follows a management review conducted by Dr. Judith Seltzer, the AID project monitor, in June 1983. That management review provided an extremely thorough overview of the origins and accomplishments of the International Awards Program. The present evaluation has as its first objective an assessment of the effectiveness of the Awards Program in light of the following four broad objectives of the Program:

1. to sponsor innovative research which examines factors determining changes in fertility in different cultural settings and under varying socio-economic conditions;
2. to support research relevant to population policy considerations;
3. to encourage the participation of LDC researchers and research institutions; and
4. to disseminate research findings to government officials, policy makers, scholars and others in relevant national and international organizations.

More specifically the team was asked to address eight aspects of the Awards Program: 1- Review Process; 2- Solicitation and Development of Proposals; 3- Research Priorities Statement; 4- Orientation of Approved Projects; 5- AID's role in the Awards Program; 6- Management; 7- Dissemination; and 8- Funding. These eight issues are related specifically to the Population Council's International Awards Program. The evaluation team was also asked to consider more broadly AID's potential role in population policy research. The AID project paper authorizing the Population Policy Research Project, under the auspices of which the International Awards Program is carried out, will end in March, 1987. The evaluation team has been asked to make recommendations for a follow-on project to be developed by AID. A ninth item was included in the scope of work to provide focus for this aspect of the evaluation. A complete text of the scope of work for this evaluation is presented in Appendix 1.

The evaluation began with a briefing of the team at AID Office of Population on the morning of December 5, 1983. The briefing was attended by representatives of the Office of Population and its Policy Development Division as well as by representatives of the various AID regional bureaus. A complete list of those attending the briefing is contained in Appendix 2. During the briefing AID staff provided an overview of the International Awards Program and elaborated on the scope of work prepared for the evaluation team.

On the afternoon of December 5, and on the following day, the team attended a meeting of the Program Committee, which was meeting in one of its regular sessions to review proposals submitted to the Awards Program. During the session, the evaluation team was able to observe the process through which both preliminary and full proposals are evaluated. We were

also able to discuss more generally the Awards Program with the Program Committee, and with some Population Council staff members.

The evaluation team spent January 3 and 4 at the Population Council's offices in New York. Over the course of those two days we were able to meet with all the Population Council staff involved in the awards program and with George Zeidenstein, the Council's President. A complete list of all those in attendance at the meetings is also presented in Appendix 2. We were able to meet with Charles Keeley, the director of the Awards Program, during our meetings in Washington but he was not able to be at the New York meetings because of a recent illness. Mead Cain served as acting director, and was our principal contact with the Council throughout the evaluation.

On January 16, Drs. Merrick and McCarthy spent the day meeting with regional population officers in each of the four AID regional bureaus (Africa, Asia, Near East and Latin America). These meetings provided an opportunity for discussion of the Population Council Awards Program, in particular, as well as for discussion more generally of AID's role in population research. A list of individuals contacted is presented in Appendix 2.

Finally, on January 18, the entire evaluation team met with the Director and Associate Director of the Office of Population, with the Head of the Policy Development Division and with the monitor of the Population Council Awards Program. The purpose of this meeting was to discuss in more detail the last item on the scope of work, namely future directions of AID's policy research program on population.

Following this meeting the evaluation team prepared drafts of the report, and met again in Washington on March 5 to review those drafts, and to prepare a final version of the report.

EXECUTIVE SUMMARY

This evaluation of the International Awards Program on the Determinants of Fertility, administered by the Population Council and funded by the United States Agency for International Development, addresses eight aspects of the Awards Program: the review process; solicitation and development of proposals; orientation of approved projects; AID's role in the Awards Program; management; dissemination; and funding. In addition the evaluation considered more broadly AID's potential role in population policy research. In the course of the evaluation, members of the team met with staff of the AID Office of Population, the AID Regional Bureaus in Washington, the Population Council and with members of the Program Committee of the Awards Program. These meetings took place in New York and in Washington. The evaluation team also reviewed project documents supplied by both AID and the Population Council.

The evaluation resulted in a series of recommendations about AID's role in social science research on population, the participation of the Population Council in such research, and several specific aspects of the present Awards Program. A summary of these recommendations follows.

. AID should continue to support social science research which is focused on the determinants of fertility in developing countries and is, in a broad sense, relevant to population policies in developing countries. This research should be administered by an independent organization which makes research awards based on peer review of proposals solicited from a wide audience. Furthermore, to provide an authoritative justification for utility of social science research, AID should commission an account of social science research projects which have been important in providing direction for population policies.

. Because of its experience with the present program and expertise in many population issues in developing countries, the Population Council is uniquely suited to direct a program on the determinants of fertility in developing countries. A continuation of the present awards program should be administered by the Population Council.

. The Population Council's International Awards Program on the Determinants of Fertility is an important project, one which has been organized effectively and which should produce useful results. To further improve the contribution of social science research, we recommend several ways in which both the Population Council and AID can modify the Awards Program. The Council should take steps to increase the pool of applicants for the Awards Program, and should establish regular contact with AID regional population officers, both to increase the pool of applicants to the Program and to enhance the policy relevance of research supported by the Program. The Council should also undertake periodically the review of the priorities statement which provides the focus for the project, and should prepare more detailed plans for the dissemination of results of projects supported by the Awards Program.

. Finally, because the goals of the International Awards Program are compatible with some of the goals of AID's support of the collection of survey data on fertility and its determinants, we recommend that AID and the Council seek to coordinate future data collection activities with the research activities supported by the Council's Awards Program.

I. INTRODUCTION

The International Awards Program on the Determinants of Fertility was established in October 1980 through a cooperative agreement between the Population Council and AID. The purpose of the program is to sponsor innovative research which examines factors determining changes in fertility in different cultural settings and under varying socio-economic conditions. The Population Council, in consultation with AID, appointed a Program Committee of social science scholars and population experts primarily from outside the Council to help direct the program. The first activity of the Program Committee was to prepare a research priorities statement, which would provide a focus for the program and which would ensure that funded research reflected AID's research and policy interests. The Program Committee approved the priorities statement in April, 1981, and the statement was published in Population and Development Review in June, 1981. The statement included the following eight priority research areas:

1. Proximate Determinants of Fertility

including: lactational infecundability, frequency of intercourse, spouse separation, contraception, etc.

2. Determinants of Marriage Patterns

socio-cultural factors affecting the age at marriage and marriage decision-making.

3. Fertility Decision-Making

including: temporal sequence of fertility decisions; segmentation of decisions by male and female; decision hierarchies; and jointness of husband and wife decision-making.

4. Perceptions of Fertility Settings

the socio-cultural-economic environment in which decisions are made.

5. Economics of Children

not the perceived value of children, but more objective measures of the costs and benefits of children--including such perspectives as investigations of children as forms of risk insurance.

6. Institutional Contexts of Fertility

examinations of local institutions and socio-cultural structure which generate incentives or disincentives bearing on fertility.

7. Family Planning

suggesting a focus upon users' perceptions of accessibility and availability of family planning; and, case studies of pilot projects or innovative community or development projects effecting prevalence.

8. Fertility Implications of Development Programs and Strategies

concentrating on: specific projects or programs which have a likelihood of fertility effects, in which changes at the local level can actually be recorded or observed, and which have an adequate retrospective data base; and, comparative policy analyses of development strategies in terms of fertility settings.

In addition to being relevant for population policies, research supported by the Program was to be innovative, and was to encourage the participation of researchers from less developed countries, either alone or in collaboration with developed country researchers.

Proposals submitted to the Program are reviewed in a two-stage process developed by the Program Committee. In the first stage, investigators submit a brief preliminary proposal which is reviewed by the Program Committee. The Program Committee determines whether the preliminary proposal is in line with the objectives of the Awards Program and is of sufficient merit to warrant requesting a full proposal. In some cases Council staff members are asked to visit investigators for the purpose of providing assistance in the development of full proposals. This technical assistance has been particularly helpful in some proposals from less developed country institutions.

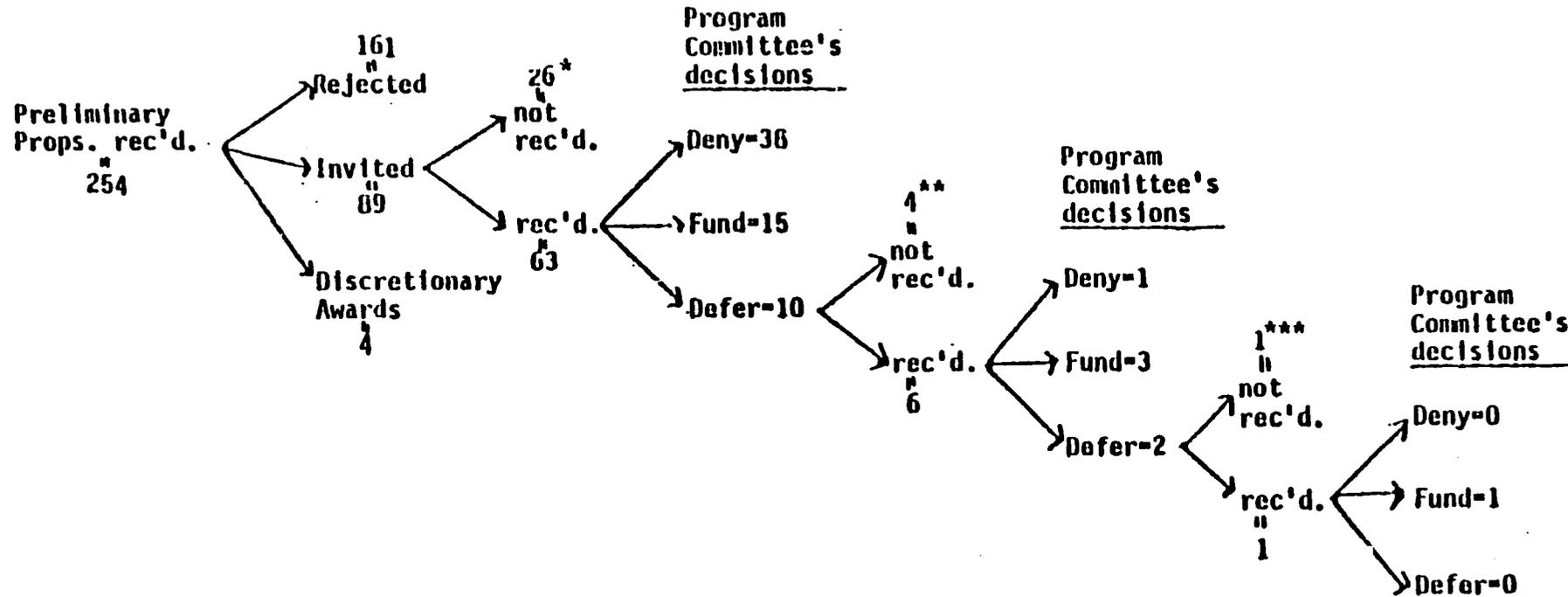
Full proposals are first reviewed by a Peer Review Committee, which has been appointed by the Program Committee. The Peer Review Committee prepares written evaluations of each full proposal and transmits these evaluations along with recommendations to the Program Committee, which makes the final decision on whether a project is to be funded. Population Council staff members also participate in the review of proposals by both committees.

As of June 1983, 254 preliminary proposals have been submitted. Of these, 89 were invited to submit full proposals; 63 were received and 19 have been funded to date. Table 1, taken from the AID Management Review, presents a flow chart of proposals submitted to the Program.

Table 2, also taken from the AID Management Review, lists approved proposals by research priority areas covered by each proposal. Results in this table show that although all priority areas are being addressed by at least one project, the projects are not equally distributed across all areas.

Table 1

Flow Chart of Preliminary Proposal submitted to the Determinants of Fertility Program
(from the start of the Program through April 8, 1983)



* Includes 5 proposals "invited" during the April 1983 Program Committee meeting. See the attached list for information on the status of proposals "invited" but not yet received.

** Includes 3 full proposals that were "deferred" during the April 1983 Program Committee meeting and full proposal no. 82/0491 that was "deferred" in December 1982.

*** Full proposal no. 81/0491 was "deferred" twice by the Program Committee. The P.I. wrote a letter to the Population Council in January 1982 thanking the Committee for its comments. There has not been any correspondence since that time.

Table 2

Summary of Approved Proposals by Research Priority Areas

	Proximate Determinants	Determinants of Marriage Patterns	Fertility Decision Making	Perceptions of Fertility Settings	Economics of Children	Institutional Contexts of Fertility	Family Planning	Fertility Implications of Development Programs and Strategies
LeVine			X	X		X		
Hill & Randall	X	X		X	X	X		
Simpson-Hebert	X			X	X	X	X	
Ryan, et. al.					X	X		X
Page & Lesthaeghe	X					X		
Huffman, et. al.	X							
Debavalya, et. al.	X	X	X	X		X	X	
Goldstein			X	X	X		X	
Caldwell	X	X	X	X	X	X	X	
Langsten, et. al.	X							X
Locoh & Assogba	X	X			X	X		
Kreager			X	X		X		
Wolf		X					X	
Kanbargi & Dyson					X			
Hermalin, et. al.	X						X	
Adeokun	X				X			
Ouaidou & van de Walle	X			X	X	X		
Dandler & Balan		X	X					
Pebley & Mbugua	X	X						
Gray, et. al.	X							
Total	13	7	6	8	9	11	6	2

Although most funded projects are still in process, results from a few have begun to appear in professional journals, notably Population and Development Review. Most projects expect that books and articles in professional journals will be their end product. Some propose seminars and conferences as a method of disseminating research findings.

The above review is intended only as an introduction to the International Awards Program. Many of the issues raised will be covered in much more detail in following sections of the report. We present our findings related to the Awards Program in the next section, addressing each of the eight points in the Scope of Work. In Section III we address the ninth point in the Scope of Work, future directions of AID's policy research program in population. Finally, our recommendations are summarized in Section IV.

II. FINDINGS

II.1 Review Process

Proposals submitted to the Awards Program go through a two-stage review process. First, investigators are asked to submit brief preliminary proposals, outlining the nature of their proposed research and providing a rough budget. These proposals are reviewed by the Program Committee and by Population Council staff. Investigators whose proposals are deemed promising are asked to submit full proposals, providing more detailed discussions of the issues to be addressed, the procedures to be followed, and the estimated costs. These full proposals are reviewed first by the Peer Review Committee and the Population Council staff, which provides a written evaluation of each proposal and a recommendation as to whether the project should be funded, and next by the Program Committee which makes the final decision on funding.

The evaluation team was able to observe the Program Committee at its December 1983 meeting, during which both preliminary and full proposals were reviewed. We also were able to review the written evaluations made by the Peer Review Committee of some full proposals. It is clear that both Committees provide extremely thorough reviews of all applications. The reviews focus both on the scientific merit of projects and on the extent to which projects fall within the guidelines established for the Awards Program. Both Committees, whose members are listed in Appendix 4, are composed of well-regarded researchers in the population field. Committee members take their roles very seriously and invest considerable time in the review process. The Awards Program benefits considerably from the experience and expertise which the members of the Program Committee and the Peer Review Committee provide. The thorough, independent, peer-based

review system implemented by the Awards Program has considerable merit, and in fact is one of the strengths of the Program.

However, the organization of the review process into two separate stages has been of some concern, largely because of the time involved. In the AID Management Review (pg. 11) estimates were provided of the various subintervals which made up the time between receipt of preliminary proposals and the execution of final agreements. Of this total interval of 14.2 months, 2 months were taken up by the review of preliminary proposals and 2.2 months by the review of full proposals.* Clearly, a two-stage review process increases the time it takes for a successful proposal to complete the entire review process, but the increase is modest. Furthermore, the two-stage process had advantages both for researchers and reviewers. Researchers benefit because they are given the opportunity to submit a preliminary proposal without having to spend the time required on a full proposal, time that would be required if a one-stage review process were instituted. Only after a preliminary proposal has been judged to have some promise does an investigator have to invest in the effort of producing a full proposal. Reviewers benefit because they can easily decide, based on a short preliminary proposal, whether a study fits the Program's guidelines and whether it has merit. They are then able to invest considerably more time in reviewing detailed proposals. In fact, if reviewers were ex-

*The interval of 14.2 months is relevant only for those proposals which are ultimately successful. For the vast majority of investigators the waiting time to a decision is very short. For those whose preliminary proposals are turned down, the average interval is only 2 months. For those invited to submit full proposals but who are not ultimately given an award, the interval is only 7 months. The majority of the total interval for successful applicants, 7.2 out of 14.2 months, consists of administrative activities related to negotiation, approval and execution of subordinate agreements by AID and the Population Council.

pected to consider a larger number of full proposals, which result from a one-stage review, the total length of the review process would probably not change.

in the aggregate, the two-stage review process is the more efficient alternative, particularly for the larger projects supported by the Awards Program. It is possible, however, that investigators interested in funding small projects are not well-served by the present review process. An investigator contemplating a large multi-year research project is not likely to be as concerned by a 15 month interval between submission of first proposal and award as would an investigator interested in funding a modest, one-year project. A mechanism exists in the Awards Program to take care of such situations. The Program Committee can decide to make a discretionary award, based only on the review of a preliminary proposal, and in fact the Committee has made several such awards. This mechanism is an extremely useful and efficient one. Unfortunately, the availability of small discretionary awards is not well-publicized. The Awards Program should, in future publications, emphasize the availability of such discretionary awards and the Program Committee should consider the possibility of increasing the number of discretionary awards made.

inally, the team was also asked to examine the role and effectiveness of the Committees and staff in reviewing and negotiating budgets of proposed research projects. It was clear to the team that the Committees did consider budgets in their review and that they did suggest modifications. Furthermore, the staff has been very attentive to the need to reduce budgets to a minimum. This issue is addressed in more detail below in Section II.8.

II.2 Solicitation and Development of Proposals

in an attempt to solicit proposals from a large and varied group of population researchers, The Population Council announced the Awards Program widely in its first year. In addition to the publication of the research priorities statement in PDR, the Population Council sent short announcements to some 19 journals in both developing and developed countries. A flyer announcing the Program was sent to 76 demographic research centers, to all subscribers to PDR and Studies in Family Planning, and to members of the National Academy of Science's Committee on Population and Demography and its Panels. A supply of announcements was sent to Population Council Senior Representatives and Field Staff and to USAID overseas missions. Approximately 14,000 flyers were distributed in 1981, with about half going to developed country addresses and half to developing countries. A second flyer was prepared in English and French, and 12,000 copies were distributed in March, 1982.

in addition, Population Council staff have undertaken extensive travel for a number of purposes related to the Program including the generation of proposals. Through December 1983, the staff made 27 trips to 19 countries in conjunction with the Awards Program. It is significant to note that 14 of these 27 trips were fully funded by sources other than the Awards Program and 5 were supported in part by other sources. The staff has been able to take considerable advantage of other Population Council activities to promote the Awards Program. A full list of travel is presented in Appendix 4.

That these efforts have been successful is demonstrated by the fact that as of June, 1983, the Population Council had received 254 preliminary proposals. Clearly, the activities of the staff do not stop with the

submission of a preliminary proposal. Many of the trips taken by staff members have been for the purpose of providing technical assistance to investigators who have been asked by the Program Committee to submit a full proposal. This aspect of the Population Council's work has been instrumental in fulfilling one of the main objectives of the Awards Program, to encourage the participation of LDC researchers and research institutions. Without the technical assistance provided by the Council staff, fewer proposals from LDC researchers or institutions would have been approved by the Program Committee.

In Section II.5 below, we discuss one possible modification in the Population Council's activities aimed at the solicitation of proposals, namely more regular contact with AID regional bureau population officers, who are a potential source of information both on investigators in the various regions and on topics of particular interest to AID in the regions.

Finally, we should note that the Population Council's promotion of the Awards Program has necessarily been curtailed recently as a result of uncertainty about future funding. The Management Review recommends several quite appropriate steps, including the preparation and distribution of a new flyer, in French, English and Spanish, announcing the Program. Until the future funding of the Awards Program is secure, however, no more promotion or advertisement would be warranted.

II.3 Priorities Statement

The cooperative agreement between AID and the Population Council called for the development of a research agenda that would specify what areas of fertility determinants research the project would focus upon and what research topics would receive priority in the awarding of contracts.

The types and areas of research were to reflect the evolving research and policy interests of AID.

During the first months of the project, project staff at the Population Council prepared the statement of priorities, which appeared first in CPS Notes (April 1981) and, after being reviewed by the project's Program Committee and AID's Research Advisory committee, was published in Population and Development Review (June 1981). The statement is based upon a review of the fertility determinants literature, drawing on such standard sources as Freedman's The Sociology of Human Fertility and the United Nations' Determinants and Consequences of Population Trends, as well as reports by the International Review Group of Social Science Research on Population and Development and the National Academy of Sciences Panel on Fertility Determinants. It includes an assessment of the adequacy of the knowledge base about fertility determinants and identifies major knowledge gaps. The statement is a concise and comprehensive assessment of the state of knowledge about fertility determinants in developing countries, and provides potential applicants with a useful set of guideposts for developing research proposals. The summary explanations of the first six priority areas fit more clearly into the logic of the review and assessment of the knowledge base in the first section of the statement than the last two areas (family planning and fertility impacts of development). The statement is not as clear about the knowledge gaps in these two areas, or on how innovative research activities might contribute to narrowing them.

The evaluation team discussed the possibility of revising or adding areas to the priorities statement with both AID and Population Council staffs. The team was particularly interested in the advisability of broadening the scope of research support to include other social-economic-

demographic relationships in developing countries, particularly such topics as migration and population distribution, health and mortality, and impacts of population on social and economic development. The general reaction to the suggestion was, first, that such a broadening would dilute the already limited amount of support that was being focused on the priority question of fertility determinants, and second, that other AID projects were focused on topics such as the impact of population on development. (While the team agreed in principle with the view that the present focus on fertility determinants should be maintained, it also felt that directing more explicit attention to fertility as part of a larger system of reciprocal interactions between demographic and socio-economic change could yield insights into reproductive behavior that might be neglected in considering fertility exclusively in the role of dependent variable.) It may be possible to fit such ideas into the existing list of priorities. At the same time, the research community might also benefit if fertility determinants research issues raised at meetings such as the IUSSP seminar on Income Distribution and the Family (Population and Development Review, 1982) or discussions at the recent PISPAL meeting in Mexico City (November, 1983) could be spelled out in a form that would serve as a guide to applicants to the program.

The evaluation team did not fully comprehend the response of the program's managers to the suggestion in AID's management review that the priorities statement be reviewed and revised on the basis of experience with the program to date. The response asserts that no revision is needed, first because AID offered no specific suggestions for change except to indicate concern about the limited number of projects in the last two priority areas (family planning and fertility impacts of development

programs) and second because project managers felt that neither their experiences in reviewing proposals nor the report of the National Academy of Science's fertility determinants panel indicated a need for change. At a minimum, it would have been helpful to have been able to read a more detailed justification of this view. It is hard to believe that in the process of screening more than 300 preliminary proposals, or in the many volumes of materials published under the auspices of the National Academy project, there were no significant experiences or insights on which to base refinement or redirection of a document that was drafted in the early months of the project.

while major reorientation of the priority statement may not be warranted, some sort of periodic review (perhaps in the form of a reflective essay in the Population and Development Review or further elaboration on a priority area for which response has been more limited) could be beneficial to potential applicants and should be given consideration if the project is extended. Additional suggestions about priority areas in which responses have been limited are discussed in the next section.

II.4 Orientation of Approved Projects

Three sets of questions about the orientation of approved projects are raised in the terms of reference for the evaluation: (1) To what extent have projects funded by the program adhered to stated priority areas and program objectives? (2) How might its policy and programmatic relevance be enhanced? and (3) How might more innovative approaches be encouraged? Questions (2) and (3) touch on two specific program objectives, a third being maximization of the participation of LDC researchers.

At the time that the evaluation was initiated (late 1983), 20 projects were being funded by the program (with some involving more than one subcontract; also, two projects were approved but not funded because of problems with AID or government clearance). Of these, 5 were submitted by LDC institutions, 15 involved some form of collaboration between institutions in developed and developing countries, and 5 were from institutions in developed countries. Four of the developed country awards were smaller discretionary grants, so that the percentage of funding going to developing countries was substantially greater than the percentage of awards to LDC institutions. Both the amount of support to and the nature of involvement of LDC institutions indicates that the program has taken seriously the program objective of involving LDC researchers in the mix of awards that have been made.

The list of approved research projects also reflects concern for the project objective of supporting innovative approaches to the study of fertility determinants. The emphasis on innovativeness is particularly marked in projects involving developed country institutions. With the exception of a few studies for which, in addition to overall scientific merit and appropriateness in relation to research priorities, consideration was given to the strong involvement of LDC institutions, most projects involved some sort of methodological innovation. In most instances innovations have focused on the creation of richer empirical bases for research than have been available in the past. Approaches that combine different methods of data gathering or that build on a succession of data files have been tried in several projects: for example, the linking of anthropological data with demographic surveys in the study of migration and fertility decline in Bolivia and Argentina, the combination of demographic

surveys with information on marketing practices and/or administrative records being utilized in the study of infant feeding decisions in the Philippines, and comparative and/or evaluative analyses of WFS and other fertility survey data in the light of cultural, anthropological, and historical information about the contexts in which the data were generated as is being done in the work on WFS surveys in Africa and with a variety of surveys in Thailand. One by-product of this effort will be a variety of unique data files for African populations that have experienced little fertility decline. In other cases the innovations relate to the way in which information is being analyzed or to the development of new theoretical frameworks, as illustrated by the study of family structure and fertility which seeks to extend earlier economic models of household behavior to examine the role of "tastes" in the context of extended family households.

Since most of the projects are still underway, it is too early to determine whether these innovations will lead to significant methodological or theoretical advances in knowledge about fertility determinants. Since breakthroughs involve a combination of factors that are hard to plan or program (getting the right person or people to ask the right questions at the right place and time with the right theoretical and empirical approach), it is difficult to make concrete recommendations about how to enhance the innovativeness of research supported by the project. At least four ways of increasing the chances of hitting upon one of the "right" combination of factors would be: (1) to attract more European investigators, who appear to be underrepresented in the list of approved projects; (2) to open the competition to applicants working on doctoral dissertations; (3) to reduce the priority assigned to collaboration with LDC

institutions in order to attract innovative developed country investigators who might not be interested in investing time and effort in collaboration; and (4) to continue and expand use of discretionary grants to support the development of innovative initiatives that require more elaboration before being considered for approval as full projects.

On the question of adherence of the projects funded under the program to the stated priority areas, a review of the list of funded projects indicates that the review process has been quite rigorous in insuring that projects which are approved conform to that program objective (see Table 2). Most of the approved projects related to two or more of the priority areas, with some covering as many as seven. On the other hand, when one examines the number of projects that relate to specific priority areas, the coverage is uneven. Proximate determinants of fertility and institutional contexts of fertility show up in 13 and 11 of the projects, respectively, while the number of projects referring to fertility impacts of development and family planning programs are 2 and 6. The small number of projects in these two areas is a concern to AID, particularly since they are the areas in which additions to the knowledge base could have a greater potential operational interest to the agency.

The distribution of projects by priority area is not something that can be influenced greatly in the process of reviewing and selecting projects since it reflects the interests and capacity of the research community submitting proposals and not the preferences of reviewers for some priority areas rather than others. The limited number of approved projects on family planning programs and on fertility impacts of development programs reflects the limited number of proposals submitted in those areas, and suggests that additional or different types of solicitation

efforts may be required in order to increase the number of submissions of projects that relate to them. Assessments of knowledge gaps and types of research that would be useful are not as well articulated in the fertility determinants literature, or in the priorities statement, for these two areas as they are for the other priority areas. These two areas also involve a mix of "operations research" and "basic research" questions and methods, making them somewhat less natural a fit in a program that is oriented primarily to the latter.

This issue is closely related to the one of policy relevance and the question raised in the terms of reference for the evaluation of how to raise the policy and programmatic relevance of approved projects. Attitudes about the nature and importance of the policy relevance of research supported in this program varied considerably among those interviewed in the course of the evaluation. Representatives of the research community viewed any significant breakthrough in knowledge about reproductive behavior as having policy relevance, and reminded us that the infusion of new knowledge into the level of operations is a slow but pervasive process, particularly in the social sciences. Understandably, AID representatives, particularly those with more direct operational responsibilities, were anxious to have information that had more immediate and direct bearing on programmatic issues and decisions.

The evaluation team agrees with the view of AID's Office of Population that it is important for the Agency to support basic as well as operations research on fertility determinants and family planning action programs, but recognizes that the distinction may be a difficult one to maintain when dealing with topics such as family planning and the fertility impact of development programs. Enhancement of the policy relevance of research will

not be well served by attempting to transform basic fertility determinants research into operations research on family planning (since the operations research area is already given high priority in Office of Population projects), or by charging investigators in basic social science research projects with the responsibility for producing operationally useful information. Operational and policy lessons from basic research are best learned in two ways. First, program officials and researchers can collaborate on identifying knowledge gaps relevant to family planning and development programs, gaps which could be filled by basic research. Second, researchers and their supporting agencies can carry out more systematic efforts to explore the operational implications of findings from completed research projects. Both these approaches require bridging an often substantial gap between the research community and the program community. The seminars involving researchers and representatives from AID and host country institutions that the Population Council has been organizing recently provide a valuable opportunity for this type of communication, and could be used as a mechanism for stimulating interest in and understanding of potential research areas as well as for examining the policy implications of completed research projects (as was contemplated in the cooperative agreement).

With specific reference to the two priority areas for which response in the program has been limited, this suggests that the solicitation process may require more investment in efforts at this type of bridging between the research and operational communities to identify targets of opportunity in which basic research efforts could contribute to expansion of the knowledge base about the fertility impact of family planning and other development programs. If these topics remain priority areas in a

future extension of the project, consideration should be given to the use of seminars, working papers to guide potential applicants, and possibly to specific requests for proposals in these areas.

II.5 AID's Role in the Awards Program

AID has played an active role in the Awards Program. The Agency was involved in the preparation of the research priorities statement, and continues to be represented at all meetings of the Program Committee, in a nonvoting capacity. This participation has been satisfactory both for the Population Council and for the Office of Population. In general, relations between the Population Council and the project monitor in the Policy Development Division have been extremely positive, and undoubtedly have contributed to the success of the Program.

The one serious conflict between the Awards Program and AID occurred as a result of actions not of the Office of Population or the Population Council but of the AID Mission in Brazil. Although that conflict and its outcome seriously compromised the independence of the Awards Program, it appears that the role of AID missions in providing concurrence is now clear and it is unlikely that such a situation will recur.

Although contact between the Awards Program and the Office of Population has been regular and productive, direct contact between the Awards Program and the AID regional bureaus has been sporadic. The familiarity of the regional bureau staff with the Awards Program varied from one extreme to the other. The range of attitudes of bureau staff toward the Awards Program had an equally large variation. Some knew in considerable detail the results of projects supported by the Program and were convinced of the contribution the projects had made and could make to

both AID's understanding of issues in the region and to population programs in the region. Others had extremely negative attitudes towards the Awards Program in particular and population research in general. The attitudes toward the Program were based at times on information which represented only a small part of the Program's activities and activities which occurred in the first year of the Program's existence. In one instance, negative attitudes seemed to result from the mistaken identification of a research project not supported by the Awards Program as being part of the Program.

It was clear from our meetings with AID regional bureau staff that increased direct contact between the bureaus and Population Council staff would be productive for several reasons. First, the Population Council could keep the bureau staffs better informed about the progress of the Awards Program and projects supported by the Program. Second, the Population Council staff could benefit from the views of the regional bureaus concerning both research topics of interest to AID in the regions and the identification of researchers or institutions which might be approached as candidates for proposals to the Awards Program. In developing contacts with regional bureaus, the Population Council should consider development planning officers and other program officers, as well as the population officers.

II.6 Management

The Population Council devotes 2.8 person years annually to the Awards Program. Staff activities include soliciting and reviewing proposals, participating in meetings of the Program Committee and Peer Review Committee, providing technical assistance to investigators during both the proposal-writing stage and the project stage, and monitoring on-going

projects. In addition, the Council staff negotiates contracts and sub-contracts after the Program Committee has made an award.

The activities can be quite time-consuming. Appendix 1 of the Management Review contains an example of Project Monitoring, referring to a project in Togo. Prior to the start of the project the Council staff met twice with the investigator, once in New York and once in Togo. The staff carried on extensive correspondence not only with the investigator but also with the SPSS company concerning the installation of software at the government computer center, and with Battelle staff who were working with the Togolese on the same issue. Additional correspondence followed the official beginning of the project in October, 1982.

Appendix 5 contains another example of the efforts of the Population Council staff in negotiating the final budget of an approved project on Costa Rica. In addition, the list of travel undertaken by the staff (presented in Appendix 4 and described above in Section II.2) provides further documentation of staff efforts. These examples show quite clearly that the Population Council staff are heavily involved in project development, monitoring and assistance. Since one of the major goals of this project is to encourage the participation of LDC researchers and research institutions, extensive staff activities are essential if this goal is to be achieved. The Population Council has taken this goal seriously.

It is difficult to predict whether such extensive commitment of staff time would be warranted in an extension of the present project. It is likely that some staff effort in the early years of the project was related exclusively to start-up activities and that as the project matures and settles into a predictable pattern that less input will be required. On

the other hand, our concerns about dissemination plans (discussed below in Section II.7) imply that additional staff input will be required if the Population Council is to implement a comprehensive, effective plan for the dissemination of project results. The Population Council and AID should consider the changing nature of staff contributions required by the Awards Program and determine appropriate levels and composition of Program staff. It is possible in the later stages of the project that fewer social scientists but more editors and conference organizers will be needed.

II.7 Dissemination

The team has been asked to evaluate plans for the dissemination of results of projects supported by the Awards Program, and to recommend ways for maximizing the program and policy relevance of the results. Results of only a few projects are available at the present, since most projects are still underway.

A comprehensive plan for the dissemination of results of the Awards Program must recognize that several different audiences for these results exist, and that plans must be devised to reach each of these audiences in an effective manner. There are at least three audiences whose needs should be considered: researchers interested in fertility determinants; in-country program officials and policy makers; and outside agencies interested in funding population activities. Obviously AID is the most important component of the last group, but is not the exclusive component since UNFPA and other governmental or nongovernment organizations could well be interested.

Judging from the "Dissemination Plans" sections of project descriptions included in the Population Council's "Monitoring Book," the

research audience will be very well-informed about the results of Awards Program projects. Articles have already begun to appear in Population and Development Review and virtually all investigators propose to prepare papers and/or books for publication in scholarly outlets. Considering the reputations and past achievements of many of the investigators, we expect a significant flow of research results to appear in the coming years. Dissemination plans for the research audience are clear, and likely to be both extensive and effective.

However, plans to reach the other audiences, namely the program officials, policy makers and funding agencies, are less well-developed. Population Council staff have indicated their intention to issue a publication, in the form of Center for Policy Studies "Notes," directed toward a general audience and presenting results of Awards Program projects. This endeavor will undoubtedly be a useful one, and one that should be encouraged. It is unlikely, though, that it will be sufficient.

In addition to such a publication, the Population Council should consider other mechanisms through which the results of selected projects might be disseminated. Although the particular approach taken should be tailored to the results of individual projects, several possibilities exist. Briefings for both AID Washington staff, including the Regional Bureaus, and local mission staffs might be an appropriate way of presenting the results of a project which has implications for AID policy in a country or region. Conferences for host-country policy makers and program officials might also be arranged. In organizing such conferences or briefings, the Population Council should pay particular attention to the characteristics of the audience and focus the presentations accordingly. It is important to note that individual investigators may not always be the

best presenters in these situations. Population Council staff or consultants might be more appropriate.

we should note that the Council staff have proposed four conferences organized around themes common to several proposals. The suggested topics include: 1) Determinants of Fertility in Sub-Saharan Africa; 2) Research and Policy Seminar on Fertility Determinants in the Philippines; 3) Determinants of Natural Fertility; and 4) Determinants of Fertility in South Asia. We expect that these conferences would provide a useful opportunity for investigators to exchange results and ideas. However, it is not clear that such conferences would automatically be of interest to policy makers and program officials.

The Population Council might also consider announcing results of selected projects in widely-distributed publications such as the Population Reference Bureau's Population Today, formerly Intercom. The Council's own publication Studies in Family Planning as well as International Family Planning Perspectives and IPPF's People would also be appropriate.

The evaluation team has not prepared a set of detailed recommendations in this connection. However, we do ask the Population Council to consider the need to disseminate results of the Awards Program project to several quite different audiences and to prepare specific plans for the dissemination of the results of those projects which appear to be most successful and most useful. Obviously, an extensive promotion campaign is not warranted for each of the projects supported by the Program. The Council staff should decide which projects would benefit most from such promotions and proceed to develop plans.

II.8 Funding

The scope of work states that administrative costs were budgeted at 40 percent of the overall project budget, and that actual administrative costs are running at approximately 50 percent of the total. The team was asked to review the cost of administering the program relative to the cost of the funded research projects, and if appropriate, recommended adjustments to lower these costs.

One reason for higher than expected administrative costs is a higher than budgeted overhead rate for the Center for Policy Studies, the unit within the Population Council in which the Awards Program is located. The rate increased from 32 percent in 1980 to 42 percent in 1981. However, because the 42 percent rate was established at a time when the Center for Policy Studies had relatively little outside support, the Council anticipates that the next audit will result in a lower overhead rate and an overall expenditure on administrative costs in line with what was originally budgeted. In addition, expenditures on administrative costs up to the present have included a substantial component of "start-up costs." As more projects become fully operational, the share of the total budget consumed by research projects will increase.

Although these two points suggest that administrative costs will not exceed amounts budgeted, we have not conducted an audit to estimate what administrative costs will be for the entire project. However, we are convinced that the arguments presented are sound and that administrative costs are very likely to be close to what was budgeted.

Having reached a conclusion on the likely similarity between actual and budgeted administrative costs, the issue remains as to whether budgeted costs are appropriate. We think that the administrative costs involved in the Awards Program are in fact quite appropriate. One of the three

objectives of the Awards Program is "to encourage the participation of LDC researchers and research institutions." The Population Council staff has taken this objective quite seriously. They have taken an active role in soliciting proposals and in helping LDC institutions to submit higher quality full proposals than would be possible without Population Council technical assistance. The activities and travel of staff in the solicitation and development of proposals have been discussed above in Section II.2. Any program which places a high priority on the participation of LDC researchers and on the development of research capability in LDCs, as the Program does, must inevitably expect to expend considerable effort, and therefore considerable money, in project development and technical assistance. Furthermore, as we discussed in Section II.2, AID and the Awards Program have benefitted from the Population Council's extensive overseas work. A majority of the staff trips involving work for the Awards Program were supported in part by funds other than from the AID cooperative agreement. Such extensive staff travel is clearly required for a program of this type, and if the cooperative agreement supporting the Awards Program had to cover all the costs of the travel, the administrative portion of the overall budget obviously would be higher.

In fact, it is incorrect to label much of the Population Council staff's activities as "administrative." They would be described more appropriately as technical assistance. An accounting of "true" administrative costs should not include the extensive technical assistance provided by Council staff both on visits to project sites and through activities based in New York. Although such an accounting could not be generated easily, it is nonetheless important for AID, when evaluating Population Council expenditures, to be aware of the range of activities undertaken by the staff in support of the Awards Program.

III. SOCIAL SCIENCE RESEARCH IN POPULATION

A review of the AID-Population Council International Awards Program for promoting research on the determinants of fertility raises broader questions about the usefulness, relevance, scope and content of AID's investment in social science population research in general. More specifically, we were asked to consider future directions of AID's policy research program in population.

We have reviewed numerous dimensions of this question and have reached several conclusions:

. That AID's Office of Population should certainly continue its efforts to stimulate social science research on population questions in the developing countries. Since AID's primary mission in the population field is the control of excessive rates of population growth through the support of programs designed to reduce fertility, social science research on population questions should consume a relatively modest proportion of AID's budget. AID's present level of support through the Population Council's Awards Program is roughly appropriate.

The exact manner in which this supported research is administered is quite important. The model provided by the Population Council's International Awards Program has considerable merit on two grounds: that the research awards are made and managed by an outside organization, guaranteeing the independence of researchers; and that the process by which research projects are approved and funded is based largely on the review of each project by committees of experienced and respected population researchers. Future research endeavors supported by AID should follow this model. In fact, this model is one that might be usefully applied to AID supported research on topics other than fertility determinants.

. That this research should be sensitive to policy issues. This conclusion simply reaffirms AID's current orientation but with some suggested modifications. We recognize the importance of basic research in this field in terms of its contribution to increasing the knowledge base on which effective policy should be built. Even though such basic research is not clearly supported by any one public or private agency in the United States (NICHD's Center for Population Research is focused on domestic population questions), the mission of AID is clearly not that of the National Science Foundation. Nevertheless, we feel that "policy-relevance" should not be construed too narrowly, since research which may appear abstruse or highly theoretical can yield useful results. Since the usefulness of social science research in population is not universally appreciated, we believe that it would be highly desirable to commission an account of the "success stories" in this field. What are the studies that "paid off" for policy directions? Such an account would surely include many examples of research that was not explicitly governed by considerations of its ultimate policy usefulness. Studies culminating in the specification of the measurement of proximate determinants of fertility by Bongaarts, in the development of regional model life tables by Coale and Demeny, and in the specification of the effect of high fertility on economic development by Coale and Hoover are only a few examples. The implication of this point is not that AID should move more toward the support of basic research, but only that its view of "relevance" be more liberally interpreted. Not every study should be scrutinized for its immediate payoff for a government program or policy. A wider acceptance of the time and the complexity of the process of the diffusion of ideas or implications is desirable. The fact of having the research program

administered by an outside agency like the Population Council is an important step in that direction.

. That AID's focus on the determinants of fertility is probably the most appropriate under the circumstances. The research purview should continue; for the present, to emphasize the determinants of fertility. We have considered this question at length. The alternative candidates for attention are mortality, particularly infant and child mortality and its determinants, and the general consequences of fertility--both micro- and macro-consequences. There are many arguments in favor of expanding AID's research efforts to include these fields, but there are also several serious drawbacks. In the case of the determinants of mortality, the subject quickly moves into the public health area and competes with the work of other organizations such as WHO. To determine whether AID could make a distinct contribution to this subject, it might be useful to organize a small conference of experts to review programs, current efforts, unanswered questions, etc. Alternatively, this might be conceived as a future AID-supported project in conjunction with the National Academy of Sciences Committee on Population.

On the subject of consequences, we feel ambivalent. There are still many unanswered questions about the social, economic, health, and other consequences of high fertility for developing countries. The subject is still controversial in some quarters. There are unresolved methodological issues of how to isolate the impact of population growth and its accompanying age distribution implications with many of the hypothesized economic and social impacts. Micro-consequences such as the impact of differences in age at marriage and fertility on the family--its health, education, economic well-being, etc.--has shown more progress, and

directing more explicit attention to these relations could yield useful results. Nonetheless, given the fact that the NAS Committee is currently reviewing with AID support the state of knowledge on the interaction of population growth and economic development in less developed countries, we feel that it would be sensible to await their recommendations for future work.

The recommendation to continue to focus on fertility determinants is reinforced by several other considerations: the subject covers a very wide area; the amount of money being invested by AID in social science population research is quite limited; there is a strong argument in favor of specializing resources and efforts; and there is a natural link with another major effort of AID in its ten-year program of contraceptive and fertility surveys.

. With regard to this survey work, we recommend exploring possible connections with the Population Council Awards Program in Fertility Determinants with that part of the new program of surveys which also emphasizes fertility determinants. These surveys will be collecting a great deal of data on contraception and fertility and on the so-called intermediate variables (nuptiality, lactation, etc.), but in the past they have been typically impoverished on explanatory variables. This is partly because of the limitations of the survey format, but more generally because of deficient theory (the specification of measurable variables that do account for variations in fertility). It seems desirable as well as feasible to focus some part of the Population Council's Awards Program on those countries in which surveys will be taken and in which there are reasons to concentrate research on fertility determinants. This could be accomplished in such countries by making special efforts to solicit

research proposals that would supplement and be coordinated with those surveys. This might be achieved by designating some portion of the AID continuing grant for such work, to be coordinated with the prime contractor on the survey program.

IV. SUMMARY AND RECOMMENDATIONS

Throughout this report we have made a number of recommendations concerning both AID's role in the support of social science research in population and the Population Council's International Awards Program on the Determinants of Fertility. In this section we summarize all of our recommendations explicitly. They fit into three general categories: one relates to AID's role in social science research on population; one to the Population Council's general qualifications to administer a research program; and one to a number of specific aspects of the Council's International Awards Program on the Determinants of Fertility.

AID's Role in Population Research

. AID should continue to support social science research on population questions in developing countries. This research should continue to be focused on the determinants of fertility and should, in a broad sense, be relevant to population policies in developing countries.

. The most effective model for the administration of AID supported research is the one followed by the present Population Council International Awards Program, namely one that involves administration of the program by an independent organization which makes research awards based on the review of all proposals by committees of experts in the population field. Therefore, any future AID supported research should involve peer review of proposals and should be administered by an independent organization.

. AID should commission an account of social science research projects which have been important in providing direction for population policies. Such an account would provide an authoritative justification for the importance of such research and for its continued support by AID.

The Population Council

. The Population Council collectively represents a wealth of experience and expertise in many aspects of population work in developing countries. Components of the Population Council carry out basic research in the social sciences, population policy, reproductive biology and contraceptive development. Furthermore, the Population Council is involved with the delivery of family planning services in developing countries through its International Division and regional offices. In addition, the Population Council publishes two authoritative journals, Studies in Family Planning and Population and Development Review, which are important sources of information on the entire range of issues related to fertility determinants in developing countries. Since the Population Council is uniquely constituted to administer a research awards program on fertility determinants, and since the Population Council has had considerable experience in the administration of the present program, a continuation of the present awards program should be administered by the Population Council.

The International Awards Program on the Determinants of Fertility

As our findings and the above recommendations indicate, the evaluation team has concluded that the Population Council's International Awards Program on the Determinants of Fertility is an important project, one which has been organized effectively and which should produce useful results. Although the project should be continued under the administration of the Population Council, the following recommendations address ways in which both the Council and AID can improve the Awards Program.

. The Population Council should take steps to increase the pool of applicants for the Awards Program. We recommend several specific steps. First, the availability of small discretionary awards should be publicized more widely, and the Program Committee should consider the possibility of increasing the number of discretionary awards. In addition, the Population Council should direct special efforts towards attracting European investigators to the Program. (This group appears to have been underrepresented to date.) Finally, the Council should eliminate the restriction that funds not be available for Ph.D. thesis research. The inclusion of Ph.D. thesis projects could well increase opportunities for collaboration between developing and developed country researchers by supporting the work of developing country graduate students studying at developed country universities.

. The Population Council should establish regular contact with AID regional population officers and program officers, located at the various Regional Bureaus in Washington. These officers represent a largely untapped resource which could be used both to increase the pool of applicants to the Program and to enhance the policy relevance of research supported by the Program. Through contacts with AID missions in their regions, regional population officers have knowledge both of local investigators currently conducting research on fertility determinants, and on population programs in the region which could benefit from research on specific topics related to fertility determinants. This knowledge could be of considerable help in the Population Council's efforts to encourage and support research on topics relevant to population policies in developing countries and conducted by developing country researchers.

. The Population Council should prepare detailed plans for the dissemination of results of projects supported by the Awards Programs, paying particular attention to the diverse audiences which have an interest in these results. Dissemination activities should start as soon as results are available. In addition to publicizing the results of individual projects on groups of projects, the Council should also undertake and publish periodic reviews of the entire Awards Program. Such reviews might contain an assessment of overall progress to date, as well as discussions of unanswered questions or newly formulated questions.

. In preparation for an extension of the Awards Program, the Population Council should review the priorities statement which has provided the focus for the project to date. This review should consider not only the Council's own experience gained from administering the program in recent years, but also the experience of others who have addressed a variety of issues related to fertility determinants. This review could take the form of a reflective essay, of the kind proposed above in Sec. II.3. Of particular importance in such a review will be the report of the Panel on Fertility Determinants of the National Academy of Science's Committee on Population and Demography. As part of its activities, the Academy Panel prepared "An Agenda for Research on the Determinants of Fertility in Developing Countries." Although there is considerable overlap between this Agenda and the Population Council's priorities statement, each has a somewhat different orientation and the Academy Panel's agenda is considerably more detailed and is based on an extensive set of commissioned review papers.

Given that the Awards Program has been in existence for some years and that extensive start-up efforts are in the past, the Population Council and AID should reconsider overall staff requirements for the project. It is difficult to predict exactly what the future staff load should be since the decreased staff requirements for project solicitation might well be balanced by an increased need for staff to carry out the recommendations made above concerning dissemination activities.

Because the goals of the International Awards Program are compatible with some of the goals of AID's support of the collection of survey data on fertility and its determinants, we recommend that AID and the Population Council seek to coordinate future data collection activities with the research activities supported by the Population Council's Awards Program. The Population Council and AID could, for example, make specific efforts to solicit research proposals that would make use of and supplement data gathered in surveys. The Awards Program could well focus some activities on countries which are heavily involved, under AID auspices, in the collection of survey data on fertility.

Appendix 1

Scope of Work for the Evaluation
of the International Research
Awards Program on the
Determinants of Fertility

Background: The purpose of the awards program is to sponsor innovative research which examines factors that determine changes in fertility in different cultural settings and under varying socio-economic conditions. The Population Council administers the awards program. Two committees of social science scholars and population experts from outside the Council help direct the program and review proposals. The review process has two stages -- review of preliminary proposals followed by invitation and review of promising full proposals. To encourage participation of LDC researchers and research institutions, first preference is given to proposals from developing country institutions and second preference to collaborative (LDC and DC) proposals.

Population Council staff provide technical assistance in the development of proposals, monitor funded research projects, and assist in dissemination of research results.

Accomplishments

- a. The Program Committee was established within the first two months of the program. Members for the Peer Review Committee were selected by the ninth month of the project. Selection of members of both committees was mutually agreed to by the Council and A.I.D.
- b. A research priorities statement was prepared by the Program Committee. The statement was reviewed by AID. The statement gives focus to the program and emphasizes that the funded research should reflect AID's research and policy interests.
- c. The review process was set up which in two stages. The first involves review of the preliminary proposals (briefly stating the problem to be studied, the theoretical basis of the research, etc.) For those invited, the second is review of detailed or full proposals.
- d. Announcement flyers describing the program were widely distributed in English and French. Staff have taken a number of overseas trips to meet with researchers, solicit proposals, provide technical assistance for the development of proposals, and monitor projects.

- e. Over 275 preliminary proposals have been received and reviewed. Close to 70 full proposals have been reviewed, and 26 were approved. To date, 19 proposals have been funded.
- f. Several of the projects have been completed or are nearing completion. Reports and articles have been prepared on the following projects:

The Origins of Fertility Decline by Caldwell and Caldwell;

A Comprehensive Study of Fertility Levels and Change in Thailand by Debavalya, Chamrathirong and Knodel;

The Proximate Determinants of Fertility in Tropical Africa: Demographic and Institutional Change by Page and Lesthaeghe;

An Analysis of Fertility and Childhood Mortality amongst Tamasheq Nomads in Central Mali by Hill and Randall;

Women's Schooling and Fertility in Developing Countries by Levine.

Contract and Funding History: An unsolicited proposal from the Population Council led to a cooperative agreement with AID. The program was established in October 1980 for a 3-year period. The original budget was \$4,774,387. AID's contribution was \$3,946,480 with the remaining portion from the Population Council. As was anticipated in the original agreement, the project was extended for two years in September 1982. The revised termination date for the cooperative agreement is September 1985 and the revised budget is \$9,055,463. AID's contribution is \$7,340,480 with the remaining portion from the Population Council.

Total obligations to the project through FY 83 are \$3,357,000. This is \$652,955 below the level budgeted for the period from September 1980 - September 1983. The planned obligation for FY 84 is \$750,000 or about one-third of the budgeted level. The lack of funds to meet budgeted levels will severely hamper the project's work. A strong case has been made by the Population Council and within AID to add considerably more funds for FY 84 (another \$1.5 million) to enable the project to continue.

Contract Assessment: A scheduled management review of the project was carried out in May-June 1983 by the project monitor. The purpose of the review was to assess the progress of the program, identify problems, and to make recommendations for continuing or modifying the project. The management review concluded that the program was meeting AID's expectations, and recommended that the program be extended to March 1986.

Proposed Evaluation

The AID project paper authorizing the Population Policy Research project will end in March 1987. The International Research Awards Program on the Determinants of Fertility is carried out under the authority of the AID project. It was anticipated that the awards program would be extended one and a half years beyond the scheduled termination of September 1985 as a result of the AID management review. The awards program and the authorizing AID project paper would both end at the same date March 1987. Extension of the awards program, as recommended, is in question because of the severe limitations of funds for the program.

This evaluation is scheduled to assess the effectiveness of the awards program, to provide guidance in modifying the program and to make recommendations for a follow-on project to be developed by AID. The effectiveness of the program will be evaluated in light of the following three objectives of the program:

1. To sponsor innovative approaches to the study of fertility determinants,
2. To support research relevant to population policy considerations and
3. To encourage the participation of LDC researchers and research institutions

More specifically the team will be asked to examine.

1. Review Process: Two review committees were established to ensure a thorough scientific review and adherence to the program's objectives. The review process involves a two-phase review: 1) review of preliminary proposals by the program committee and 2) for those proposals judged appropriate and promising, review by both the peer review committee and the program committee. The team is asked to examine the composition and work of the committees to determine how effective the review process is in meeting the objectives of the program and to recommend changes if necessary. The team is also asked to examine the role and effectiveness of the committees and staff in reviewing and negotiating budgets of proposal research projects. Because of funding pressures, AID has placed increasing emphasis on the need to scrutinize and negotiate budgets.
2. Solicitation and Development of Proposals: Announcement flyers and staff travel have been the primary means for informing researchers about the awards program and for obtaining proposals. The team is requested to assess the adequacy of these efforts and to recommend additional efforts or ways in which research proposals can be developed to better address the objectives of the program.

- 3. Research Priorities Statement: A priorities statement was prepared by the Program Committee to focus the awards program in keeping with the research and policy interests of AID. The team is requested to review the statement to determine whether it provides adequate direction to the program and to suggest other priorities areas or refinements of the statement.
- 4. Orientation of Approved Projects: Fewer than ten percent of preliminary proposals resulted in approved and funded projects. The research priorities statement and the objectives of the program (emphasizing innovative approaches, policy relevant research and LDC participation) are key factors in the review and approval of projects. The team is asked to review the approved and disapproved projects to assess the adherence to the stated priority areas and the program objectives and to suggest whether and how the orientation of approved projects should be changed. For example, how might the policy and programmatic relevance of approved projects be enhanced? How might more innovative approaches be encouraged?
- 5. AID's Role in the Awards Program: According to the cooperative agreement establishing the awards program, AID vested the scientific and technical review of projects in the Population Council. AID has participated in all phases of the program including selection of committee members, review of proposals (non-voting participation at review meetings) and USAID mission concurrence according to the rules and regulations of the foreign assistance legislation. The team is requested to assess AID's role in the awards program and to consider whether this role needs to be modified to advance the objectives of the program.
- 6. Management: The Population Council devotes 2.8 person years annually to the administration of the program. Staff have been involved in soliciting proposals, providing technical assistance for the development of proposals, monitoring projects, and in disseminating research results. The team is asked to evaluate the performance of the staff in light of the program's objective and to recommend ways the staff's efforts might enhance the goals of the program.
- 7. Dissemination: Results from some of the research projects are becoming available. The team is requested to evaluate dissemination plans and to recommend ways for maximizing the program and policy relevance of the results.

8. Funding: The administrative cost of the awards program was budgeted at about 40 percent of the overall program budget with the remaining 60 percent available for funding research projects. The percentage of funds devoted to administrative costs has exceeded the level budgeted by about 10 percentage points. The team is requested to review the cost of administering the program relative to the cost of the funded research projects, and if appropriate, recommend adjustments to lower these costs.

9. Future Directions of AID's Policy Research Program on Population: AID is planning to develop a follow-on project to the Population Policy Research project under which the awards program is authorized. This project has served as an umbrella for other research efforts including the NAS project on the Determinants of Fertility in Developing Countries and the new NAS undertaking to study the relations between population growth and economic development and the effectiveness of family planning programs. The team is requested to consider the future directions of an AID policy research project and recommend mechanisms for developing and sponsoring research. Should a research awards program continue to be part of AID's population program? Should a research project incorporate a workshop component for developing proposals patterned after the Middle East Awards Program?

Appendix 2

Persons Contacted by the Evaluation Team

1. Briefing, December 5, 1983

AID Office of Population: Steven Sindig
Sarah Clark
Judith Seltzer

AID Regional Bureaus:

2. Meetings with AID Regional Bureaus and Office of Population,
January 16 and 18, 1983

Near-East Bureau : Charles Johnson
Africa Bureau : Bill Bair, Gladys Gilbert
Asia Bureau : David Oot, Ed Muniak
Latin America Bureau: Maura Brackett

Office of Population: Steven Sindig
Duff Gillespie
Sarah Clark
Judith Seltzer

3. Meetings with Population Council Staff, January 3 and 4, 1984

Council Staff: George Zeidenstein
Mead Cain
Geoffrey McNicoll
Paula Hollerback
Moni Nag
Odile Frank
Ellen Hoffstadter

Appendix 3

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International Awards Program:
Membership of Program Committee and Peer Review Committees

Program Committee

Ansley J. Coale
Office of Population Research
Princeton University

Jason L. Finkle
Center for Population Planning
School of Public Health
University of Michigan

Rodolfo A. Bulatao
East-Population Institute

Ronald Freedman
Population Studies Center
University of Michigan

Paul Demeny
Center for Policy Studies
The Population Council

Robert Lapham
National Research Council

Richard Lieben
Department of Anthropology
University of Hawaii

Peer Review Committee

Bryan L. Boulier
Department of Economics
George Washington University

Lucile F. Newman
Division of Biology & Medicine
Brown University

Larry Bumpass
Center for Demography & Ecology
University of Wisconsin

Raul Urzua
Area of Population & Development
CELADE

Krishnan N. Namboodiri
Department of Sociology
University of North Carolina

Vijay K. Verma
Statistical Office
United Nations

DETERMINANTS OF FERTILITY PROGRAM

Staff Travel Which Included the Following Activities:
Generation of Proposals, Technical Assistance, and/or Monitoring of Projects

<u>NAME</u>	<u>DATE</u>	<u>LOCATION</u>
Mead Cain	Dec. 1983	Bangladesh ¹
Mead Cain	Oct.-Dec. 1983	India ¹
Moni Nag	Oct. 1983	India (Gandhigram, Vellore, Bangalore, Delhi)
Charles Keely	Oct. 1983	Egypt
Odile Frank	Oct. 1983	Uganda and Kenya
Paula Hollerbach	Sept. 1983	Mexico City
Moni Nag	Aug. 1983	Quebec, Canada ¹
Odile Frank	June-Aug. 1983	London and Africa (Ivory Coast, Cameroon, Upper Volta, Mali)
Mead Cain	June 1983	England ¹
Axel Mundigo	June 1983	Lima, Peru ²
Anrudh Jain	May 1983	Bangkok ³
Mead Cain	April-May 1983	Jamaica ¹
Moni Nag	March 1983	India (Gandhigram, Delhi, Vellore ⁴)
Mead Cain	February 1983	India ¹
Odile Frank	December 1982	London and Brussels ²
Mead Cain	December 1982	England ¹
Axel Mundigo	October 1982	Buenos Aires, Argentina ²
Moni Nag	Aug.-Sept. 1982	India (Ahmedabad, Bangalore, Bombay, Calcutta, Delhi, Gandhigram, Hyderabad, Madras, Tirupati, Trivendrum)
Mead Cain	August 1982	Mexico ¹

Mead Cain	June-July 1982	Bangladesh
Mead Cain	June 1982	India
Mead Cain	February 1982	Bangladesh
Odile Frank	Jan.-Feb. 1982	Africa (Mali, Upper Volta, Ivory Coast, Cameroon, Togo)
Axel Mundigo	October 1981	Brazil
Mead Cain	August 1981	Brazil ¹
Axel Mundigo	Mar.-Apr. 1981	Brazil ¹
Mead Cain	October 1980	India, Bangladesh ¹

¹Funded by sources other than the Research Awards Program on the Determinants of Fertility in Developing Countries.

²Per diem and partial travel expenses covered by the Research Awards Program.

³Per diem, local travel within Bangkok, and 50% international airfare funded by the Research Awards Program.

⁴Only per diem and local travel funded by the Research Awards Program.

Appendix 5

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Example of a major reduction in a proposal's budget
because of Council negotiations

Proposal No. 82/082 - "The Impact of Child-Mortality Level of Fertility
Behavior and Attitudes in Costa Rica"

PIs: David Heer, University of Southern California

Virginia Rodriguez de Ortega, Departamento de Diseno y Analisis,

Direccion General de Estadistica y Censos, Ministerio de Economia,

Industria y Comercio, Rep. de Costa Rica

Preliminary proposal submitted in October 1982 - budget for 18 months
was \$144,694.

Invited to submit full proposal. Full proposal received June 1983 -
budget for 18 months was \$122,656. Member of Peer Review Committee found
the budget extremely high and the length of time assigned to the study was
too lengthy. August 1983 - the full proposal was approved by the Program
Committee subject to a reduced budget. Specifics conveyed to PIs at both
the developed and developing country institutions (see attached letter of
8/16/83). There were many exchanges over the telephone between David Heer
and E. Hofstatter. September 15, 1983 revised budget submitted for
University of Southern California portion: budget trimmed by US \$35,983
(from \$122,656 to \$86,673).

David Heer continued to pursue suggested budget reductions with the
Costa Rican PI. The Committee's suggested cut in the computer costs for
the Ministerio (\$6,425) were countered by the Costa Ricans--for the sake of
the quality of input of data it is extremely important that the budget
remain at its original level.

After several exchanges between the Costa Rican institution and the Population Council, with David Heer serving as the liaison, in mid-December 1983 the Council received a letter and a revised budget from the Ministerio. The overhead recovery rate was reduced from 40 percent to 21.1 percent, resulting in a US \$3,087 cut in the budget for the Costa Rican portion. An agreement will be written between the Council and the Ministerio and another agreement between the Council and the University of Southern California.

Full Proposal Stage - Savings from original budget to revised budget

through negotiations	U.S. portion =	\$35,983
	C.R. portion =	<u>3,087</u>
		\$39,070

The Population Council

Center for Policy Studies

49
One Dag Hammarskjöld Plaza
New York, New York 10017
Cable: Popouncil, New York
Telephone: (212) 644 1300
Telex: 234722 POCO UR

August 16, 1983

Dr. David M. Heer
Population Research Laboratory
University of Southern California
Los Angeles, California 90007

Dr. Virginia Rodriguez de Ortega
Jefe, Departamento de Diseno y
Analysis
Direccion General de Estadistica y
Censos
Ministerio de Economia, Industria y
Comercio
Republica de Costa Rica
Apartado 10163
San Jose, COSTA RICA

Re: International Research Awards Program on the
Determinants of Fertility in Developing Countries
Proposal No. 82/0821

Dear Drs. Heer and Rodriguez de Ortega:

The Committee for the International Research Awards Program on the Determinants of Fertility in Developing Countries met on August 4-5, 1983, to evaluate full proposals which they had invited. We are pleased to inform you that the Committee has approved your proposal entitled, "The Impact of Child-Mortality Level on Fertility Behavior and Attitudes in Costa Rica," subject to a reduced budget. This approval means that your proposal meets the scientific standards of the program. The actual award is subject to the availability of funds.

In their evaluation of your proposal, the reviewers approved funding subject to a reduction in the budget. A suggested revision is provided below; however, an alternative budget based on your own assessment of costs can be substituted for the one suggested. The suggested reduction for the University of Southern California budget would include the omission of the second research assistant (\$3,428 for year 1 and \$5,142 for year 2 = a \$8,570 savings); omission of two of the three trips to Costa Rica (a \$3,180 savings); and reduction of computer time for U.S.C. from \$14,850 to \$5,000 (for a savings of approximately \$9,850). A similar reduction in the total computer costs for the Ministerio from \$7,425 to \$1,000 (for a savings of approximately \$6,425) would result in a total reduction in the proposed budget for both institutions of \$28,025 plus indirect costs.

A few points regarding your budget also require clarification. First, with regard to the costs allocated for transportation and related travel expenses, you should submit a revised budget indicating separate costs for round-trip air fares and daily per diems for a specified number of days. These travel expenses include the round-trip coach air fares from:

1. Los Angeles-San José-Los Angeles and the number of days or weeks there. (Please note that the maximum AID allowable per diem for Costa Rica is \$70.00) and

2. Los Angeles-Boston-Los Angeles for the PAA meeting in Boston. (Please note that the maximum AID per diem is \$66.00 in Boston.)

Second, a decision should be made on whether one agreement (to the University of Southern California with a subcontract to the Ministerio de Economía, Industria, y Comercio, Costa Rica) or two separate agreements will be established. In the first case, the Ministerio would be responsible to U.S.C. for all substantive and financial accounting. In the second situation, separate budgets would be established for each institution and each institution would be responsible for submitting financial reports directly to the Council, although the filing of periodic substantive reports can be undertaken as joint reports.

Third, we will require a copy of a recent negotiation agreement between the University of Southern California and a U.S. government agency for documentation of the overhead rates and benefit rates included in the proposal. In previous correspondence, dated March 30, 1982, pertaining to a previously submitted proposal, a copy of such an agreement had been provided. That document showed a 53% overhead rate, the same as that requested for this particular proposal. If a more recent document is not available, we can utilize the one previously submitted; however, no official document is available indicating current fringe benefit rates at U.S.C.

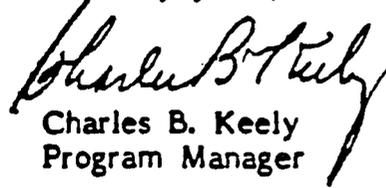
Finally, in the full proposal a 40 percent overhead rate is allocated to the Ministerio de Economía, Industria, y Comercio. In order to meet auditing requirements, USAID requires that a listing of the components and dollar amounts allocated to various indirect cost items (which may include items such as office rental; telephone, electricity, gas; taxes; equipment and furniture purchases, maintenance, and amortization; library; cleaning and maintenance) should be indicated and justification provided for the specified items comprising the indirect costs. This should be provided in a letter from the institution to the Council. The letter should also include the sum total of the institution's indirect costs in US dollars and the institution's total expenditures (e.g., direct costs) for 1982, also in US dollars. If you require further information on the formulation of indirect and direct costs, you may contact me.

Once you have provided the information requested we will initiate the process of preparing the documents for the formal award. I remind you that, if any host government clearance is necessary to conduct research in or provide funds to an institution in a host country, it is the responsibility of the proposers to secure that clearance. (Please consult the "Instructions on the Content and Format for Invited Full Proposals" beginning at page 8.) The Population Council must be notified before an award can be made.

I will inform you when a final determination is made on the availability of funds. A copy of the formal agreement between the Population Council and the institution(s) will be sent to the responsible official at the institution(s) at that time, with a copy to you. Assuming mutual agreement on the terms of the award between the institutions, the award will be made and funding will begin according to the schedule in the agreement.

On behalf of the Committee and the Population Council, we thank you for your sustained interest and for submitting your proposal for consideration by the Program. We also congratulate you on the quality of your work. We look forward to being able to make an award for your project.

Sincerely yours,



Charles B. Keely
Program Manager