

January 11, 1978

MEMORANDUM FOR: Research and Development Committee Members

FROM: DS/PPU, Robert C. Simpson

SUBJECT: Research and Development Committee Meeting
January 24, 1978

The attached proposal will be discussed at the Research and Development Committee meeting to be held January 24, 1978, 2:00 p.m., Room 3886, N.S.

Rural Unemployment and Underemployment, Revision/Extension of 211(d) Grant, Southern University, DS/AGR.

Attachment: a/s

(See attached list for distribution)

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DISTRIBUTION FOR RESEARCH AND DEVELOPMENT COMMITTEE MEETINGS (R & DC)

Research and Development Committee

A. Core Members

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LA/DR, William Feldman (2 sets)
NE/TECH, James Dalton
PPC/DPRE, Edward Hogan
PHA/POP, Carl Hemmer
SER/MP, A. Schoepfar

B. Core Alternates

AFR/DS, John Blungart
AFR/DS, Woodrow Leake
ASIA/TR, T. C. Clark
LA/DP, Kwyn Abrahams
NE/DP, Frank Denton
PHA/PROG, Clifford Belcher

C. Correspondence Members

SER/ENGR, John Rixse
SER/CM, R. J. O'Brien
SER/HIG, Peter Kimm
O/LAB, Paul P. Fera
PPC/PB, Ain Kivimae
PPC/PDA, J. Mellor
A/WID, Nan Frederick
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D. Other

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T. Eliot (211(d))
M. Cruik
DS/PPU Analysts (as appropriate)
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R. Gaul
J. Hafenrichter
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DS/EHR, R. Schmeding
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DS/RES, M. Rechcigl
DS/RD, H. Hobgood
DS/UD, W. Miner
DS/MGT, R. Thacher*
DS/PPU, E. Shields

* Attachment(s) on request

January 4, 1980

MEMORANDUM

TO: DAA/DS/FN, Mr. Tony Babb
THRU: DS/PO, Bernard Chapnick
FROM: DS/AGR, Keith Byergo
SUBJECT: Scope of Work for Team Evaluation of 211(d) Grant
Project with Southern University and A & M College.

Your approval is required to proceed with the attached scope of work to conduct an indepth team evaluation of the 211(d) grant program with Southern University and A & M College. This final year team evaluation will review progress during the grant extension period with emphasis on current and future utilization of the capacity developed under the 211(d) grant program.

APPROVED: BJ Sander Levin

DISAPPROVED: _____

DATE: JAN 9 1980

Attachment: Scope of Work
Project Paper

Clearance:

DS/AGR/ESP, KBoyd _____ Date _____
DS/AGR/ESP, REhrich _____ Date _____
DS/AGR, MMozynski _____ Date _____
DS/PO, PGage _____ Date _____
DS/PO, ASilver _____ Date _____
DS/AGR, TO'Hare _____ Date _____

DS/AGR/ESP, WJackson: 1/4/80

SCOPE OF WORK FOR TEAM PROJECT EVALUATION

A. PROJECT TITLE: Rural Unemployment and Underemployment

PROJECT NUMBER: 931 - 0140

B. CONTRACTOR/GRANTEE: Southern University and A & M College

C. PURPOSE OF TEAM EVALUATION: The purpose of the evaluation is to review progress during the grant period with emphasis on current and future utilization of the capacity developed under the 211(d) grant program. The team will:

1. Examine how the grant has been used to further sustain and focus a viable institutional response capability for use by LDCs, AID and other donor agencies.
2. Measure progress in achieving goals as outlined in proposal including an assessment of the assumptions and current status.

D. COMPOSITION OF TEAM:

Dr. Frederick Mann (Rapporteur). Dr. Mann is a PhD. agricultural economist and lawyer with expertise in farming systems and training. His overseas experience includes considerable work in Africa and Latin America in the field of international agricultural development for AID and as a member and leader of a university rural development research team. He has worked with AID on numerous project design and evaluation assignments as well as sector assessments. He is therefore aware of the needs of LDCs and AID in a wide variety of differing country environments. This knowledge will prove to be very useful as Southern's capacity is assessed against the potential needs it may fulfill in the future for AID. Dr. Mann's work in the area of cooperative development in LDCs will enable him to judge effectively the field work which Southern undertook in Kenya. His experience in training will provide a good background for an accurate estimation of Southern's achievements in that area. Therefore, Dr. Mann is very qualified to participate and make a valuable contribution in the Southern evaluation.

Dr. Kurt Anshel Dr. Anshel is an agricultural economist with considerable experience in development research and institution-building. He has worked extensively with minority land-grant institutions and is aware of their problems of institution-building with limited resources. Having performed research and served many years as the Director of Graduate Studies at the University of Kentucky, he is also aware of the institutional development and training issues of 1862 land-grant institutions. Therefore, he has a broad overview of the problems encountered by U.S. universities which are expanding their capabilities in the area of international development. He has also worked overseas in numerous countries, particularly Africa, for AID and other organizations. He is knowledgeable of LDC development problems and needs as well as AID procedures for project design and evaluation. He will provide a useful outlook for the Southern evaluation and is well qualified to undertake the task.

E. OTHER PARTICIPANTS: Kathryn Boyd will provide the team with the necessary background information for the review.

F. DATE and PLACE: The team will make an on-site review at Southern University from January 23 through January 25, 1980.

G. PROJECT BACKGROUND: Southern University received a five year 211(d) grant in May of 1972. The intent of the grant was to aid SU in developing a capability to apply its expertise in domestic rural research to the problem areas of rural unemployment and underemployment in LDCs. In February of 1977, an indepth evaluation was conducted which resulted in a ten month extension without funding. A project was subsequently proposed by SU to analyze the impact of cooperatives on the employment and income levels of Kenyan small farmers. An eighteen month funded extension was approved in March of 1978 and was terminated in September, 1979. An unfunded extension continued the grant until December 15, 1979.

H. PROBLEMS and ISSUES:

Issue 1. Has the 211(d) grant extension enabled SU to develop a capability to analyze and assist in the design of solutions for problems of rural unemployment and underemployment in LDCs? In particular, has the grant-funded analysis of the impact of cooperatives on income and employment been beneficial in this regard?

Issue 2. To what extent have SU faculty members and students had meaningful exposure to the problems of unemployment and underemployment through activities funded by the grant extension?

Issue 3. Has SU significantly strengthened its curriculum and support facilities for the teaching of international agricultural economics? What is the long-run viability of the improvements made during the term of the grant and grant extension? What will be the impact of the termination of the grant on these improvements?

Issue 4. What are the prospects for utilizing the capabilities developed at SU in AID and other donor agency projects through contractual or other means? How has SU attempted to identify and pursue such possibilities?

Issue 5. What lessons have been learned during the life of this 211(d) grant and grant extension which could be applicable to other institution strengthening activities?

I. DOCUMENTS TO BE REVIEWED:

1. Project Paper.
2. Previous regular evaluation report.
3. Annual report.
4. Research reports.

Proposal For Continuing Support Under the Agency for
International Development Institutional Grant Project

Applicant: Southern University A & M College
(International Economic Development Institute)

Date: March 15, 1978

Grant Title: Rural Unemployment and Underemployment

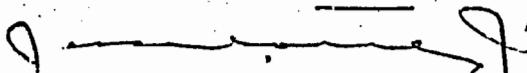
Amount and Term of Original Grant: \$500,000
(for five years)

Amount and Term of Proposal: \$167,000
(for 18 months)
March, 1978 to September, 1979

AID Sponsoring Technical Office: Office of Agriculture
Development Support
Bureau

Proposal For Continuing Support Under The Agency For International
Institutional Development Grant Program

Submitted by: Southern University A & M College
Baton Rouge, Louisiana


Dr. Jesse N. Stone, Jr., President
Southern University System

Date March 6, 1978

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I. DESCRIPTION OF PROBLEM

Analysis of experiences and policies reveals that in a majority of cases development may in fact promote dualism in agriculture. Government and donor support of agriculture tends to benefit the minority of large high-income farmers more than the majority of small low-income farmers. Because the benefits of development do not necessarily accrue to those who need them the most the Agency for International Development (AID) is moving into a new agricultural posture known as Broadly Participatory Agricultural Policy. In this new AID policy emphasis is placed on broad participation and effective involvement of all peoples in decision making and sharing of benefits designed to attack simultaneously the two major problems of agriculture production and employment.

In order to improve the quality of life of the rural poor, priority is given to programs to expand productive employment opportunities (both on and off-farm), improve the distribution of income and social services, and to increase agricultural output. It is believed that the alternative to such a policy will result in the majority of people in rural areas continuing to reside in varying degrees of absolute and relative poverty under conditions which will deteriorate as rural populations grow and available resources, technologies, and institutional structures remain unchanged.

Within the above context, it would appear that small farm organizations particularly cooperatives will become an important instrument of

the new AID agricultural policy. Farm organizations operating within the framework of the cooperative principles are broadly participatory in nature in that each member shares in the decision making process, in proportion to his participation in the business activities of the organization. Moreover, the participatory policy of such organizations is in keeping with the definition of a cooperative which is a form of business owned, operated, managed and capitalized by the members for their mutual benefit. Consistent with the new agricultural policy, AID gives top priority to supporting land reform and local institution projects of which cooperatives are an important entity.

It is generally assumed that locally organized and supported organizations are indispensable to community development activities in that such organizations (1) encourage mobilization of local resources and material; (2) improve the functioning of markets; and (3) facilitate community based production growth through diffusing risk, conveying technical information, and facilitating communication between local and national leaders.

In anticipation of the full implementation of the new AID agricultural policy, Southern University will re-orient and continue to strengthen its original grant objective by assisting LDCs in the development of more effective small farmer organizations. By focusing the grant extension on the return to labor and employment impacts of farmer organizations this emphasis is consistent with the original

grant awarded which stressed the analysis of rural unemployment and under-employment problems. Southern will continue to strengthen its response capability through overseas involvement and move on to other contractual mechanisms for utilization of its response capabilities such as Title XII.

Southern University has a long experience in dealing with the problems of unemployment, underemployment and human resource development in areas that have a high proportion of disadvantaged people. Louisiana counts more than a quarter of a million families with incomes below the poverty level. These families form the major part of the university's clientele.

II. DESCRIPTION OF GRANTEE

Southern University views its major constituents as limited resource people and the University has a long history of working with this group. Southern University is a Land Grant university with campuses located in Baton Rouge, New Orleans, and Shreveport. The student body of approximately 14,000 and a professional staff in excess of 600, makes the Southern the largest 1890 Land-Grant institution in the United States. Approximately thirty percent of the faculty are holders of the earned terminal degree. Southern University has recognized research and extension faculty as observed by their publications and contributions to leading professional journals and faculty demand as advisors and consultants by local, state, national, and international organizations. Through organized instruction, seminars, and outreach programs, Southern University reaches an increasing

number of people in the state, nation, and developing countries.

The International Economic Development Institute at Southern University provides the University with a vehicle for expanding the domestic thrust into the international arena of economic development. The publications, research projects, and training programs as well as faculty involvement in domestic and international development programs mirror Southern University's interest in the continuation and expansion of its international involvement.

Under the provisions of Section 211(d) of the Foreign Assistance Act of 1961, as amended, Southern University received \$500,000 from AID on May 19, 1972. The grant objective was "To Improve Competence in Agricultural Economics and Economics and to Analyze and Contribute to Resolving Problems of Rural Unemployment Underemployment."

The original AID grant provided funds to build on this University's domestic experience and expertise in human resource development and to expand Southern's capacity, so that it could more effectively work with development problems in less developed countries. Over the years the University has sponsored programs relating to poverty and low income people, embracing a range of approaches including research, extension and undergraduate and graduate studies. The underlying objective of the 211(d) grant was to strengthen Southern's development experience for utilization in overseas programs which have similar goals and which operate under similar conditions.

More specifically, the original grant funds were used to strengthen competencies and research in the field of Agricultural Economics and Economics, to expand library resources and to develop expanded capabilities to provide technical and advisory services in less developed countries. A cadre of expertise would be developed at Southern University, which AID and other international agencies could utilize in carrying out their economic development responsibilities in AID/Washington and LDC's. The objectives of the 211(d) grant to Southern University were to support:

- A. Institutional Development. Through such activities as:
 - 1. Increase the quantity and improve the quality of faculty in Economics and Agricultural Economics;
 - 2. Upgrade curricula in Economics and Agricultural Economics with emphasis on international development;
 - 3. Enrich existing international program thrust through the use of lecturers and consultants; and
 - 4. Increase library acquisition in the area of international development.

- B. Human Resource Development. The major thrusts of this objective were centered around the following activities:
 - 1. Support for student and faculty participation in conferences and Seminars dealing with the amelioration of problems in LDC's; and
 - 2. Provide graduate and undergraduate scholarships to students at Southern and faculty members attending graduate school.

- C. Research. This objective was to emphasize action-oriented research to:
 - 1. Provide opportunities for scholars at Southern to work co-operatively on issues in LDC's; and

2. Publish and disseminate research findings relative to international economic development.

During the past five years, the activities of the original 211(d) grant to Southern University were centered on the three broad objectives enumerated above; institutional development, human resource development, and research. There have been significant accomplishments in regard to all these objectives.

Institutional Development:

Improvement in the quantity and quality of faculty in Economics and Agricultural Economics.

The grant funds were used to hire faculty members in the areas of Economics and Management. One of the faculty members served for two years with the Southern University AID contract in the Cameroon while two other faculty members and grant supported students spent lesser time in that country.

Thirteen faculty members were supported to work for their terminal degrees, out of which, several have obtained the degree and returned to the campus. The instructional program at the University has been greatly strengthened by the addition of members to the faculty and overseas experiences of professors and students.

Another accomplishment of the 211(d) grant was the form of a much greater collaboration among the various departments such as Economics Agricultural Economics and Sociology. The 211(d) project served as a catalytic agent to bring about stronger cooperation between the various academic departments, and thus to improve the quality and quantity of

instruction of the university.

Upgrading of Curricula with emphasis on International
Development and related disciplines.

The Agricultural Economics and Economics curricula underwent significant changes during the past five years. Over nine multi-disciplinary options were made available to students, leading toward minor concentration in the following subject matter areas: Marketing, Management, Economics, Plant and Soil Science, Animal Science, Mathematics, Computer Science, Vocational Agriculture Education, and Sociology. The options were programmed in the curricula beginning the first semester of the junior year to provide flexibility in course offerings and the opportunity for students to pursue career interests without fundamentally changing the area of concentration. In addition, course prerequisites were provided for advanced majors, therefore, an orderly flow of courses was available to promote quality education and prevent students with weak preparation from taking advanced courses. Additional courses in the areas of mathematics, statistics, international economics, and economic theory were added to better qualify students to compete in the international employment market.

The curriculum in Economics underwent further major changes. For example, these new courses were added:

International Economics

Economic Development

Research Methods in Economics & Business

Managerial Economics

Prior to 1972, only one course in statistics was offered compared with three today; Advanced Economics Statistics, Social Education, and Data Analysis.

Enrichment of the International programs through Conferences and Seminars.

During the five years of the original grant several conferences were sponsored under the auspices of the 211(d) grant. These conferences were designed to (1) provide leaders from LDCs and AID opportunities to observe and discuss domestic activities related to economic development; (2) share experiences and ideas on common problems of development; and (3) expose students, faculty, and administrators to the problems and challenges of development in LDC's. Southern's International Economic Development Institute worked closely with, LDC and AID officials in the selection of individuals for participation in these conferences. Some participants from LDCs were senior government officials concerned with agricultural and economic development, while others were senior staff members from research institutes in LDCs.

Various LDC governments and domestic foundations sponsored individuals from LDCs to participate in seminars at the Institute. The Institute-sponsored seminars have become an integral part of the academic program at Southern University. The Institute seminars are

planned by the students and faculty and built around such factors as (1) economic development thrust in a particular area at Southern University; (2) overview of the economic development thrust in a particular LDC; (3) visits to nearby communities to observe rural economic development in action; and (4) informal discussion by the seminar speaker with faculty and students during which time the Institute Staff Papers are shared with the speaker, incorporating activities of the Institute. Student evaluation of each seminar session was a requirement.

Acquisition Books and Journals on International Development.

Collection and acquisition of library materials has been another achievement of the 211(d) grant program. At present the library collection is of such magnitude and diversity as to support a higher degree of professional level research in Agricultural Economics and socio-economics. Past issues of the American Journal of Agricultural Economics were acquired, economic and business periodicals were subscribed to, and the latest editions of many textbooks on the Economics of Development were added to the library collections.

Human Resource Development. This objective has been undergirded by the activities carried on in the area of human resource development.

Eight faculty members with terminal degrees in Agricultural Economics/Economics were supported with 211(d) grant funds while thirteen faculty members were supported to work toward their terminal degrees in such disciplines as Economics, Extension and Education. Five of these

faculty members completed their terminal degrees and have returned to the University. Faculty members are encouraged to publish in the Institute Research Staff Paper Series and are involved in other 211(d) related activities.

High priority was given the human development thrust of students. Thirty-six students have received financial support from the 211(d) grant funds. After graduating from Southern University with a Bachelor of Science Degree, several of these students continued their formal education at some of the leading Universities in the country.

The 211(d) grant had a significant impact on the student enrollment in the departments of Agricultural Economics and Economics as can be observed from the table below:

Student Enrollment in the Departments of
Agricultural Economics and Economics
Southern University, 1972-77

YEAR	Department		
	Ag Economics	Economics	Total
		<u>Number</u>	
1972-73	34	35	69
1973-74	48	36	82
1974-75	60	33	93
1975-76	55	35	90
1976-77	56	29	85

In addition to attending domestic and international conferences three junior level students were selected to participate in the 1976 AFRIAID Cooperative Work Study Program.

The domestic and international travel of students and faculty to such countries as Ghana, Liberia, Kenya, Gambia, Haiti., and Zaire contributed to the increasing enrollment of foreign students at Southern University by acquainting potential candidates and sponsors with Southern's curricula and international orientation.

Research: The research thrust provided opportunities for professors and students to work cooperatively on economic development issues in this country and in LDC's. Faculty members at Southern University engaged in research on such topics as (a) Unemployment and Underemployment; (b) Small farms; (c) Cooperatives; and (d) Manpower Utilization.

Over 100 Staff Papers have been published by professors and students. Studies consistent with the objectives of the 211(d) thrust are published by the Institute as Staff Papers while others studies have been accepted for publication in national and regional journals. . . .

Twenty-two Staff Papers were catalogued by the Library of Congress and reported in the Monthly Checklist of State Publications, Volume 68, number 2, February, 1977. Several Staff Papers were selected by AID Washington Technical Assistance Bureau to be included in the Research and Development Abstracts.

In a composite manner, the Staff Papers mirror the diversity of interests of the faculty on economic development issues and there is

constant demand for their services and publications. Today, the Institute's mailing list is in excess of 300.

Development of Linkages with Institutions and LDC's:

Extensive relationships were developed with American institutions and LDC's during the life of the project. Some of the institutions and the nature of the relationships are summarized below:

Linkages with Universities receiving 211(d) grant - Southern University developed and strengthened its collaborative arrangement with Cornell, Iowa, Michigan State, Minnesota and Virginia State Universities. Most of these universities offering terminal degrees have admitted students from Southern University in their graduate programs. Two faculty members served as adjunct professors at Cornell University and other professors are visiting lecturers at other universities.

Linkages with other Universities - There has been a considerable exchange of faculty, staff and students between Southern, Louisiana State and other universities in the region. Southern University participates in an International Consortium with Louisiana State University, Dillard and Delgado. Two faculty members participated in this program from Southern University. The Institute Director serves on the PhD candidate committee at Louisiana State.

South East Consortium of International Development SECID - Southern University cooperated with other Universities in the establishment of SECID. The consortium, consisting of twenty-nine Universities, was

formalized in a meeting of the Board of Trustees held at Southern University on March 25, 1977. SECID's major thrust is to respond to the economic and social needs of limited resource people in less developed countries utilizing the resources of member universities. SECID mobilizes the respective capabilities and strengths of the member institutions thereby providing the most effective international development programs. The Institute director was elected Board member and chairman of the Board of SECID.

Linkages with non academic Institutions - Relationships have been developed with the Cooperative League of U.S.A., American Institute of Cooperation, Ford Foundation, Rockefeller Foundation and the Agricultural Development Council.

Linkages with Institutions engaged in International Visitors Programs - The African American Women's Association, The African American Institute and the Meridian House International call upon the Institute to expose visitors from LDC's, to the Institute staff approach to economic development. Over 30 foreign visitors to the Institute served to promote a better understanding between the people of LDC's Baton Rouge and the Southern University community.

Linkage with the United States Development of Agriculture (USDA) - A proposal for a research project entitled "Profile of Emerging cooperatives in the South" has been funded by USDA. Southern University has cooperated with U.S.D.A. over the years and very satisfactory relationships exist between the university and U.S.D.A.

Linkage with Opportunities Industrial Center: (OIC) - During the years, the Institute has cooperated with the center director in assisting with programs in Togo, Gambia and Haiti.

Activities with LDC's:

1) Cameroon: One faculty member served two years in the Cameroon program, while other professors, students and administrators spent time there in connection with the program. One student from Cameroon was supported during his graduate study at the University of Wisconsin with 211(d) funds.

2) Ghana: A female professor visited Ghana in the summer of 1975 and studied the Social Security and National Insurance Trust of that country. A female student from Southern University worked for six months on District Planning and Rural Development Project there.

3) Liberia: One professor lectured in Liberia in the summer of 1975 and toured several villages in Liberia and met with officials in Monrovia. Another professor served as a member of an evaluation team in Liberia and a female student from Southern University spent six months in Liberia where she was involved in a community development project. Several Ambassadors and high government officials from Africa and Haiti visited Southern University to dialogue with the University administration on their professional needs.

4) Kenya: Two professors visited Kenya in 1976 and 1977. One professor attended the International Agricultural Economics Association

Meeting held in Nairobi, Kenya and the other professor participated in a Seminar on Cooperatives. Several government officials from Kenya visited Southern University and dialogued with faculty, staff and students on the development problems in Kenya. Southern has discussed possible 211(d) activities with the Mission.

5) Ethiopia: One professor visited Ethiopia in 1976 and served as a member of an evaluation team.

6) Sierra Leone: An Institute staff member visited Sierra Leone in 1976 as a member of an evaluation team, he now serves as Deputy Director in the Bangladesh Mission.

7) Zaire: The Institute Director visited Zaire in 1976 and studied the Agricultural Sector of that country.

8) Other less Developed Countries: Southern University faculty have visited or received official visitors from Nigeria, Zambia, Senegal, Sudan and Ivory Coast.

One professor dialogued with participants from LDC's in an Unemployment and Underemployment Conference held in Amsterdam in 1976. This conference provided him with a better understanding of the commonality of domestic and LDC's development problems. Likewise, he shared with participants development thrust underway at Southern University.

In addition during the first five years of Southern's 211(d) three faculty members completed AID's Project Design and Evaluation course. Later a summary version of the course was presented on campus for others

involved and interested in economic development and the grant activities. Three students, who were furnished with scholarship support from the 211(d) grant, took part in the AID sponsored Undergraduate Cooperative Work-Study Program in 1976 and were ultimately assigned to assist various AID missions for a 3-5 month period.

In June, 1977 several Institute staff members met with some of the Regional Bureaus to discuss possible involvement in projects and to review opportunities for the Institute staff to work on rural employment problems and cooperatives. The Institute staff also discussed support of domestic research on cooperatives with U.S.D.A.'s Farmer Cooperative Service, Extension Service and Cooperative State Research Service (CSRS).

III. PURPOSE, OBJECTIVES AND ACTIVITIES

A. Purpose

The purpose of the extension is to continue to build Southern's capacity to work on important problems of international agricultural and rural development and to facilitate fuller utilization of this capacity in assisting AID and LDCs in the critical problem area of rural unemployment and underemployment. The focus of the original grant will be narrowed to encompass the analysis of the economic impacts and effectiveness of small farmer organizations to meet development ends, particularly the goal of increased employment.

B. Major Objectives/Outputs

The grant activities during this extension are to provide

Southern University with a LDC learning experience while conducting a case study analyzing a small farmer organization and its impacts on employment and income. In the process the University will 1) build on its domestic experience with small farmers and their organizations while increasing its ability to carry out such research overseas, 2) develop close linkages with other land grant insitutions and agencies working with small farmer organizations by involving them in seminars and workshops designed to tap their experience in applying appropriate methodologies, data collection etc, and 3) continue the strengthening of a response capability in analyzing rural unemployment and underemployment problems consistent with the purpose of the original 211(d) Grant. In addition, Southern University will have increased the knowledge of how such organizations impact on employment and income in LDCs. AID could utilize Southern University personnel on future design and evaluation teams looking at projects that involve both formal and informal rural organizations.

The LDC case study should be viewed as an example of how the application of existing methodologies can be used to better understand the impacts of small farmer organizations and make them more effective in meeting employment and income goals. In the process of conducting the study, the Institute staff will be able to exchange ideas on research methodology and problems that may be encountered through seminars. Of course, it would be inappropriate to generalize the results from such a study to other small farmer organizations. Never-

theless, the Institute will use the results and methods used as a guide for studies in other countries.

In terms of outputs the grant extension will provide: a case study of a small farmer organization in a selected developing country; five seminars to enhance the knowledge of Southern University faculty and students about international agricultural development and research problems; development of linkages and networks between Southern and other universities and private voluntary agencies concerned with small farmer organizations; a conference on employment and income impacts of cooperative organizations in rural areas; and advisory and consultation services in such areas as small farmer organizations and rural employment problems.

Evidence of achievement of these outputs would include publication in the Institute Staff Papers Series of the proceedings of the seminars, the findings of the case study, papers presented at the conference, joint activities with other universities and organizations, trip reports, and evaluations carried out through advisory and consultative services.

C. Critical Assumptions and Inputs

Underlying the achievement of these outputs are the following assumptions: willingness of other universities and organizations to participate in activities with Southern University; and AID's assistance in identifying consultative assignments for Southern's increased involvement in Agency programs and an appropriate country in which to undertake a case

study; and that country's willingness to permit Southern University to study a small farmer organization.

In terms of inputs, the greatest proportion of grant funds would be used to finance the following:

1) Faculty and Student Support

It is expected that release time for faculty engaged in research activities (22.5 man-months) and overseas advisory and consultation activities (6 man-months) would also be funded by the grant. A graduate student and a research associate working on the case study would be supported through the grant (30 man-months).

2) Travel

In order to carry out the research activity and develop linkages funds would be provided for travel to the LDC as well as conferences and workshops. Examples of such conferences may include Agricultural Development Council - Rural Training Network (A/D/C-RTN) seminars and meetings by such organizations as the Society for International Development. Excluded are meetings of domestic professional societies. In addition travel funds for participants of workshops and seminars at Southern would be provided.

The following describes in detail the scope and timing of activities during the extension period.

D. Plan of work

1. Background:

The Plan of Work outlines the required inputs, expected outputs

and timing of activities during the extension. Over an 18 month period, Southern will undertake a program to enhance its capabilities to participate in future activities designed to increase small farmer income and employment through the vehicle of small farmer organizations as well as analyze rural unemployment and underemployment problems. This program will consist of five interrelated and supportive components: (1) research, (2) education and training, (3) linkages and networks with other universities and organizations, (4) advisory and consultative services, and (5) information capacity. However, the grant extension activities proposed in this paper are organized around a case study of a small farmer organization in an LDC and the bulk of funds for faculty and student support are earmarked for this activity; the other outputs are designed to interact with this effort. For example, seminars which are scheduled during the extension are linked to the research effort but are viewed as having an education and training output; formation of linkages with participants in these seminars and their institutions would also occur. The information capacity output consists of a conference and increases in library holdings on rural organizations in LDCs. The advisory and consultation services output permit the university to support faculty so that they can more easily take part in these opportunities while minimizing the effect on the educational programs at the University.

In the process Southern will acquire the professional expertise, reference materials, linkages with other organizations and visibility

necessary to establish a capability for meeting the needs of LDCs and AID for designing, analyzing and evaluating small farmer organizations. Although the research activity's primary intent is to provide Southern University with added experience, it will also provide important insights into the role and capabilities of small farmer organizations in a participatory development process that could be incorporated into research efforts in other countries.

Farm Organizations - The objectives of farmers organizations can be classified into four categories: 1) to increase the income earning capacity and employment of members, 2) to provide members with consumer goods and services, 3) to alter the political and social role of members in the broader community, and 4) to promote community and economic development. While these objectives are complementary it is the goal of enhancing income and employment that will be the focus of Southern University's activities.

From among the three most prevalent forms of farmers organizations (production cooperatives (group or communal farms), marketing cooperatives, and farmers clubs) marketing cooperatives are the most important in terms of both AID programs and LDC investments in farmers organizations. Marketing cooperatives provide three general sets of services to members which are intended to immediately impact on their income earning capacity and employment. These are 1) marketing (sales, processing, storage, and transportation) of members' produce, 2) sales of farm inputs such as seed,

fertilizer, chemicals, equipment, and machinery, and 3) education and training in new farming techniques and systems. Because of the importance of these cooperatives Southern University will conduct a case study of a marketing cooperatives: 1) to determine its impacts on income and employment in the community which it serves, and 2) identify the determinants of the distribution of those benefit among small farmers.

2. Methods:

Increases in income and employment generated by a cooperative may be derived by its members and their employees, by employees of the cooperative itself, and by the owners and employees of firms producing inputs sold by the cooperative to its members. In addition, the spending of these incomes induces additional income and employment. In order to keep the study within the resources available, no attempt will be made to estimate the income and employment induced by expenditure of the income initially derived from the cooperative. Only the increased income and employment of the community in which the members reside will be estimated. This includes the wages, salaries, profits, and employment of the cooperative, local firms which may produce inputs sold by the cooperative and increases in the incomes and employment of its members and their employees.

a) Income and Employment Effects - Estimation of the income and employment effects of the cooperative and local manufacturers of inputs is relatively simple. Since most LDC communities suffer from some degree of unemployment, it can be assumed that the income formerly earned by the

Cooperative's and input supply firms' employees is now earned by someone else who was formerly unemployed or underemployed. Therefore, the income and employment of the cooperative can be viewed as net increments to community income and employment. Although theoretically it is the increments to income and employment of input producing firms that result from sales to the cooperative that should be credited to the cooperative, it is beyond the resources of the study to estimate marginal effects. Therefore an averaging method must be used which ascribes wages, salaries, profits, and employment of the firms to the activities of the cooperative in proportion to the ratio of the firms' sales to the cooperative to total sales. The required data can be obtained from the records of these firms and the cooperative.

Estimation of the increases in the incomes and employment of members and farm workers employed by them is substantially more difficult. It will require data on current income and employment and then deducting income and employment that would have been obtained had the cooperative not been established. Thus this will require data for members of the current farm organization and for farmers in a situation without a cooperative. A control group consisting of farmers who in all respects other than membership in the cooperative are similar to the cooperative members will be utilized to obtain the second set of data. Information necessary to make these estimates include: cash sales, home consumption, expenses, hired and family labor inputs, income from other sources etc.

Because it can be expected that attitudes and agricultural methods of

non-members residing in the community served by the cooperative are affected by the presence of the cooperative, the control group will be selected from farmers in an adjacent community where the socio-cultural, agro-climate environment are similar to those found in the community served by the cooperative. Farmers will be included in the control group whose personal characteristics are similar to those of cooperative members. Important characteristics are anticipated to be age, education, family size and composition, and access to capital.

Since the time available for data collection is limited all data will be derived from interviews rather than direct measurement. It is recognized that this method has severe shortcomings particularly for data items which are repetitive throughout the year such as labor use. Secondary sources will be utilized, such as agricultural sample censuses and other research projects, to verify interview results. The samples of members and non-members will number not less than 50 each and will be chosen randomly. Larger samples and more cost effective sampling methods will be explored.

b) Determinants of the Distribution of Benefits - The second objective of the case study is to analyze the determinants of the distribution of the income and employment benefits of the cooperative among small farmers within the community. Since only member of the cooperative can obtain its benefits, then one of the major determinants of the distribution of benefits is membership in the cooperative. Southern University will analyze factors underlying such membership in the community. Among the factors that can be

hypothesized to influence the decision to join the cooperative are progressiveness, family structure and kinship relations, cooperativeness or competitiveness, ethnicity, choice of leadership and ability to derive economic benefits as determined by access to productive resources, and other similar socio-economic attributes. The role of women in the family structure and type of labor inputs provided by the family would be examined for cooperative member and non-member households. Techniques which may be utilized in testing these hypotheses are analysis of variance, discriminant analysis, or regression analysis. Data will be derived from interviews of samples of not less than 50 non-member small farmers and 50 members in the same community. During the planning of the study specific hypotheses will be selected for testing.

Not only is membership in the cooperative a determinant of the employment and income benefits obtained by small farmers, but, there are undoubtedly differences among the members and non-members in the degree to which they benefit from membership, reflecting in large part the degree to which they utilize the services of the cooperative as well as the efficiency of their farming operations. Social, economic, and technical factors can be hypothesized to influence this distribution. For instance, access to resources and distance from the cooperative may be major economic factors while quality of land may be a technical constraint. The specific hypotheses to be tested by Southern will be framed during the project planning period, after a review of existing literature, discussions

with consultants, and informal study of the cooperative and its members. Analytical methods will also be selected at that time. Regression and factor analysis appear to hold the most promise. Data for this analysis will be derived from interviews of the members.

Four faculty members from Southern University will participate in the project, three agricultural economists and a sociologist. A research associate in agricultural economics and a graduate student in rural sociology/sociology will also participate. The faculty members will be Dr. T. T. Williams, Director, Employment-Unemployment Institute; Dr. Leroy Davis, Chairman, Department of Agricultural Economics; Dr. Jaswant R. Jindia, Associate Professor of Agricultural Economics; and Dr. John Moland, Professor of Sociology and Director, Center for Social Research.

3. Phasing and Implementation:

The grant extension will be conducted in four phases:

Planning: March 15 - June 1, 1978

Field Work: June 1 - August 31, 1978

Analysis and Report Preparation: September 1, 1978 -
February 28, 1979

Utilization: March 1-September 18, 1979

Phase I - Planning: During this phase, the small farmer organization for the case study will be selected, background materials will be collected and summarized, linkages with other institutions having experience with small farmer organizations and LDC data collection will be established, and the study methods will be specified.

Southern and DSB/AGR have finalized the process of identifying an appropriate country. Kenya has expressed an interest in the case study. Dr. T. T. Williams was recently in Kenya as part of an evaluation team and discussed Southern's interest in analyzing a small farm organization with the Ministry of Cooperatives and USAID/Kenya personnel. It appears that the case study which Southern proposes to conduct will be of benefit not only to Kenya but other countries as well.

During the first month of the funded extension (starting approximately March 15) two concurrent activities will take place: the small farmers organization will be selected and the literature review would continue.

From three or four organizations to be identified by USAID/Kenya, DSB/AGR and Southern University, one organization will be selected for study. Criteria to be utilized will include:

- the purposes, services and apparent viability of the organization and a past history of ability to overcome problems
- age of the cooperative
- cooperative's willingness to participate in the study
- availability of data from the organization, its members, the region and country,
- feasibility of working collaboratively with other U.S. institutions on the case study,

Representatives from Southern University Institute staff will visit potential cooperatives, prior to the selection of one for the case study.

Once the study cooperative has been selected, materials about that specific organization and the geographic region in which it is located will be collected and studied. This will include but not be limited to:

- demographic data about the country and service region of the cooperative
- anthropological/sociological studies of the country and/or the particular group of the cooperative's membership,
- descriptions and evaluations of the institutions and organizations which impact upon the cooperative including government agencies, universities, input suppliers, etc.
- economic studies of agriculture and other industries in the study region.

Linkages established with other groups and institutions which have had past experience with data collection and analysis in LDCs will continue. Individuals from these organizations would take part in meetings and seminars serving as consultants to the study team by providing assistance and guidance in the design of research methods, sampling and data collection techniques, and data processing and analysis as required. Preliminary contacts have been established with Michigan State University and ACDI among others, which have relevant expertise and experience with data collection and/or small farmer organizations. They have indicated interest and willingness to assist in the development of the study.

Two such seminars and meetings would be held during the planning phase:

1. A meeting of the study team, the appropriate consultants, and the

AID project manager will be held at start of the second month of planning (April 15) to discuss further delineation and refinement of study objectives, and to begin discussions of research problems and methods. A seminar on the use of various analytical techniques such as regression, factor analysis and discriminant analysis will form part of this meeting.

Thus during the last month of planning (May 1978), the specific methods will be delineated including data requirements, sampling methods and analytical techniques. The study team will have been preparing a paper which will present the refined study objectives and justification, a background of the country and region under study, a history and description of the cooperative, and the proposed research methods.

2. A meeting of the study team, the grant project officer, and the appropriate consultants will be held in late May, just prior to the departure of the study team, to review the paper described above. A seminar on likely data collection and sampling problems will be held during this meeting.

Southern University will also participate in an A/D/C/ Seminar on the role of cooperatives in the development process scheduled for March or April.

During Phase I the research associate and graduate student will work full-time on the study, Professors Moland and Jindia will devote one-half of their time to the study, and Drs. Davis and Williams will provide quarter time.

Phase II - Field Work: This will take place from June 1 to August 31, 1978. Drs. Jindia and Moland, the research associate and the graduate

student will be in the country full-time throughout the period while Drs. Davis and Williams will spend approximately half-time at the study site. During this phase all data will be collected. During the first four weeks the Institute team will familiarize themselves with the local situation, particularly, the social, political, and economic environment of the cooperative, the cooperative's purpose, structure, history, services, and facilities, and the established and proposed agricultural systems of the region. Supporting data will be assembled, particularly from the records of the cooperative. Discussions will be held with government workers in relevant ministries, local leaders, agricultural and social scientists, cooperative leaders, cooperative members, and local farmers. A pilot survey of cooperative members to aid in the drawing of the control group of farmers will be carried out during these first four weeks.

At the end of this period, the study team should have a strong grasp of the attitudes and external realities confronting the cooperative and its membership. The control group region will also be selected and hiring of enumerators will be initiated.

During the following three weeks questionnaires will be designed and tested, samples will be drawn, and enumerators will be trained. One of the previously identified consultants will visit the study site to assist the team in making any required adjustments in the methodology.

For the remainder of Phase II, data will be collected. It is anticipated that the three surveys will produce no less than 50 useable questionnaires each.

It is recognized that problems in data collection in the field may occur. Therefore an extension of Phase II activities into the Fall 1978 is possible; the research associate will be available to continue in-country work for a brief period should this prove necessary.

Phase III - Analysis: During the period September 1, 1978 - February 28, 1979 the data will be analyzed and reports prepared for distribution to AID and the host government. During this phase, the Institute study team will participate at the same levels as in Phase I.

A seminar will be held in the Fall 1978 on problems encountered in data collection and the changes required to overcome these problems. Another seminar will be held in the Spring, 1979 on a topic to be decided later.

Reports to be submitted to AID will include a research report summarizing the findings for each of the two objectives and a review of the problems of conducting the research for the case study. The latter report would be subdivided into conceptual problems, sampling problems, data collection problems and should include a discussion of the feasibility of adapting research tools and methods designed for use in the U.S. to an LDC context. In addition a report will be prepared for mission and host country use which summarizes findings and makes appropriate programmatic and policy recommendations.

Phase IV is a utilization phase and is described below in "Part IV Utilization"

E. Financial Plan - 18 Months*

Inputs:		(\$000)
1. Salaries - faculty release time: 28.5		61
Research Associate 12 mm		10
2. Research Assistantships - 18 mm sociology		5
(at 2,400 per 9 mm)		
3. Consultants		8
4. Secretary - 12 mm at FT = 8,000 (+ 3 mm) = 2,000		10
5. International Travel		
Air Fares		12
Per Diem		25
6. Domestic Travel		
Air Fares		6
Per Diem		4
7. Data Collection		10
8. Other Research Expenses		5
9. Library Books		1
10. Conference		10
	Total	<u>167</u>
Outputs:		
1. Education and Training		9
2. Research		130
3. Linkages and Networks		4
4. Information Capacity		11
5. Advisory and Consulting Services	Total	<u>13</u>
		167

*The University would contribute its approved overhead of 36 percent of salaries, \$2,196.

F. Alternative Funding

Southern, during the next 18 months, will explore possibilities for other contractual utilization of its capacity after the termination of its 211(d) grant in August 1979. In particular, Title XII activities would be a logical mechanism to utilize Southern's capacity developed under the 211 (d) program. In addition, the involvement of the University in general and the Institute staff in particular in consortium arrangements under SECID and other linkages would continue to be developed.

IV. - Utilization or Phase IV:

During the period March 1, 1979 - August 15, 1979, Southern University will focus on activities designed to foster utilization of its developed capacity. This will occur through 1) a conference which will assist in the dissemination of the research results and provide opportunities for linkages with other institutions and 2) release time for faculty so they can provide consultation and advisory services. In addition a seminar during the summer 1979 will be held; the topic will be decided later.

1. Conference

Southern University will sponsor a conference on the role of small farmer organizations in improving the income and employment opportunities of rural people in less developed countries. This conference will draw upon the expertise resident in both foreign and American universities, donor agencies, private voluntary agencies, and governments and cooperatives, of less developed countries. Its focus would be the theoretical and actual effects of such organizations on the welfare of rural people

in the LDC's. The underlying assumption of such a conference would be the sharing of experiences by Southern University and other participants, particularly foreign. Southern would relate its experiences during its work in an LDC to its domestic experience with cooperatives. Agriculturally-focused organizations will be emphasized, but others may be considered. Among the types of organizations to be considered are cooperatives, quasi-cooperatives, emerging cooperatives, informal and formal community service organizations, farmers clubs, etc.

A/D/C is currently organizing a program of research and seminars on cooperatives. Southern University Institute Director will coordinate with A/D/C in the development of seminar and conference activities. A/D/C has been contacted and would include faculty from Southern in its program and would assist in the development of a conference.

2. Advisory and consultative services

Six man-months of faculty release time will be made available under this grant to provide consultative services to AID. The expectation is that most of the consulting work will be related to activities of small farmer groups, and rural employment problems. Nevertheless, the scope of Southern's capability is wide enough to allow participation of the faculty members where the disciplines of agricultural economics, sociology and education/human resource development might be needed. Three of the four core faculty of the case study have a month's time available. Three man-months of consultative time will be available from other staff members. This

time will be in two to four week time periods. The Agency realizes the serious consulting time constraints existing in most research/consulting arrangement with Universities. Thus Southern will attempt to allow for shorter lead times in arranging consultation by providing flexibility to faculty schedules. The consultative work would broaden Southern's experience and provide the Missions with technically skilled people to work in areas of LDC needs.

Complementary actions and management considerations are important concepts of this grant. As mentioned earlier linkages and network will be set up among other universities and institutes in the U.S. and abroad. Contact has been made with Michigan State University regarding possible Southern involvement in the Off Farm Employment Project contracted out by DSB/RD. In addition, CLUSA and ACDI have expressed interest in joint activities with Southern's Institute staff. Finally on the domestic front, Southern has received a small grant from USDA to evaluate the factors contributing to the success of limited resource farmer cooperatives which should buttress the Institute international work. Two of Southern's Institute staff plan to participate in the Project Design and Evaluation Seminar.

V. EVALUATION AND REPORTING

The evaluation for this grant extension consists of an on-site evaluation 12 months after the start of the grant and an end of project summary. The on-site evaluation will consist of the grant project officer, the Institute staff and representatives from the Regional Bureau where

the case study has occurred and would also include an interested rural and agricultural development generalist. The on-site evaluation will place emphasis on how the grant extension has been used to sustain a viable institutional response capability. The outputs, such as case study reports and reports on associated seminars would be used as a basis for determining achievement of the grant purpose. Throughout the grant extension DSB/AGR would also be monitoring the overall progress of the grant and assist in the seminars and meetings focusing on project design activities as well as arrange a brief in-country visit to monitor and assist in field activities. An annual type report would occur as of the 12th month of the grant extension. In addition a final report would be submitted.

End of project indicators are based on the outputs outlined in the plan of work Section III. D. and in the Log Frame.

VI. Role of Women in Grant Program Activities

Women would be given every opportunity and encouraged to take part in the substantive activities of the grant.

**PROJECT DESIGN SUMMARY
LOGICAL FRAMEWORK**

931-0140

Project Title & Number: Southern University 211(d) Grant Rural Unemployment and Underemployment

Life of Project:
From FY '72 to FY '79
Total U. S. Funding \$167,000 *
Date Prepared: 1/10/73
*(167,000 for extension period)

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p>Program or Sector Goal: The broader objective to which this project contributes:</p>	<p>Measures of Goal Achievement:</p>		<p>Assumptions for achieving goal targets:</p>
<p>Project Purpose: To further develop the institution's response capability and multidisciplinary capacity to assist LDCs (with emphasis on the problems of rural unemployment and underemployment and the impacts of small farmer organizations on these problems) while facilitating greater utilization of the capacity developed.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <ol style="list-style-type: none"> 1. A small, but competent group of faculty members in agricultural economics, economics and sociology, with experience in working collaboratively with LDC professionals on rural unemployment and underemployment problems. 2. Increased utilization of core staff by AID, LDCs and/or other donors. 	<ol style="list-style-type: none"> 1. Annual reports, Project Appraisal reports (PAR's), on-site review reports 2. Annual reports, PAR's, regional bureau documentation. 3. Information from USAID's served. 	<p>Assumptions for achieving purpose:</p> <ol style="list-style-type: none"> 1. (a) There is a continuing need for the competence and expertise being developed at Southern University. (b) Core staff remains committed and interested in working collaboratively on LDC problems. 2. Regional Bureaus will identify opportunities to utilize Southern core staff.
<p>Outputs:</p> <ol style="list-style-type: none"> 1. Expanded knowledge on problems concerning rural unemployment and underemployment and role of small farmer organizations on these problems. 2. Strengthened educational and training capacity as it relates to agricultural/rural development. 3. Advisory and consultation capacity. 4. Increased information capacity. 5. Linkages and networks developed. 	<p>Magnitude of Outputs:</p> <ol style="list-style-type: none"> 1. Case Study of a Small Farmer Organization in a selected LDC. 2. One Research Associate and one Graduate Student Supported by the grant. 3. 6 MM available for advisory and consultation services. 4. a) Approximately 30 additional library acquisitions related to international development. b) 1 conference, 5 seminars held. 5. Stronger linkages developed with 1090 and 1062 universities and cooperative organizations. 	<ol style="list-style-type: none"> 1&2 Annual reports, PAR's, research papers and theses. 3. Annual reports, field trip reports and consultations with Regional Bureau personnel. 4. (a) Library acquisition lists. (b) Southern University monographs on conference and seminar proceedings. 5. Annual reports, PAR's, linkage agreements, Mission correspondence. 	<p>Assumptions for achieving outputs: 1. (a) Information needed for case study is available. 2. Research Associate and graduate students are recruited who are interested in LDC problems. 3. Core staff remains interested in providing advisory/consultative services. 4. Facilities are sufficient for increasing information capacity. 5. Sufficient interest in forming linkages and networks exists in LDC and LDC institutions.</p>
<p>Inputs:</p> <ol style="list-style-type: none"> 1. Computer, teaching, library office, administrative and accounting facilities. 2. Financial Support 3. Project Management (DSH/AGR) involvement. 4. Regional Bureau involvement. 	<p>Implementation Target (Type and Quantity)</p> <ol style="list-style-type: none"> 1. Present facilities adequate. 2. \$167,000 over 18 months. 3. Approximately 2 MMs/yr. 4. Approximately 10 work-days/yr. 	<ol style="list-style-type: none"> 1. Annual reports. 2. PIO/T's and other AID records. 3. PAR's, correspondence with Southern University. 4. PAR's, memo's, cables and other correspondence with regional bureaus and missions. 	<p>Assumptions for providing inputs:</p> <ol style="list-style-type: none"> 1. Facilities will be available Southern. 2. Grantee could not develop its capacity without financial support. 3. Guidance and direction needs given to grantee's program. 4. Regional bureaus and missions to be involved in decisions affecting their respective LDC's.

ACTION MEMORANDUM FOR THE DEPUTY ASSISTANT ADMINISTRATOR FOR FOOD AND NUTRITION, BUREAU FOR DEVELOPMENT SUPPORT

October 17, 1979

THRU: DS/PO, Bernard Chapnick *BC*

FROM: DS/AGR, Dean Peterson *Dean Peterson*

SUBJECT: Project 931-0140, 211(d) Grant Program "Rural Unemployment and Underemployment" - Southern University

Reference: A) Grantee to AID Letter
B) 211(d) Grant AID/csd-3414

Problem: Your approval is requested for a ninety (90) day unfunded extension of Project 931-0140 to allow the grantee additional time to complete project analysis and the publication of grant project reports.

Discussion: Southern University, a minority 211(d) grant program, received an eighteen-month extension of grant AID/csd-3414 effective March, 1978. An unfunded ninety day extension is now requested to allow satisfactory completion of grant applied research reports. It is necessary that Southern University complete a more detailed analysis of the data collected in its research study concerning the impact of the multipurpose smallholder cooperatives on rural incomes and employment in Kenya to fulfill grant objectives. With further guidance from DS/AGR/ESP and the additional time requested in this extension, Southern University could complete a study of interest and value to USAID/Kenya and to the Ministry of Cooperative Development in the Government of Kenya.

Recommendation: I recommend that you approve this proposed ninety day unfunded extension of project 931-0140 by signing the attached PAF.

Attachments:
Letter
Grant
PAF

Clearances:

DS/AGR/ESP:JCDay	<i>JCD</i>	Date	<u>10/17/79</u>
DS/AGR:MMozynski	<i>MM</i>	Date	<u>10/18/79</u>
DS/PO/FN:ASilver	<i>AS</i>	Date	<u>10/24/79</u>
DS/PO/FN:PGage	<i>PG</i>	Date	<u>10/24/79</u>

DS/AGR/ESP:KBoyd:mmb:10/17/79:X235-8922

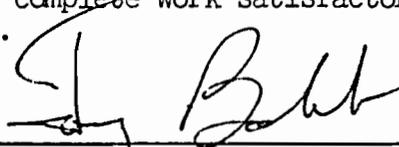
PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS
PART II

ENTITY : DS Bureau

PROJECT : Rural Unemployment and Underemployment

PROJECT NO: 931-0140

I hereby authorize an extension effective 15 September through 15 December, 1979 requiring no additional funds of the 211(d) grant on Rural Unemployment and Underemployment, AID/csd-3414 with Southern University. This extension will provide the additional time required by the grantee to complete work satisfactorily as specified in the existing grant.



E. N. Babb
Deputy Assistant Administrator
Bureau for Development Support

Date: 10 / 26 / 79

Clearances:

DS/AGR/ESP:JCDay	<u>KB/or</u>	Date	<u>10/12/79</u>
DS/AGR:MMozynski	<u>MEM</u>	Date	<u>10/18/79</u>
DS/AGR:DPeterson	<u>DP</u>	Date	<u>10/19/79</u>
DS/PO:PGage	<u>PG</u>	Date	<u>10-24-79</u>
DS/PO/FN:ASilver	<u>as</u>	Date	<u>10/24/79</u>
DS/PO:BChapnick	<u>BC</u>	Date	<u>10/25</u>

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I		1. TRANSACTION CODE <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE	PAF 2. DOCUMENT CODE 5
3. COUNTRY/ENTITY DSB		4. DOCUMENT REVISION NUMBER October 10, 1979 1	
5. PROJECT NUMBER (7 digits) 931-0140	6. BUREAU/OFFICE A. SYMBOL: DSB B. CODE: 36	7. PROJECT TITLE (Maximum 40 characters) Rural Unemployment and Underemployment	
8. PROJECT APPROVAL DECISION ACTION TAKEN <input type="checkbox"/> A APPROVED <input type="checkbox"/> U DISAPPROVED <input type="checkbox"/> DE DEAUTHORIZED		9. EST. PERIOD OF IMPLEMENTATION Extension of One (1) Qtr for a total of: yrs. 0 1 QTRS 3	

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. Cum. FY 78		H. 2ND FY 79		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1)	185I	052	-	667	-	-0-	-	-	-
(2)									
(3)									
(4)									
TOTALS				667	-	-0-	-	-	-

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	B. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT			
(1)	-	-	-	-	667	-				
(2)										
(3)										
(4)										
TOTALS					667		C. PROJECT FUNDING AUTHORIZED THRU		FY 7 9	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)				13. FUNDS RESERVED FOR ALLOTMENT TYPED NAME (Chief, SER:EM/FSD) SIGNATURE DATE			
A. APPROPRIATION	B. ALLOTMENT REQUEST NO.						
	C. GRANT	D. LOAN					
(1)	-	-					
(2)							
(3)							
(4)							
TOTALS							

14. SOURCE/ORIGIN OF GOODS AND SERVICES
 000
 941
 LOCAL
 OTHER _____

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED
 This Amendment provides for a ninety (90) day extension of this project to allow sufficient time for the grantee to complete project analysis and the publication of project reports.

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

AGENCY FOR INTERNATIONAL DEVELOPMENT
**PROJECT AUTHORIZATION AND REQUEST
 FOR ALLOTMENT OF FUNDS PART I**

1. TRANSACTION CODE
 A CHANGE DELETE

PAF
 2. DOCUMENT CODE
5

3. COUNTRY/ENTITY
DS Bureau - 211(d) - Southern University

4. DOCUMENT REVISION NUMBER

5. PROJECT NUMBER (7 digits)
 931-0140

6. BUREAU/OFFICE
 A. SYMBOL **DSB** B. CODE 08

7. PROJECT TITLE (Maximum 40 characters)
 Rural Unemployment and Underemployment

8. PROJECT APPROVAL DECISION
 A APPROVED
 D DISAPPROVED
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION
 (Extension)
 YRS. 0 1 QTRS 0 2

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>cum 9730/77</u>		H. 2ND FY <u>78</u>		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1)	1851	052		500		167			
(2)									
(3)									
(4)									
TOTALS				\$100		167			

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	B. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT			
(1)					667				1	
(2)										
(3)										
(4)										
TOTALS					667					

C. PROJECT FUNDING AUTHORIZED THRU
 FY 7 9

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D. LOAN
(1) FN	167	
(2)		
(3)		
(4)		
TOTALS		167

13. FUNDS RESERVED FOR ALLOTMENT

TYPED NAME (Chief, SER: FM/FSD)

SIGNATURE

DATE

14. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 LOCAL OTHER

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

BEST AVAILABLE COPY

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE			18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE		
		MM	DD	YY		MM	DD	YY

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: DS Bureau - 211(d) - Southern University

Name of Project : Rural Unemployment and Underemployment

Number of Project : 931-0140

I hereby authorize a 211(d) grant to Southern University not to exceed \$167,000 subject to satisfactory negotiations for an 18-month terminal extension of the 211(d) grant with Southern University. This extension is designed to further strengthen its institutional capacity as well as facilitate the current utilization of the training research, advisory and information capacities already developed in addressing the problem of rural unemployment and underemployment and would emphasize the role of small farmer organizations in generating employment opportunities.

This grant will be fully funded in FY 1978.

Robert H. Nooter

Robert H. Nooter
Deputy Administrator

Date: MAR 6 1978

Clearances:

DS/AGR/ESP:WCMerrill WCM 2/15/78
DS/AGR:Mozynski MM 2/15/78
DS/AGR:LFHesser LFH 2/15/78
DS/PPU:RSimpson RS 2/15/78
PPC/DPRE:EHogan EH 2/15/78

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES *10/2*

THRU: AA/PPG, Alexander Shakow *AS*

FROM: AA/DS, Sander Levin *SL*

Problem: Your authorization is needed for an 18-month terminal extension and revision of the 211(d) grant to Southern University in the field of agricultural economics/economics.

Discussion: AID awarded a five year 211(d) grant in agricultural economics/economics to Southern University on May 19, 1972. The purpose of the grant was to increase the competence and strengthen the capacity of Southern University to assist LDCs in the analysis of rural unemployment and underemployment problems. A comprehensive review team recommended in March, 1976, that Southern should switch its focus from domestic activities to LDC development problems during the last year of the original grant, and that the sponsoring technical office (TA/AGR) should conduct a second review before considering the possibilities of alternative follow-on mechanisms, conceivably including an extension of the grant. TA/AGR carried out the recommended review in February, 1977, and concluded that considerable progress had occurred, especially in overseas involvement of faculty members, since the comprehensive review. The grant, meanwhile, was extended ten months to March 18, 1978, without additional funds to permit Southern University and TA/AGR to plan for Southern's continued involvement in overseas development activities and provide sufficient time for the preparation and consideration of an extension of their 211(d) grant which TA/AGR had decided to recommend following the special review.

The idea and rationale of extending Southern's grant was submitted to you by Action Memorandum dated November 23, 1977 (copy attached), so that preparation of the Grant Project Statement which would involve close consultation with the grantee would not be started without your approval. The Grant Project Statement was subsequently developed within the general guidelines set forth in the Action Memorandum from AA/TA which you had approved. Some details that are usually incorporated in associated workplans are included in the project design for this extension to facilitate closer monitoring of progress by AID and Southern.

The grant activities during this extension are designed to provide the University with a learning and capacity-building experience, while conducting a case study analyzing a "small farmer" cooperative organization and its impact on employment and income, as well as examining the sociological determinants of membership in such organizations. In the process, the University would (1) build on its domestic experience with "small farmer" organizations to increase its ability to carry out such research overseas; (2) develop closer linkages with other land grant institutions and agencies that are working with "small farmer" organizations by involving them in seminars and workshops that will draw on their experience, and (3) continue the strengthening of a response capability in analyzing rural unemployment and underemployment problems consistent with their original grant.

In order to act on some of the recommendations of the comprehensive review, this grant has been structured somewhat differently from other 211(d) grants and with a sharper focus than that of the basic grant. For example, in contrast to other 211(d) grants, a single case study forms the nucleus for the proposed activities during the extension. Thus, the expanded knowledge base (research) output of the grant will contain the bulk of the funding for release time for faculty, necessary travel and the collection and analysis of data. The educational and training output would support graduate student involvement in the case study as well as seminars designed to test methodology and clarify other research problems during the study. Linkages and networks would be developed as part of the contacts with other land grant institutions taking part in the planned seminars. The information capacity output will consist of an increase in documents on LDC development problems (particularly "small farmer" organizations), reports and recommendations resulting from the case study, and the proceedings of the conference scheduled in Spring of 1979. Six more months of faculty release time are available for advisory and consultation services which would emphasize utilization of the capacity which they will have strengthened during their activities overseas.

Southern's experience with the case study in an LDC will add substantially to their cross-cultural expertise, yield a product which should be of considerable interest to some Missions and concerned professionals, and enhance possibilities of their obtaining post-grant utilization arrangements with the Agency and other intermediary organizations.

The Research and Development Committee has reviewed the proposed 18-month grant extension as described in the Grant Project Statement. It was the consensus of those present that this should be the last extension of this 211(d) grant and that it should enhance the possibilities of Southern's future participation in other contractual arrangements for work in LDCs and Title XII "strengthening" programs. The four Regional Bureau representatives and other members present voted to concur in the extension.

With your approval, negotiation with Southern University of a proposal for an 18-month terminal extension will be initiated. Funds for this 211(d) grant are included in DSB's budget for FY 1978 and have been presented to Congress as a part of the "Agricultural Economics and Analysis" Project, pp. 14/15 of the FY 1978 CP "Interregional Programs" volume.

Recommendation: That you approve an 18-month terminal extension of the 211(d) grant to Southern University (not to exceed \$167,000) by signing the attached project authorization.

Attachments:

1. Project Authorization Form (Part II)
2. Belcher-DA Action Memorandum dated November 23, 1977
3. Grant Project Statement

Clearance:

GC:MBall	KCK/br	Date	2/18/78
GC/TFHA:ARichstein	l/n	Date	2/16/78
PPC/DPRE:EHogan	←	Date	3/1/78

DS/AGR/ESP:ERupprecht:mmb:2/15/78:X58922

DA/ACR, Dr. Leon Hesser

January 27, 1978

DS/PO, Robert C. Simpson (S)

Extension of 211(d) Grant to Southern University

PPC votes No on the extension of this grant. I am attaching memoranda from Ed Hogan and Don McClelland. I suggest that you ask Erhardt Rupprecht to explain the project to Don McClelland. If PPC stands firm, please let me know.

Att: 2

Memo dtd 1/19/78 frm DGMcClelland

Memo dtd 1/25/78 frm FHogan

cc: AA/DS, CMcGraw
DS/PO, JGunning
" KMilow
" CMolfetto ✓
" TEliott

DS/PO:RSimpson:gma

January 25, 1978

MEMORANDUM FOR: DS/PPU, Mr. Robert Simpson
FROM : PPC/DPRE, Edward Hogan
SUBJECT : Extension of 211(d) Grant to Southern University

I regret that the pressure of other work precluded my attendance at the R&DC meeting on January 24, 1978

PPC has reviewed this proposal and votes against it. See attached for our reasons. We would not expect to see this project approved without additional consultation with PPC.

Attachment: Memo fm D. G. McClelland to Hogan
dtd. 1/19/78

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

MEMORANDUM

January 20, 1978

TO : DSB/PPU, Robert Simpson
FROM : ASIA/DP, Robert Meehan
SUBJECT : Proposed 18-Month Extension of 211(d) Grant
with Southern University

We support the project with the conditions that:

- a. Southern University be advised that (1) future A.I.D. relations with Southern will be determined by an evaluation of the quality of the products of this extension; (2) if the quality meets A.I.D. standards, we will encourage Southern to participate in Title XII activities and push utilization of its expertise by our field missions; and (3) if the quality of the products do not meet our standards, we will end our special relationship.
- b. The Title XII Board should be advised of this position and should participate in defining the standards which will be used in such an evaluation.

We commend DSB/AGR for the innovative approach used in this project. Defining Southern's end-of-project status in terms of its performance in carrying out an in-depth case study and related follow-up conferences will allow fairly objective evaluation of its institutional capacity to provide field services to our missions.

We support the Agency's commitment to strengthen minority institutions to participate in overseas development activities. We recognize that institutional development is difficult and that 5 years is a short period to measure significant progress. We also recognize that the Agency's approach to 211(d) in 1972 was not particularly sensitive to the differences between the top agricultural economic departments in the country and the 1890 land grant minority institutions. Therefore, Southern's poor performance under the initial

grant as documented by the 1976 PAR is not unexpected. However, we strongly object to blaming this poor performance on the quality of TAB/AGR management given the assumption that the grantees were suppose to take the initiative in exploiting the 211(d) opportunity.

The PP states on page 6, "The review team (PAR) did recognize that TAB/AGR management of the grant in the earlier years had been remiss." The PAR does not infer any such statement. The PAR shows that Southern failed to:

- a. Focus its activities in the area of unemployment as required by the grant;
- b. Develop a research plan of interest to A.I.D.;
- c. Take the initiative to learn about our programs and get involved so that our regional bureaus learned about Southern's capabilities;
- d. Interrelate as an institution its 211(d) grant and its contract work in the Cameroons;
- e. Provide good project management.

In fact, the PAR team recommended against an extension of the 211(d) with Southern.

In our opinion, the PP does a disservice by downplaying Southern's responsibility for its poor performance because this extension represents an important pilot project for an alternative approach to institution building and evaluation of performance. The lessons learned with Southern may be applicable to the provincial universities in the LDC's.

cc: ASIA/TR, Calvin Martin

MEMORANDUM

TO: PPC/DPRE, Mr. Ed Hogan

January 19, 1978

THRU: PPC/PDA, John Eriksson *J.E.*

FROM: PPC/PDA/SPA, Donald G. McClelland *D.M.*

SUBJECT: Comments re: "Proposal for Revision/Extension of 211(d) Grant in Economics/Agricultural Economics to Southern University - \$167,000 over 18 Months

This request is similar to that of Virginia State University (August, 1976), in that it fails to generate much enthusiasm and provides few compelling reasons for AID support. The following factors should be carefully considered in determining whether or not the extension request should be granted.

1. Although there is clearly a need for trained and experienced agricultural and rural development specialists in AID and the LDCs (p.3), it does not follow that the Agency is prepared or willing to hire this expertise. In other words, while there is an urgent need for these kinds of people, there is at present no effective demand (on the part of the Agency) for their expertise. Therefore, it may not make sense to allocate scarce resources to train people the Agency is not willing to use.
2. The initial five year grant to Southern University was designed to emphasize rural unemployment and underemployment problems. However, after the first four years, an evaluation team "recommended that the grant to Southern not be extended because the grantee had failed to focus grant resources on the problems of rural unemployment and underemployment . . . as called for in the grant." (p. 6) The extension request suggests that a focus on "the development of more effective small farmer organizations" (p.4) will permit the university to "focus more sharply on the rural unemployment and underemployment problems in LDCs." (p. 10) The logic is that because "LDCs face steadily worsening unemployment problems", it will be necessary that they rely increasingly on rural organizations. (p. 12) First, it is not at all clear that there is a necessary relationship between unemployment and small farmer organizations; second, a focus on small farmer organizations may only weaken and dilute useful analyses of unemployment problems. Particularly in view of past experience, one might legitimately raise the question:

is the extension designed to focus on unemployment problems, or does it basically concern an entirely different area of inquiry?

3. The request states that "the grant extension activities proposed in this paper are organized around a case study of a small farmer organization." (p. 18) If so, it seems particularly important to review the status of the project funded by DSB/RD and being carried out by Development Alternatives, Inc. entitled "Alternative Organizational Strategies". Based on my recollection of the latter project (and my understanding of the present proposal), it may be that granting the extension to Southern University will largely duplicate (but might usefully complement) work that the Agency is already funding.

4. The evaluation team made three recommendations: the first stated, in part, that during the final year of the grant, "every effort should be made . . . to prepare specific outputs which relate to the original grant objectives . . ." (p. 11 of Evaluation, underlining supplied) Although the extension request does provide examples of substantial progress during the final year (pp. 7-8), none of these outputs has anything to do with "the original grant objectives" -- that is, unemployment and underemployment problems. Progress, per se, is not the relevant criterion against which to judge performance; rather, progress in relation to the original grant objectives. Thus, while "this grant extension permits Southern to focus its interests in unemployment and underemployment problems . . ." (p. 13), evidence from the first four years (based on the Evaluation Report) as well as from the fifth year (based on pp. 7-8) suggests that this is not likely to be the case.

5. It is tempting to view this request as a small investment ^{necessary} to reap the benefits of the larger five year investment; that is, without the marginal investment, the return on the five year investment will be negligible. However, this is probably not the case, since it is envisioned that even after the 18 month extension, Southern University will require still more strengthening: "With respect to Title XII strengthening activities which are contemplated in FY 79, this extension should be thought of as continuation of the strengthening activities under the 211(d) grant. As such, it has a focus within a specific problem area, and should not preclude Southern University participation in the broader strengthening program envisioned under Title XII." (p. 14)

6. The "Plan of Work" (p. 17 ff.) suggests that this extension request is basically a research proposal. Indeed, of the five anticipated outputs, "research" is by far the largest, \$130,000 out of \$167,000 -- or about 80%. (p. 32) Therefore, if this is basically a research proposal, it should perhaps not be supported via the 211(d) grant mechanism. The third recommendation of the evaluation team suggested that, depending on how Southern University performed during the final year, a continued relationship with the university may be possible through "other means, such as a Cooperative Agreement, specific research contracts, expanded participant training grants, or even, conceivably, a grant extension in the utilization mode." (p. 12 of Evaluation Report) Clearly, the latter means was viewed as the least appropriate alternative. Therefore, assuming

the expected research results are of value to AID, a research contract with Southern may be more appropriate than a 211(d) grant extension. Unfortunately, the proposed research methodology seems rather weak, and therefore, the research results may not be of a calibre to warrant serious consideration.

7. Several miscellaneous questions arise: (1) there is no indication of what criteria will be used to select the small farmer organization for the case study; perhaps, this should be thought through more carefully. (2) the request states that "Southern University presently has an unfunded extension of its 211(d) Grant . . ." (p. 24); what does this mean? (3) The estimated budget provides \$1,000 for acquisition of library books (p. 32), and the logframe estimates that approximately 30 library books will be obtained; this averages out to over \$30 per book, which raises questions concerning the kinds of books Southern University has in mind.

Notwithstanding the above, there is at least one compelling reason to support the extension request -- it is entirely consistent with the wishes of the Congress. As indicated in the Title XII legislation, "The U.S. should strengthen the capacities of the U.S. land-grant and other eligible universities . . ."

cc: D. Dalrymple
J. Stepanek

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES

FROM: AA/TA, Marjorie Belcher *MB*

Problem: Southern University's 211(d) grant is due to expire on March 19, 1978. We would like with your approval to proceed to develop in collaboration with Southern a project paper proposing an eighteen month extension with an estimated cost of \$150,000 to \$180,000.

Discussion: AID awarded a 211(d) grant in agricultural economics to Southern University on May 19, 1972. The purpose of the grant is to increase the competence and strengthen the capacity of Southern University to assist LDCs in the analysis of rural unemployment and under-employment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant unless there was strong evidence that Southern would refocus its 211(d) activities into a "utilization" mode. TA/AGR accepted this recommendation and notified Southern that a second review would be undertaken to assess Southern's response to the review team's suggestions. The review team also remarked on a need for greater aggressiveness on the part of AID in providing advice and guidance to Southern during the early years of its grant program development. Such guidance has since been forthcoming and will continue actively during the proposed extension when it will also be essential.

The second review was completed by TA/AGR in February 1977. TA/AGR concluded that considerable progress had been made by Southern University since the 1976 comprehensive review. As a result, two unfunded grant extensions (a six month extension and a four month extension through March 18 1978) were approved to allow Southern University additional time to become more directly involved in AID activities and to afford time to plan for Southern's continued involvement in overseas development.

There are two broad considerations which favor the revision and funded extension of Southern's grant. First, we wish to see Southern University, as a leading 1890 land grant university, succeed in its determination to participate in the Agency's programs of assistance to developing countries. This extension would further develop Southern's capacity to respond to LDC employment and farmer organization needs. The core of expertise would also provide a focus within the University for the BIFAD suggested special strengthening program. Second, the sharper focus of the proposed grant extension would involve them in more concrete activities (farmers organizations and developing cooperatives) with which they have had domestic experience and in which interest has been expressed by the regional bureaus. In this connection projects are currently underway to support cooperative development, either directly or as part of broader project goals, in Ethiopia, Liberia, Mauritania, Niger, Swaziland, Zaire and other countries in Africa.

TA/AGR has suggested that, if a substantive extension is approved, it should build on Southern's experience with small farmer organizations and, in particular, place more emphasis on the impacts that such organizations can have on small farmers' incomes and employment opportunities. Special attention would be given to rural cooperatives. This approach would provide a practicable and useful focus for the proposed extension consistent with the broad scope of concern of the original 211(d) grant.

Under such an extension of its grant, Southern University has indicated that it would like to carry out a review of some of the AID supported cooperative projects including in-depth analysis of the impacts of at least one of these projects on the rural poor. Discussions with the regional bureaus have indicated an interest in and need for such work. Both the regional bureaus and Southern have a strong interest in "emerging" cooperatives; that is small, young, financially weak cooperatives, whose membership consists primarily of small landowners. In addition, funds would be provided to (1) support training programs and international development students at Southern, (2) special seminars on rural employment problems in LDCs, (3) participation of Southern staff in AID training programs, and (4) assistance by Southern staff to AID field missions in project design and evaluation. During the grant extension period, Southern University would be expected to take part in efforts to develop linkages between several of the 1862 and 1890 land grant institutions as well as private voluntary agencies concerned with the problems of rural cooperatives. Preliminary discussions with other universities and private not-for-profit groups indicate that Southern's activities in the area of emerging cooperatives can be readily coordinated with related efforts of other groups.

A project paper that has been discussed with Southern can be prepared for submission by the DS Bureau to the Research and Development Committee by January 1 and to you for your authorization decision within the month. Southern's detailed proposal for the extension would then be solicited, reviewed and negotiated, and the grant effected during February.

Agency procedures do not call for a PID for extension of an ongoing project. Since this would be a substantive extension, however, this memorandum is submitted to you for your approval before proceeding with preparation of a project which, in the case of 211(d) grants involves close consultation with the grantee or prospective grantee. The Administrator or Deputy Administrator has historically approved/authorized all 211(d) grants because they entail use of Agency funds for the development of U.S. (as distinct from developing country) institutions. Your approval, below, would not constitute an authorization of the project extension nor of the suggested funding.

Recommendation: That you approve TA/AGR/ESP's initiating discussions with Southern University to develop the project paper and supporting work plans

for an extension of its grant for approximately an eighteen-month period ending in September, 1979, at an estimated cost of \$150,000 to \$180,000. The extended grant would continue to address rural employment problems and would emphasize the role of small farmer organizations in generating employment opportunities.

Approved: PHW *TR*

Disapproved: _____

Date: 11/24/77

Clearances:

AA/PHA:ARFurman	<i>suby RUMSB</i>	Date	<i>11/23/77</i>
PHA/PVC:JAUliniski	<i>leg blank</i>	Date	<i>11/23/77</i>
TA/AGR:LFHesser	<i>SPOLTE.</i>	Date	<i>11/22/77</i>
TA/PPU:JNGunning	<i>in draft</i>	Date	<i>11/21/77</i>
TA/RD:CBlankstein	<i>in draft</i>	Date	<i>11/22/77</i>
AA/TA:RRobinson	<i>in draft</i>	Date	<i>11/23/77</i>
Title XII Coord:FRiggs	<i>in draft</i>	Date	<i>11/22/77</i>

TA/AGR/ESP:WCMerrill:nmb:11/22/77:X58946

November 2, 1977

TA/AGR: Dr. Hesser

I have signed the PAF for a four month extension without additional funding, for the Southern Univ. 211(d).

I have not authorized proceeding with the 2-year funded extension since that requires the Deputy Administrator's approval. In preparing a memorandum to Mr. Nooter to obtain this approval, please include a critical path schedule for moving the extension forward within the next four months. Also a justification for a two year extension as opposed to a shorter period.

Please involve Rose Robinson, RD, Al Furman and someone from John Ulinski's office actively in the preparation of the memorandum for Nooter and the related planning, I agree with Rose's initial reaction that there will need to be a team visit to Southern in the near future, followed probably by a return visit some weeks later. We will need to know who at Southern is doing what and what they are planning. Also to be careful to insure that they do not plan to duplicate work that is already going on in other groups with respect to the role of cooperatives more generally.

Possible relations to potential BIFAD activities also need to be explored.

There is a beginning ground swell that A.I.D. should be giving greater attention to coops - largely although not exclusively in a rural development context. We need to be sure that Southern fits into these broader plans, but at the same time that its role in the broader context is clearly defined and appropriately circumscribed.

MSB

Marjorie S. Belcher
AA/TA

cc:AA/TA:RRobinson
TA/RD:HHobgood
AA/TA:AFurman
AA/TA:FRiggs
Reading File

SOUTHERN UNIVERSITY
UNEMPLOYMENT-UNDEREMPLOYMENT INSTITUTE
INTERNATIONAL ECONOMIC DEVELOPMENT PROGRAM
P. O. Box 9846
BATON ROUGE, LOUISIANA 70813

OF THE DIRECTOR

August 1, 1977

Mr. Erhardt Rupprecht
ECONOMIST
Economics and Sector Planning Division
Office of Agriculture
Technical Assistance Bureau
Department of State
Agency For International Development
Washington, D. C. 20523

Subject: Grant No. AID/csd-3414
Extension

Dear Mr. Rupprecht:

I am requesting an extension of the 211 (d) grant with no additional costs through February 18, 1978. The approved extension of the 211 (d) grant performance through November 18, 1977 restricts my ability to secure release-time for staff members who will be involved in the grant's activities. The fall academic semester is from August to January and the remaining time will be used to complete the final report.

Thank you for your cooperation in this matter.

Sincerely,



T. T. Williams
Director

TTW/h

cc: Mr. Morton Darvin

ACTION MEMORANDUM FOR THE ACTING ASSISTANT ADMINISTRATOR FOR TECHNICAL ASSISTANCE

FROM: TA/AGR, Leon F. Hesser

Problem: The 211(d) Grant to Southern University expires November 19, 1977. A four-month extension, without additional funds, of the Southern University 211(d) grant is necessary to enable Southern and AID adequate time to develop a proposal to further strengthen and utilize Southern's capacity in economics/agricultural economics for assistance to developing countries.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant unless there was strong evidence that Southern would refocus its 211(d) activities into a "utilization" mode. TA/AGR accepted this recommendation and notified Southern that a second review would be undertaken to assess Southern's response to the review team's suggestions.

The second review was completed in February 1977. The Office of Agriculture believed that considerable progress had been made by Southern University since the comprehensive review. It therefore requested an unfunded six-month extension (which was approved in May, 1977) to permit the preparation of a project paper for a funded grant extension that would build on the University's capacity and allow the utilization of its response capability in the analysis of rural unemployment-underemployment problems within a more specific focus. This more specific and intensive focus would be based on the fact that Southern University, during the latter years of the grant, has increasingly concentrated on the income and employment problems facing rural people with limited resources and on the role that institutional structures such as cooperatives can perform to alleviate these problems. Drawing in part on its domestic experience, Southern University has begun to center its activities and interests on analyzing how small farmer organizations can overcome these resource constraints.

TA/AGR has prepared an initial draft of a project paper for a funded extension for Southern to further develop its capacity and permit the utilization of its expertise to assess the benefits of such "emerging cooperatives" to members and their impact on the unemployment and underemployment problems of rural areas in LDCs. During internal A.I.D. review of this initial draft it became apparent that further revision of the draft is necessary. This unfunded extension will permit the

completion of the revision and continuation of the review and approval process of a grant project statement for a funded extension of Southern's grant. To avoid disruption at the institution, such an extension would coincide as closely as possible with Southern's academic year.

During the funded extension, among other things, Southern would conduct an assessment of an ongoing AID funded cooperative project. Discussions have been held with the Africa Bureau and Asia Bureau to identify an appropriate project. It is anticipated that this assessment would consist of an analysis of the socio-economic characteristics of the organization and impacts on the local economy; particularly the employment impacts.

It is also expected that Southern might take part in a networking arrangement with Michigan State University as part of the Off-Farm Employment project with TA/RD investigating rural employment problems. The identification of such an activity is being discussed with TA/RD. This should facilitate utilization of Southern University's capacity and expertise on a contractual basis after the 211(d) Grant ends.

A grant project statement will be completed by January 1. This allows approximately two months for submission of Southern's proposal, approval by the Deputy Administrator, and grant negotiations.

Recommendations:

1. That you authorize TA/AGR/ESP to enter discussions with Southern University to develop a detailed plan for a funded extension of Southern University's 211(d) grant until August 1979. The extended 211(d) grant would continue to focus on unemployment problems but would emphasize the role of small farmer organizations, particularly emerging cooperatives, in generating employment opportunities.

Approved: _____

Disapproved: _____

Date: _____

2. That you authorize by signing the attached PAF, a four-month extension, without additional funds, of the Southern University 211(d) grant.

Attachment:

1. PAF

Clearances:

TA/AGR/ESP:WCMerrill <i>UCM</i>	Date <u>11/1/77</u>
TA/PPU:JGunning (draft)	Date <u>10/31/77</u>
TA/RD:HHobgood (draft)	Date <u>10/31/77</u>

TA/AGR/ESP:ERupprecht:mmb:10/31/77

PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I

1. TRANSACTION CODE
 A ADD
 C CHANGE
 D DELETE

PAF

2. DOCUMENT CODE
 5

3. COUNTRY ENTITY
 USA Bureau - 211(d) - Southern Univ

4. DOCUMENT REVISION NUMBER

5. PROJECT NUMBER (7 digits)
 931-0140

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

7. PROJECT TITLE (Maximum 40 characters)
 Rural Unemployment & Underemployment

8. PROJECT APPROVAL DECISION
 ACTION TAKEN
 A APPROVED
 D DISAPPROVED
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION
 Extension
 YRS. 0 0
 QTRS 1

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY		H. 2ND FY		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	185I	053		500					
(2)									
(3)									
(4)									
TOTALS				500					

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	D. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL, LIFE OF PROJECT			
(1)					500					
(2)										
(3)										
(4)										
TOTALS					500		C. PROJECT FUNDING AUTHORIZED THRU		FY <input type="checkbox"/> 7 <input type="checkbox"/> 8	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D. LOAN
(1)		
(2)		
(3)		
(4)		
TOTALS		

13. FUNDS RESERVED FOR ALLOTMENT
 TYPED NAME (Chief, SER:FM/FSD)
 SIGNATURE
 DATE

4. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 LOCAL OTHER

5. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED
 To extend the existing project for four months to continue the process of developing and strengthening the capability of Southern University to assist AID and developing countries. No funds are being provided for this four month extension.

BEST AVAILABLE COPY

FOR PC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: TA Bureau - 211(d) - Southern University

Name of Project : Rural Unemployment and Underemployment

Number of Project : 931-0140

I hereby authorize a four-month extension of this project, without additional funds, which will enable Southern University to continue developing its capability to assist developing countries, with specific focus on analyzing how small farmer organizations can help overcome income and employment problems facing rural people with limited resources.

Signature: *M. B. Baker*
Acting Assistant Administrator
Technical Assistance Bureau

Date: Nov 2 '77

Reference:

1. Transmittal Memo

October 26, 1977

TA/AGR/ESP, Mr. William Merrill

Re: Southern University Expenditures

OK, extend til March -- no funding and
PP ready by January 1 -- R&DC January 15.
No~~o~~ter January 21 - No slippage.

Marjorie S. Belcher

cc: TA/PPU, Mr. Simpson L

UNITED STATES GOVERNMENT

Memorandum

TO : AA/TA, Marjorie Belcher

DATE: October 26, 1977

FROM : TA/AGR/ESP, William Merrill

Edward R. ... for

SUBJECT: Southern University Expenditures by Category

Listed below are the expenditures (rounded) for Southern University as they appear in their Annual Reports. Average monthly expenditures have ranged from approximately \$5,800 to \$8,803.

Based on the Annual Reports, Southern had approximately \$91,000 unexpended as of May 31, 1977. T. T. Williams estimates that approximately \$15,000 will be uncommitted as of November 19, 1977. He feels he could stretch this to cover costs to March 19, 1978. He would not be able to provide a more accurate accounting until October 31, 1977. If a six month extension is needed to assure adequate review by the Administrator, we would suggest adding \$10,000 to \$15,000 to the Grant.

Attachment:
Expenditure Table

BEST AVAILABLE COPY



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

	July 1-June 30 1972 1973	July 1-June 30 1973 1974	July 1-June 30 1974 1975	July 1-June 30 1975 1976	June 1-May 31 1976 1977
Salaries	\$38,958	\$44,488	\$40,619	\$62,449	\$48,627
Scholarships	25,596	28,245	24,721	37,008	17,786
Travel	4,102	1,641	4,642	5,046	13,940
Library	187	508	2,711	676	2,119
Supplies and Materials	587	-0-	-0-		
Computer	-0-	-0-	160	-0-	-0-
Communication	-0-	-0-	244	455	3,333
Total	\$69,430	\$74,882	\$73,097	\$105,634	\$85,805
Per month	\$5,800	\$6,240	\$6,091	\$8,803	\$7,150
Grand Total	\$408,848 (July 1, 1972-May 31, 1977)				



TRIAL BALANCE OF UNLIQUIDATED OBLIGATIONS BY PROJECT

AS OF SEPTEMBER 30, 1977

PROJECT SYMBOL = 931-0140-00

1-AG

OBLIG. NO.	OBJ. CL.	COST CODE	OBLIGATION DESCRIPTION	OBLIGATIONS	DISBURSEMENTS	UNLIQUIDATED BALANCE	ALLOTMENT SYMBOL	PI	CONTRACT NUMBER
3121040-2590	0009		SOUTHERN UNIVERSITY G	147,423.40	104,465.82	42,957.58	40231099003473	73	CSD -3414
			PROJECT TOTAL =	147,423.40	104,465.82	42,957.58			

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: TA Bureau - 211(d) - Southern University
Name of Project : Rural Unemployment and Underemployment
Number of Project : 931-0140

I hereby authorize a six-month extension of this project, without additional funds, which will enable Southern University to continue developing its capability to assist developing countries.

Signature Curtz Fava
Assistant Administrator
Technical Assistance Bureau

Date May 10, 1977

UNITED STATES GOVERNMENT

Memorandum

TO

John Gunning

DATE: *5/10/77*

FROM : SER/CM/SD/SUP, Gerald L. Nell

*dc
for*

SUBJECT: Review and Revalidation of AID Contracts/Grants

In the Memorandum for Assistant Administrators and Office Heads from Mr. D. B. MacDonald, Assistant Administrator, designate, Bureau for Program and Management Services, it states on page 2 in the last paragraph that "All new requests received by Contract Management after May 6 should be accompanied by a Review Sheet signed by the Assistant Administrator or Office Director."

We have received your PIO/T (PIPA) on *5/10/77* without a signed Review Sheet. We are returning your ~~PIO/T~~ (PIPA) with the required Review Sheet attached for you to complete. We have, however, retained one copy of the PIO/T (PIPA) to be used as an advance copy for our Contract Office.

ATTACHMENT:

1. PIO/T (PIPA)
2. Review Sheet



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

ACTION MEMORANDUM

5/6/77

TO : AA/TA, Curtis Farrar

FROM: TA/AGR, Leon F. Hesser *LH*

Problem: A six-month extension, without additional funds, of the Southern University 211(d) grant is needed to enable Southern to continue developing its capacity in economics/agricultural economics to assist developing countries.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. Southern's grant was one of two such grants awarded to minority institutions (The other grant, which was awarded to Virginia State College, was approved for a two-year extension by DA/AID in September 1976). The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant. The Technical Assistance Bureau elected to defer making a final decision on the grant for an 11-month period following this review to enable it to observe and assess the grantee's response to review team suggestions and further progress towards grant objectives. The in-house assessment was completed in February 1977.

The Office of Agriculture, TAB, believes that considerable progress has been made by Southern University. However, it is TA/AGR's view that a six-month extension is nevertheless required to assist the grantee to develop more fully the response capability which will be needed for effective implementation of a utilization activity. TAB plans to consider a terminal grant to Southern University which would take effect upon the completion of the six-month extension being proposed and continue through September 1978.

The original Southern University grant is due to expire on May 18, 1977, at which time an unexpended balance of approximately \$60,000 will still be available. TAB proposes an immediate six-month extension of the current grant, without new funds to continue the process of:

- 1) Developing and strengthening its staff capacity in economics/agricultural economics through the involvement and limited utilization of faculty in short-term advisory and consultation services in developing countries;
- 2) Providing grant support, but at a reduced level, for economics/agricultural economics majors currently involved in Southern's undergraduate/graduate research assistantship program; and,
- 3) Developing and strengthening its existing linkages and networks with domestic and international institutions engaged in research on unemployment/underemployment problems affecting people in rural areas.

During the six-month period, the Technical Assistance Bureau, in consultation with the regional bureaus, will also design, present for Agency review and DA/AID approval a grant project statement proposing additional funds to be provided in a terminal grant through September 1978. The six month extension period proposed should assist Southern University in more fully developing a quality response capability which could be tapped through appropriate utilization activities to follow the proposed extension.

Recommendation: That you approve, by signing the attached PAF, a six-month extension, without additional funds, of the Southern University 211(d) grant.

Attachment:

1. PAF

Clearances:

PPC/DPRE, E. Hogan ESP Date 5/6/77
TA/AGR/ESP, W. Merrill (draft) Date 3/31/77
TA/PPU, R. Simpson (draft) Date 4/5/77

ACTION MEMORANDUM FOR THE ACTING DEPUTY ADMINISTRATOR

THRU: ES

FROM: AA/PPC, Alexander Shakow (Acting)

Problem: A 3-month unfunded extension, to be followed by a one-year funded terminal extension of the Southern University 211(d) grant, is needed to enable the TA Bureau, in consultation with regional bureaus to design appropriate utilization activities which would follow the grant.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. Southern's grant was one of two such grants awarded to minority institutions (The other grant, which was awarded to Virginia State College, was recently approved for a two-year extension by DA/AID in September, 1976). The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant. The Technical Assistance Bureau elected to defer making a final decision on the grant for an 11-month period following this review to enable it to observe and assess the grantee's response to review team suggestions and further progress towards grant objectives.

The in-house assessment was completed in February, 1977, and the Technical Assistance Bureau is considering a one-year, terminal extension of the grant funded in an amount not more than \$100,000. However, this proposed course of action has left too little time to design, present for Research and Development Committee review and your approval an extension proposal which would enable Southern University and AID to (1) fully develop a quality response capability at Southern and (2) phase-out the grant activities into a new activity utilizing the grantee's competence and expertise before the present grant expires on May 18, 1977. An interim 3-month extension, without additional funding, is therefore necessary to complete the planning and Agency review of the one-year terminal extension request. The normal procedures for processing the extensions would be followed.

Recommendation: That you approve, by signing the attached PAF, a 3-month unfunded interim extension in order to permit orderly Agency review of a proposal for a one-year funded terminal extension of the Southern University 211(d) grant.

Attachment:

- 1. PAF

Clearance:

AA/TA:CFarrar _____ Date _____
GC:GMorgan _____ Date _____
GC/TFHA:ARichstein _____ Date _____

TA/AGR:AHarding: *ast* 3/18/77: 27937

UNITED STATES GOVERNMENT

Memorandum

TO : CM/SD/SUP, Dan Sutton
Room 711 PP

DATE: 4/11/77

FROM :

SUBJECT: Notice of Contract Expiration

A. Contract Identification:

1. Name of Contractor Southern University
2. Contract No. AID/esd-3414

B. Expiration

The above contract will be permitted to expire on its current expiration date of _____.

(If Paragraph B above is completed, Paragraph C shown below does not have to be completed.)

C. Proposed Extension

1. It is proposed to extend the above contract to 11/18/77.
2. PIO/T No. _____ is attached requesting extension.
3. PIO/T No. _____ has been submitted to your office on _____ for implementation of the extension.
(date)

Note 1 - The following reason for the extension is submitted for your approval: (The justification should contain a statement as to the reasons why the extension is necessary.)



April 15, 1977

Note to: Mr. Molfetto

Subject: Section 211(d) Grant to Southern University

Our records indicate that the 211(d) grant to Southern University expires on May 19, 1977 and as indicated on the attached memorandum to CM/SD/SUP, TA/AGR intends to extend the grant to November 18, 1977.

I would like to point out to you the fact that if the Grant is to be extended another 6 months, then a P.P. extension is required. Section 211(d) extensions require the signature of the Administrator. You may want to contact TA/AGR and remind them that it usually takes ~~approximately~~ over a month to receive all the necessary clearances and approval of 211(d) grants. So they should be drafting the request now.

mary

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I		1. TRANSACTION C <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE	PAF 2. DOCUMENT CODE 5
3. COUNTRY/ENTITY DSB		4. DOCUMENT REVISION NUMBER October 10, 1979 1	
5. PROJECT NUMBER (7 digits) 931-0140	6. BUREAU/OFFICE A SYMBOL B. CODE DSB 36	7. PROJECT TITLE (Maximum 40 characters) Rural Unemployment and Underemployment	
8. PROJECT APPROVAL DECISION <input type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DE DEAUTHORIZED		9. EST. PERIOD OF IMPLEMENTATION Extension of One (1) Qtr for a total of: yrs. 0 1 QTRS 3	

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. Cum. FY 78		H. 2ND FY 79		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1)	185I	052	-	667	-	-0-	-	-	-
(2)									
(3)									
(4)									
TOTALS				667	-	-0-	-	-	-

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED (ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT	A. GRANT	D. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN			
(1)	-	-	-	-	667	-			
(2)									
(3)									
(4)									
TOTALS					667				FY 79

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D. LOAN
(1)	-	-
(2)		
(3)		
(4)		
TOTALS		

13. FUNDS RESERVED FOR ALLOTMENT

TYPED NAME (Chief, SER:FM/FSD)

SIGNATURE _____

DATE _____

14. SOURCE/ORIGIN OF GOODS AND SERVICES 000 941 LOCAL OTHER _____

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

This Amendment provides for a ninety (90) day extension of this project to allow sufficient time for the grantee to complete project analysis and the publication of project reports.

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

AGENCY FOR INTERNATIONAL DEVELOPMENT
PROJECT AUTHORIZATION AND REQUEST
FOR ALLOTMENT OF FUNDS PART I

1. TRANSACTION CODE
 A
 CHANGE
 DELETE

PAF
2. DOCUMENT CODE
5

3. COUNTRY/ENTITY
DS Bureau - 211(d) - Southern University

4. DOCUMENT REVISION NUMBER

5. PROJECT NUMBER (7 digits)
[931-0140]

6. BUREAU/OFFICE
A SYMBOL B. CODE
DSB [08]

7. PROJECT TITLE (Maximum 40 characters)
[Rural Unemployment and Underemployment]

8. PROJECT APPROVAL DECISION
 A APPROVED
 D DISAPPROVED
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION
(Extension)
YRS. [0] [1] QTRS [2]

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY		H. 2ND FY		K. 3RD FY	
		C GRANT	D LOAN	F GRANT	G. LOAN	I GRANT	J. LOAN	L GRANT	M. LOAN
(1)	1851	052		500		167			
(2)									
(3)									
(4)									
TOTALS				500		167			

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED	
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T GRANT	U. LOAN	A. GRANT B. LOAN	
(1)					667		1	
(2)								
(3)								
(4)								
TOTALS					667		79	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D LOAN
(1) FN	167	
(2)		
(3)		
(4)		
TOTALS		167

13. FUNDS RESERVED FOR ALLOTMENT

TYPED NAME (Chief, SER: FM/FSD)

SIGNATURE

DATE

14. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 LOCAL OTHER

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

BEST AVAILABLE COPY

FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: DS Bureau - 211(d) - Southern University

Name of Project : Rural Unemployment and Underemployment

Number of Project : 931-0140

I hereby authorize a 211(d) grant to Southern University not to exceed \$167,000 subject to satisfactory negotiations for an 18-month terminal extension of the 211(d) grant with Southern University. This extension is designed to further strengthen its institutional capacity as well as facilitate the current utilization of the training research, advisory and information capacities already developed in addressing the problem of rural unemployment and underemployment and would emphasize the role of small farmer organizations in generating employment opportunities.

This grant will be fully funded in FY 1978.



Robert H. Nooter
Deputy Administrator

Date: MAR 6 1978

Clearances:

DS/AGR/ESP:WCMerrill WCM 2/15/78
DS/AGR:Mozynski MM 2/15/78
DS/AGR:LFHesser LFH 2/15/78
DS/PPU:RSimpson RS 2/15/78
PPC/DPRE:EHogan EH 2/15/78

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES *100*

THRU: AA/PPG, Alexander Shakow *AS*

FROM: AA/DS, Sander Levin *SL*

Problem: Your authorization is needed for an 18-month terminal extension and revision of the 211(d) grant to Southern University in the field of agricultural economics/economics.

Discussion: AID awarded a five year 211(d) grant in agricultural economics/economics to Southern University on May 19, 1972. The purpose of the grant was to increase the competence and strengthen the capacity of Southern University to assist LDCs in the analysis of rural unemployment and underemployment problems. A comprehensive review team recommended in March, 1976, that Southern should switch its focus from domestic activities to LDC development problems during the last year of the original grant, and that the sponsoring technical office (TA/AGR) should conduct a second review before considering the possibilities of alternative follow-on mechanisms, conceivably including an extension of the grant. TA/AGR carried out the recommended review in February, 1977, and concluded that considerable progress had occurred, especially in overseas involvement of faculty members, since the comprehensive review. The grant, meanwhile, was extended ten months to March 18, 1978, without additional funds to permit Southern University and TA/AGR to plan for Southern's continued involvement in overseas development activities and provide sufficient time for the preparation and consideration of an extension of their 211(d) grant which TA/AGR had decided to recommend following the special review.

The idea and rationale of extending Southern's grant was submitted to you by Action Memorandum dated November 23, 1977 (copy attached), so that preparation of the Grant Project Statement which would involve close consultation with the grantee would not be started without your approval. The Grant Project Statement was subsequently developed within the general guidelines set forth in the Action Memorandum from AA/TA which you had approved. Some details that are usually incorporated in associated workplans are included in the project design for this extension to facilitate closer monitoring of progress by AID and Southern.

The grant activities during this extension are designed to provide the University with a learning and capacity-building experience, while conducting a case study analyzing a "small farmer" cooperative organization and its impact on employment and income, as well as examining the sociological determinants of membership in such organizations. In the process, the University would (1) build on its domestic experience with "small farmer" organizations to increase its ability to carry out such research overseas; (2) develop closer linkages with other land grant institutions and agencies that are working with "small farmer" organizations by involving them in seminars and workshops that will draw on their experience, and (3) continue the strengthening of a response capability in analyzing rural unemployment and underemployment problems consistent with their original grant.

In order to act on some of the recommendations of the comprehensive review, this grant has been structured somewhat differently from other 211(d) grants and with a sharper focus than that of the basic grant. For example, in contrast to other 211(d) grants, a single case study forms the nucleus for the proposed activities during the extension. Thus, the expanded knowledge base (research) output of the grant will contain the bulk of the funding for release time for faculty, necessary travel and the collection and analysis of data. The educational and training output would support graduate student involvement in the case study as well as seminars designed to test methodology and clarify other research problems during the study. Linkages and networks would be developed as part of the contacts with other land grant institutions taking part in the planned seminars. The information capacity output will consist of an increase in documents on LDC development problems (particularly "small farmer" organizations), reports and recommendations resulting from the case study, and the proceedings of the conference scheduled in Spring of 1979. Six more months of faculty release time are available for advisory and consultation services which would emphasize utilization of the capacity which they will have strengthened during their activities overseas.

Southern's experience with the case study in an LDC will add substantially to their cross-cultural expertise, yield a product which should be of considerable interest to some Missions and concerned professionals, and enhance possibilities of their obtaining post-grant utilization arrangements with the Agency and other intermediary organizations.

The Research and Development Committee has reviewed the proposed 18-month grant extension as described in the Grant Project Statement. It was the consensus of those present that this should be the last extension of this 211(d) grant and that it should enhance the possibilities of Southern's future participation in other contractual arrangements for work in LDCs and Title XII "strengthening" programs. The four Regional Bureau representatives and other members present voted to concur in the extension.

With your approval, negotiation with Southern University of a proposal for an 18-month terminal extension will be initiated. Funds for this 211(d) grant are included in DSB's budget for FY 1978 and have been presented to Congress as a part of the "Agricultural Economics and Analysis" Project, pp. 14/15 of the FY 1978 CP "Interregional Programs" volume.

Recommendation: That you approve an 18-month terminal extension of the 211(d) grant to Southern University (not to exceed \$167,000) by signing the attached project authorization.

Attachments:

1. Project Authorization Form (Part II)
2. Belcher-DA Action Memorandum dated November 23, 1977
3. Grant Project Statement

Clearance:

GC:MBall	KCK/ln	Date	2/18/78
GC/TFHA:ARichstein	l/n	Date	2/16/78
PPC/DPRE:EHogan	←	Date	3/1/78

DS/AGR/ESP:ERupprecht:mmb:2/15/78:X58922

DA/AGR, Dr. Leon Hesser

January 27, 1978

DS/PO, Robert C. Simpson (S/)

Extension of 211(d) Grant to Southern University

PPC votes No on the extension of this grant. I am attaching memoranda from Ed Hogan and Don McClelland. I suggest that you ask Erhardt Rupperecht to explain the project to Don McClelland. If PPC stands firm, please let me know.

Att: 2

Memo dtd 1/19/78 frm DGMcClelland
Memo dtd 1/25/78 frm EHogan

cc: AA/DS, CMcGraw
DS/PO, JGunning
" KMilow
" CMolfetto ✓
" TELiott

DS/PO:RSimpson:gma

January 25, 1978

MEMORANDUM FOR: DS/PPU, Mr. Robert Simpson
FROM : PPC/DPRE, Edward Hogan
SUBJECT : Extension of 211(d) Grant to Southern University

I regret that the pressure of other work precluded my attendance at the R&DC meeting on January 24, 1978

PPC has reviewed this proposal and votes against it. See attached for our reasons. We would not expect to see this project approved without additional consultation with PPC.

Attachment: Memo fm D. G. McClelland to Hogan
dtd. 1/19/78

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

MEMORANDUM

January 20, 1978

TO : DSB/PPU, Robert Simpson
FROM : ASIA/DP, Robert Meehan
SUBJECT : Proposed 18-Month Extension of 211(d) Grant
with Southern University

We support the project with the conditions that:

- a. Southern University be advised that (1) future A.I.D. relations with Southern will be determined by an evaluation of the quality of the products of this extension; (2) if the quality meets A.I.D. standards, we will encourage Southern to participate in Title XII activities and push utilization of its expertise by our field missions; and (3) if the quality of the products do not meet our standards, we will end our special relationship.
- b. The Title XII Board should be advised of this position and should participate in defining the standards which will be used in such an evaluation.

We commend DSB/AGR for the innovative approach used in this project. Defining Southern's end-of-project status in terms of its performance in carrying out an in-depth case study and related follow-up conferences will allow fairly objective evaluation of its institutional capacity to provide field services to our missions.

We support the Agency's commitment to strengthen minority institutions to participate in overseas development activities. We recognize that institutional development is difficult and that 5 years is a short period to measure significant progress. We also recognize that the Agency's approach to 211(d) in 1972 was not particularly sensitive to the differences between the top agricultural economic departments in the country and the 1890 land grant minority institutions. Therefore, Southern's poor performance under the initial

grant as documented by the 1976 PAR is not unexpected. However, we strongly object to blaming this poor performance on the quality of TAB/AGR management given the assumption that the grantees were suppose to take the initiative in exploiting the 211(d) opportunity.

The PP states on page 6, "The review team (PAR) did recognize that TAB/AGR management of the grant in the earlier years had been remiss." The PAR does not infer any such statement. The PAR shows that Southern failed to:

- a. Focus its activities in the area of unemployment as required by the grant;
- b. Develop a research plan of interest to A.I.D.;
- c. Take the initiative to learn about our programs and get involved so that our regional bureaus learned about Southern's capabilities;
- d. Interrelate as an institution its 211(d) grant and its contract work in the Cameroons;
- e. Provide good project management.

In fact, the PAR team recommended against an extension of the 211(d) with Southern.

In our opinion, the PP does a disservice by downplaying Southern's responsibility for its poor performance because this extension represents an important pilot project for an alternative approach to institution building and evaluation of performance. The lessons learned with Southern may be applicable to the provincial universities in the LDC's.

cc: ASIA/TR, Calvin Martin

MEMORANDUM

TO: PPC/DPRE, Mr. Ed Hogan

January 19, 1978

THRU: PPC/PDA, John Eriksson *J.E.*

FROM: PPC/PDA/SPA, Donald G. McClelland *D.M.*

SUBJECT: Comments re: "Proposal for Revision/Extension of 211(d) Grant in Economics/Agricultural Economics to Southern University - \$167,000 over 18 Months

This request is similar to that of Virginia State University (August, 1976), in that it fails to generate much enthusiasm and provides few compelling reasons for AID support. The following factors should be carefully considered in determining whether or not the extension request should be granted.

1. Although there is clearly a need for trained and experienced agricultural and rural development specialists in AID and the LDCs (p.3), it does not follow that the Agency is prepared or willing to hire this expertise. In other words, while there is an urgent need for these kinds of people, there is at present no effective demand (on the part of the Agency) for their expertise. Therefore, it may not make sense to allocate scarce resources to train people the Agency is not willing to use.

2. The initial five year grant to Southern University was designed to emphasize rural unemployment and underemployment problems. However, after the first four years, an evaluation team "recommended that the grant to Southern not be extended because the grantee had failed to focus grant resources on the problems of rural unemployment and underemployment . . . as called for in the grant." (p. 6) The extension request suggests that a focus on "the development of more effective small farmer organizations" (p.4) will permit the university to "focus more sharply on the rural unemployment and underemployment problems in LDCs." (p. 10) The logic is that because "LDCs face steadily worsening unemployment problems", it will be necessary that they rely increasingly on rural organizations. (p. 12) First, it is not at all clear that there is a necessary relationship between unemployment and small farmer organizations; second, a focus on small farmer organizations may only weaken and dilute useful analyses of unemployment problems. Particularly in view of past experience, one might legitimately raise the question:

is the extension designed to focus on unemployment problems, or does it basically concern an entirely different area of inquiry?

3. The request states that "the grant extension activities proposed in this paper are organized around a case study of a small farmer organization." (p. 18) If so, it seems particularly important to review the status of the project funded by DSB/RD and being carried out by Development Alternatives, Inc. entitled "Alternative Organizational Strategies". Based on my recollection of the latter project (and my understanding of the present proposal), it may be that granting the extension to Southern University will largely duplicate (but might usefully complement) work that the Agency is already funding.

4. The evaluation team made three recommendations: the first stated, in part, that during the final year of the grant, "every effort should be made . . . to prepare specific outputs which relate to the original grant objectives . . ." (p. 11 of Evaluation, underlining supplied) Although the extension request does provide examples of substantial progress during the final year (pp. 7-8), none of these outputs has anything to do with "the original grant objectives" -- that is, unemployment and underemployment problems. Progress, per se, is not the relevant criterion against which to judge performance; rather, progress in relation to the original grant objectives. Thus, while "this grant extension permits Southern to focus its interests in unemployment and underemployment problems . . ." (p. 13), evidence from the first four years (based on the Evaluation Report) as well as from the fifth year (based on pp. 7-8) suggests that this is not likely to be the case.

5. It is tempting to view this request as a small investment^{necessary} to reap the benefits of the larger five year investment; that is, without the marginal investment, the return on the five year investment will be negligible. However, this is probably not the case, since it is envisioned that even after the 18 month extension, Southern University will require still more strengthening: "With respect to Title XII strengthening activities which are contemplated in FY 79, this extension should be thought of as continuation of the strengthening activities under the 211(d) grant. As such, it has a focus within a specific problem area, and should not preclude Southern University participation in the broader strengthening program envisioned under Title XII." (p. 14)

6. The "Plan of Work" (p. 17 ff.) suggests that this extension request is basically a research proposal. Indeed, of the five anticipated outputs, "research" is by far the largest, \$130,000 out of \$167,000 -- or about 80%. (p. 32) Therefore, if this is basically a research proposal, it should perhaps not be supported via the 211(d) grant mechanism. The third recommendation of the evaluation team suggested that, depending on how Southern University performed during the final year, a continued relationship with the university may be possible through "other means, such as a Cooperative Agreement, specific research contracts, expanded participant training grants, or even, conceivably, a grant extension in the utilization mode." (p. 12 of Evaluation Report) Clearly, the latter means was viewed as the least appropriate alternative. Therefore, assuming

the expected research results are of value to AID, a research contract with Southern may be more appropriate than a 211(d) grant extension. Unfortunately, the proposed research methodology seems rather weak, and therefore, the research results may not be of a calibre to warrant serious consideration.

7. Several miscellaneous questions arise: (1) there is no indication of what criteria will be used to select the small farmer organization for the case study; perhaps, this should be thought through more carefully. (2) the request states that "Southern University presently has an unfunded extension of its 211(d) Grant . . ." (p. 24); what does this mean? (3) The estimated budget provides \$1,000 for acquisition of library books (p. 32), and the logframe estimates that approximately 30 library books will be obtained; this averages out to over \$30 per book, which raises questions concerning the kinds of books Southern University has in mind.

Notwithstanding the above, there is at least one compelling reason to support the extension request -- it is entirely consistent with the wishes of the Congress. As indicated in the Title XII legislation, "The U.S. should strengthen the capacities of the U.S. land-grant and other eligible universities . . ."

cc: D. Dalrymple
J. Stepanek

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES

FROM: AA/TA, Marjorie Belcher *MB*

Problem: Southern University's 211(d) grant is due to expire on March 19, 1978. We would like with your approval to proceed to develop in collaboration with Southern a project paper proposing an eighteen month extension with an estimated cost of \$150,000 to \$180,000.

Discussion: AID awarded a 211(d) grant in agricultural economics to Southern University on May 19, 1972. The purpose of the grant is to increase the competence and strengthen the capacity of Southern University to assist LDCs in the analysis of rural unemployment and under-employment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant unless there was strong evidence that Southern would refocus its 211(d) activities into a "utilization" mode. TA/AGR accepted this recommendation and notified Southern that a second review would be undertaken to assess Southern's response to the review team's suggestions. The review team also remarked on a need for greater aggressiveness on the part of AID in providing advice and guidance to Southern during the early years of its grant program development. Such guidance has since been forthcoming and will continue actively during the proposed extension when it will also be essential.

The second review was completed by TA/AGR in February 1977. TA/AGR concluded that considerable progress had been made by Southern University since the 1976 comprehensive review. As a result, two unfunded grant extensions (a six month extension and a four month extension through March 18 1978) were approved to allow Southern University additional time to become more directly involved in AID activities and to afford time to plan for Southern's continued involvement in overseas development.

There are two broad considerations which favor the revision and funded extension of Southern's grant. First, we wish to see Southern University, as a leading 1890 land grant university, succeed in its determination to participate in the Agency's programs of assistance to developing countries. This extension would further develop Southern's capacity to respond to LDC employment and farmer organization needs. The core of expertise would also provide a focus within the University for the BIFAD suggested special strengthening program. Second, the sharper focus of the proposed grant extension would involve them in more concrete activities (farmers organizations and developing cooperatives) with which they have had domestic experience and in which interest has been expressed by the regional bureaus. In this connection projects are currently underway to support cooperative development, either directly or as part of broader project goals, in Ethiopia, Liberia, Mauritania, Niger, Swaziland, Zaire and other countries in Africa.

TA/AGR has suggested that, if a substantive extension is approved, it should build on Southern's experience with small farmer organizations and, in particular, place more emphasis on the impacts that such organizations can have on small farmers' incomes and employment opportunities. Special attention would be given to rural cooperatives. This approach would provide a practicable and useful focus for the proposed extension consistent with the broad scope of concern of the original 211(d) grant.

Under such an extension of its grant, Southern University has indicated that it would like to carry out a review of some of the AID supported cooperative projects including in-depth analysis of the impacts of at least one of these projects on the rural poor. Discussions with the regional bureaus have indicated an interest in and need for such work. Both the regional bureaus and Southern have a strong interest in "emerging" cooperatives; that is small, young, financially weak cooperatives, whose membership consists primarily of small landowners. In addition, funds would be provided to (1) support training programs and international development students at Southern, (2) special seminars on rural employment problems in LDCs, (3) participation of Southern staff in AID training programs, and (4) assistance by Southern staff to AID field missions in project design and evaluation. During the grant extension period, Southern University would be expected to take part in efforts to develop linkages between several of the 1862 and 1890 land grant institutions as well as private voluntary agencies concerned with the problems of rural cooperatives. Preliminary discussions with other universities and private not-for-profit groups indicate that Southern's activities in the area of emerging cooperatives can be readily coordinated with related efforts of other groups.

A project paper that has been discussed with Southern can be prepared for submission by the DS Bureau to the Research and Development Committee by January 1 and to you for your authorization decision within the month. Southern's detailed proposal for the extension would then be solicited, reviewed and negotiated, and the grant effected during February.

Agency procedures do not call for a PID for extension of an ongoing project. Since this would be a substantive extension, however, this memorandum is submitted to you for your approval before proceeding with preparation of a project which, in the case of 211(d) grants involves close consultation with the grantee or prospective grantee. The Administrator or Deputy Administrator has historically approved/authorized all 211(d) grants because they entail use of Agency funds for the development of U.S. (as distinct from developing country) institutions. Your approval, below, would not constitute an authorization of the project extension nor of the suggested funding.

Recommendation: That you approve TA/AGR/ESP's initiating discussions with Southern University to develop the project paper and supporting work plans

for an extension of its grant for approximately an eighteen-month period ending in September, 1979, at an estimated cost of \$150,000 to \$180,000. The extended grant would continue to address rural employment problems and would emphasize the role of small farmer organizations in generating employment opportunities.

Approved: PHW *

Disapproved: _____

Date: 11/24/77

Clearances:

AA/PHA:ARFurman	<i>sub. RUMSA</i>	Date	<i>11/23/77</i>
PHA/PVC:JAULinski	<i>leg. staff</i>	Date	<i>11/23/77</i>
TA/AGR:LFHesser	<i>of staff</i>	Date	<i>11/22/77</i>
TA/PPU:JNGunning	<i>in draft</i>	Date	<i>11/21/77</i>
TA/RD:CBlankstein	<i>in draft</i>	Date	<i>11/22/77</i>
AA/TA:RRobinson	<i>in draft</i>	Date	<i>11/23/77</i>
Title XII Coord:FRiggs	<i>in draft</i>	Date	<i>11/22/77</i>

TA/AGR/ESP:WCMerrill:nmb:11/22/77:X58946

November 2, 1977

TA/AGR: Dr. Hesser

I have signed the PAF for a four month extension without additional funding, for the Southern Univ. 211(d).

I have not authorized proceeding with the 2-year funded extension since that requires the Deputy Administrator's approval. In preparing a memorandum to Mr. Nooter to obtain this approval, please include a critical path schedule for moving the extension forward within the next four months. Also a justification for a two year extension as opposed to a shorter period.

Please involve Rose Robinson, RD, Al Furman and someone from John Ulinski's office actively in the preparation of the memorandum for Nooter and the related planning, I agree with Rose's initial reaction that there will need to be a team visit to Southern in the near future, followed probably by a return visit some weeks later. We will need to know who at Southern is doing what and what they are planning. Also to be careful to insure that they do not plan to duplicate work that is already going on in other groups with respect to the role of cooperatives more generally.

Possible relations to potential BIFAD activities also need to be explored.

There is a beginning ground swell that A.I.D. should be giving greater attention to coops - largely although not exclusively in a rural development context. We need to be sure that Southern fits into these broader plans, but at the same time that its role in the broader context is clearly defined and appropriately circumscribed.

MSB

Marjorie S. Belcher
AA/TA

cc:AA/TA:RRobinson
TA/RD:HHobgood
AA/TA:AFurman
AA/TA:FRiggs
Reading File

SOUTHERN UNIVERSITY
UNEMPLOYMENT-UNDEREMPLOYMENT INSTITUTE
INTERNATIONAL ECONOMIC DEVELOPMENT PROGRAM
P. O. Box 9846
BATON ROUGE, LOUISIANA 70813

OF THE DIRECTOR

August 1, 1977

Mr. Erhardt Rupprecht
ECONOMIST
Economics and Sector Planning Division
Office of Agriculture
Technical Assistance Bureau
Department of State
Agency For International Development
Washington, D. C. 20523

Subject: Grant No. AID/csd-3414
Extension

Dear Mr. Rupprecht:

I am requesting an extension of the 211 (d) grant with no additional costs through February 18, 1978. The approved extension of the 211 (d) grant performance through November 18, 1977 restricts my ability to secure release-time for staff members who will be involved in the grant's activities. The fall academic semester is from August to January and the remaining time will be used to complete the final report.

Thank you for your cooperation in this matter.

Sincerely,



T. T. Williams
Director

TTW/h

cc: Mr. Morton Darwin

ACTION MEMORANDUM FOR THE ACTING ASSISTANT ADMINISTRATOR FOR TECHNICAL ASSISTANCE

FROM: TA/AGR, Leon F. Hesser

Problem: The 211(d) Grant to Southern University expires November 19, 1977. A four-month extension, without additional funds, of the Southern University 211(d) grant is necessary to enable Southern and AID adequate time to develop a proposal to further strengthen and utilize Southern's capacity in economics/agricultural economics for assistance to developing countries.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant unless there was strong evidence that Southern would refocus its 211(d) activities into a "utilization" mode. TA/AGR accepted this recommendation and notified Southern that a second review would be undertaken to assess Southern's response to the review team's suggestions.

The second review was completed in February 1977. The Office of Agriculture believed that considerable progress had been made by Southern University since the comprehensive review. It therefore requested an unfunded six-month extension (which was approved in May, 1977) to permit the preparation of a project paper for a funded grant extension that would build on the University's capacity and allow the utilization of its response capability in the analysis of rural unemployment-underemployment problems within a more specific focus. This more specific and intensive focus would be based on the fact that Southern University, during the latter years of the grant, has increasingly concentrated on the income and employment problems facing rural people with limited resources and on the role that institutional structures such as cooperatives can perform to alleviate these problems. Drawing in part on its domestic experience, Southern University has begun to center its activities and interests on analyzing how small farmer organizations can overcome these resource constraints.

TA/AGR has prepared an initial draft of a project paper for a funded extension for Southern to further develop its capacity and permit the utilization of its expertise to assess the benefits of such "emerging cooperatives" to members and their impact on the unemployment and underemployment problems of rural areas in LDCs. During internal A.I.D. review of this initial draft it became apparent that further revision of the draft is necessary. This unfunded extension will permit the

completion of the revision and continuation of the review and approval process of a grant project statement for a funded extension of Southern's grant. To avoid disruption at the institution, such an extension would coincide as closely as possible with Southern's academic year.

During the funded extension, among other things, Southern would conduct an assessment of an ongoing AID funded cooperative project. Discussions have been held with the Africa Bureau and Asia Bureau to identify an appropriate project. It is anticipated that this assessment would consist of an analysis of the socio-economic characteristics of the organization and impacts on the local economy; particularly the employment impacts.

It is also expected that Southern might take part in a networking arrangement with Michigan State University as part of the Off-Farm Employment project with TA/RD investigating rural employment problems. The identification of such an activity is being discussed with TA/RD. This should facilitate utilization of Southern University's capacity and expertise on a contractual basis after the 211(d) Grant ends.

A grant project statement will be completed by January 1. This allows approximately two months for submission of Southern's proposal, approval by the Deputy Administrator, and grant negotiations.

Recommendations:

1. That you authorize TA/AGR/ESP to enter discussions with Southern University to develop a detailed plan for a funded extension of Southern University's 211(d) grant until August 1979. The extended 211(d) grant would continue to focus on unemployment problems but would emphasize the role of small farmer organizations, particularly emerging cooperatives, in generating employment opportunities.

Approved: _____

Disapproved: _____

Date: _____

2. That you authorize by signing the attached PAF, a four-month extension, without additional funds, of the Southern University 211(d) grant.

Attachment:

1. PAF

Clearances:

TA/AGR/ESP:WCMerrill <i>WCM</i>	Date <i>11/1/77</i>
TA/PPU:JGunning (draft)	Date <u>10/31/77</u>
TA/RD:HHobgood (draft)	Date <u>10/31/77</u>

TA/AGR/ESP:ERupprecht:mmb:10/31/77

AGENCY FOR INTERNATIONAL DEVELOPMENT
**PROJECT AUTHORIZATION AND REQUEST
 FOR ALLOTMENT OF FUNDS PART I**

1. TRANSACTION CODE
 A ADD C CHA D DELC
 PAF
 2. DOCUMENT CODE
 5

3. COUNTRY/ENTITY
 TA Bureau - 211(d) - Southern Univ
 5. PROJECT NUMBER (7 digits)

4. DOCUMENT REVISION NUMBER

 7. PROJECT TITLE (Maximum 40 characters)

6. BUREAU/OFFICE
 A. SYMBOL: TAB
 B. CODE:
 ACTION TAKEN
 A APPROVED
 B DISAPPROVED
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION
 Extension
 YRS. QTRS

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY		H. 2ND FY		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	185I	053		500					
(2)									
(3)									
(4)									
TOTALS				500					

A. APPROPRIATION	N. 4TH FY		Q. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED		A. GRANT	D. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT			
(1)					500					
(2)										
(3)										
(4)										
TOTALS					500		C. PROJECT FUNDING AUTHORIZED THRU		FY <input type="text" value="78"/>	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000)

A. APPROPRIATION	B. ALLOTMENT REQUEST NO.	
	C. GRANT	D. LOAN
(1)		
(2)		
(3)		
(4)		
TOTALS		

13. FUNDS RESERVED FOR ALLOTMENT
 TYPED NAME (Chief, SER/FM/FSD)
 SIGNATURE
 DATE

4. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 LOCAL OTHER

5. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED
 To extend the existing project for four months to continue the process of developing and strengthening the capability of Southern University to assist AID and developing countries. No funds are being provided for this four month extension.

BEST AVAILABLE COPY

FOR PC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: TA Bureau - 211(d) - Southern University

Name of Project : Rural Unemployment and Underemployment

Number of Project : 931-0140

I hereby authorize a four-month extension of this project, without additional funds, which will enable Southern University to continue developing its capability to assist developing countries, with specific focus on analyzing how small farmer organizations can help overcome income and employment problems facing rural people with limited resources.

Signature: *M. B. Baker*
Acting Assistant Administrator
Technical Assistance Bureau

Date: Nov 2 '77

Reference:

1. Transmittal Memo

October 26, 1977

TA/AGR/ESP, Mr. William Merrill

Re: Southern University Expenditures

OK, extend til March -- no funding and
PP ready by January 1 -- R&DC January 15.
Notter January 21 - No slippage.

Marjorie S. Belcher

cc: TA/PPU, Mr. Simpson L

UNITED STATES GOVERNMENT

Memorandum

TO : AA/TA, Marjorie Belcher

DATE: October 26, 1977

FROM : TA/AGR/ESP, William Merrill

Edward R. ... for

SUBJECT: Southern University Expenditures by Category

Listed below are the expenditures (rounded) for Southern University as they appear in their Annual Reports. Average monthly expenditures have ranged from approximately \$5,800 to \$8,803.

Based on the Annual Reports, Southern had approximately \$91,000 unexpended as of May 31, 1977. T. T. Williams estimates that approximately \$15,000 will be uncommitted as of November 19, 1977. He feels he could stretch this to cover costs to March 19, 1978. He would not be able to provide a more accurate accounting until October 31, 1977. If a six month extension is needed to assure adequate review by the Administrator, we would suggest adding \$10,000 to \$15,000 to the Grant.

Attachment:
Expenditure Table

BEST AVAILABLE COPY



	July 1-June 30 1972 1973	July 1-June 30 1973 1974	July 1-June 30 1974 1975	July 1-June 30 1975 1976	June 1-May 31 1976 1977
Salaries	\$38,958	\$44,488	\$40,619	\$62,449	\$48,627
Scholarships	25,596	28,245	24,721	37,008	17,786
Travel	4,102	1,641	4,642	5,046	13,940
Library	187	508	2,711	676	2,119
Supplies and Materials	587	-0-	-0-		
Computer	-0-	-0-	160	-0-	-0-
Communication	-0-	-0-	244	455	3,333
Total	\$69,430	\$74,882	\$73,097	\$105,634	\$85,805
Per month	\$5,800	\$6,240	\$6,091	\$8,803	\$7,150
Grand Total	\$408,848 (July 1, 1972-May 31, 1977)				



TRIAL BALANCE OF UNLIQUIDATED OBLIGATIONS BY PROJECT

AS OF SEPTEMBER 30, 1977

PROJECT SYMBOL = 931-0140-00

OBLIG. NO.	OBJ. CL.	COST CODE	OBLIGATION DESCRIPTION	OBLIGATIONS	DISBURSEMENTS	UNLIQUIDATED BALANCE	ALLOTMENT SYMBOL	PI	CONTRACT NUMBER
3121040-2590	0009		SOUTHERN UNIVERSITY G	147,423.40	104,465.82	42,957.58	40231099003473	73	CSD -3414
			PROJECT TOTAL =	147,423.40	104,465.82	42,957.58			

AGENCY FOR INTERNATIONAL DEVELOPMENT PROJECT AUTHORIZATION AND REQUEST FOR ALLOTMENT OF FUNDS PART I		1. TRANSACTION CODE <input type="checkbox"/> A ADD <input type="checkbox"/> C CHANGE <input type="checkbox"/> D DELETE	PAF 2. DOCUMENT CODE 5
3. COUNTRY/ENTITY TA Bureau - 211 - Southern University		4. DOCUMENT REVISION NUMBER <input type="checkbox"/>	
5. PROJECT NUMBER (7 digits) <input type="text" value="931-0140"/>	6. BUREAU/OFFICE A SYMBOL TAB	7. PROJECT TITLE (Maximum 40 characters) <input type="text" value="Rural Unemployment and Underemployment"/>	
8. PROJECT ACTION TAKEN APPROVAL DECISION <input type="checkbox"/> A APPROVED <input type="checkbox"/> D DISAPPROVED <input type="checkbox"/> DE DEAUTHORIZED		9. EST. PERIOD OF IMPLEMENTATION YRS. <input type="text" value="00"/> QTRS <input type="text" value="2"/>	

10. APPROVED BUDGET AID APPROPRIATED FUNDS (\$000)									
A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE				H. 2ND FY		K. 3RD FY	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	185I	053		500					
(2)									
(3)									
(4)									
TOTALS				500					

A. APPROPRIATION	N. 4TH FY		O. 5TH FY		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED	
	C. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN	(ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT	
(1)					500			1
(2)								
(3)								
(4)								
TOTALS					500		C. PROJECT FUNDING AUTHORIZED THRU FY <input type="text" value="77"/>	

12. INITIAL PROJECT FUNDING ALLOTMENT REQUESTED (\$000):			13. FUNDS RESERVED FOR ALLOTMENT		
A. APPROPRIATION	B. ALLOTMENT REQUEST NO. _____				
(1)	C. GRANT	D. LOAN	TYPED NAME (Chief, SER/EM/FSD)		
(2)			SIGNATURE		
(3)			DATE		
(4)					
TOTALS					

14. SOURCE/ORIGIN OF GOODS AND SERVICES
 000 941 LOCAL OTHER _____

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

To extend the existing project for six months to continue the process of developing and strengthening the capability of Southern University to assist AID and developing countries. No funds are being provided for this six month extension.

BEST AVAILABLE COPY

FOR PFC/PIAS USE ONLY	15. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE	18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE
		MM DD YY		MM DD YY

Project Authorization and Request for Allotment of Funds (PAF)

Part II

Name of Country/Entity: TA Bureau - 211(d) - Southern University
Name of Project : Rural Unemployment and Underemployment
Number of Project : 931-0140

I hereby authorize a six-month extension of this project, without additional funds, which will enable Southern University to continue developing its capability to assist developing countries.

Signature Curtz Fava
Assistant Administrator
Technical Assistance Bureau

Date May 10, 1977

UNITED STATES GOVERNMENT

Memorandum

TO

John Gunning

DATE: *5/10/77*

FROM : SER/CM/SD/SUP, Gerald L. Nell

*dc
for*

SUBJECT: Review and Revalidation of AID Contracts/Grants

In the Memorandum for Assistant Administrators and Office Heads from Mr. D. B. MacDonald, Assistant Administrator, designate, Bureau for Program and Management Services, it states on page 2 in the last paragraph that "All new requests received by Contract Management after May 6 should be accompanied by a Review Sheet signed by the Assistant Administrator or Office Director."

We have received your PIO/T (PIPA) on *5/10/77* without a signed Review Sheet. We are returning your PIO/T (PIPA) with the required Review Sheet attached for you to complete. We have, however, retained one copy of the PIO/T (PIPA) to be used as an advance copy for our Contract Office.

ATTACHMENT:

1. PIO/T (PIPA)
2. Review Sheet



Buy U.S. Savings Bonds Regularly on the Payroll Savings Plan

ACTION MEMORANDUM

5/6/77

TO : AA/TA, Curtis Farrar

FROM: TA/AGR, Leon F. Hesser *L.F.H.*

Problem: A six-month extension, without additional funds, of the Southern University 211(d) grant is needed to enable Southern to continue developing its capacity in economics/agricultural economics to assist developing countries.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. Southern's grant was one of two such grants awarded to minority institutions (The other grant, which was awarded to Virginia State College, was approved for a two-year extension by DA/AID in September 1976). The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant. The Technical Assistance Bureau elected to defer making a final decision on the grant for an 11-month period following this review to enable it to observe and assess the grantee's response to review team suggestions and further progress towards grant objectives. The in-house assessment was completed in February 1977.

The Office of Agriculture, TAB, believes that considerable progress has been made by Southern University. However, it is TA/AGR's view that a six-month extension is nevertheless required to assist the grantee to develop more fully the response capability which will be needed for effective implementation of a utilization activity. TAB plans to consider a terminal grant to Southern University which would take effect upon the completion of the six-month extension being proposed and continue through September 1978.

The original Southern University grant is due to expire on May 18, 1977, at which time an unexpended balance of approximately \$60,000 will still be available. TAB proposes an immediate six-month extension of the current grant, without new funds to continue the process of:

- 1) Developing and strengthening its staff capacity in economics/agricultural economics through the involvement and limited utilization of faculty in short-term advisory and consultation services in developing countries;
- 2) Providing grant support, but at a reduced level, for economics/agricultural economics majors currently involved in Southern's undergraduate/graduate research assistantship program; and,
- 3) Developing and strengthening its existing linkages and networks with domestic and international institutions engaged in research on unemployment/underemployment problems affecting people in rural areas.

During the six-month period, the Technical Assistance Bureau, in consultation with the regional bureaus, will also design, present for Agency review and DA/AID approval a grant project statement proposing additional funds to be provided in a terminal grant through September 1978. The six month extension period proposed should assist Southern University in more fully developing a quality response capability which could be tapped through appropriate utilization activities to follow the proposed extension.

Recommendation: That you approve, by signing the attached PAF, a six-month extension, without additional funds, of the Southern University 211(d) grant.

Attachment:

1. PAF

Clearances:

PPC/DPRE, E. Hogan EBH Date 5/6/77
TA/AGR/ESP, W. Merrill (draft) Date 3/31/77
TA/PPU, R. Simpson (draft) Date 4/5/77

ACTION MEMORANDUM FOR THE ACTING DEPUTY ADMINISTRATOR

THRU: ES

FROM: AA/PPC, Alexander Shakow (Acting)

Problem: A 3-month unfunded extension, to be followed by a one-year funded terminal extension of the Southern University 211(d) grant, is needed to enable the TA Bureau, in consultation with regional bureaus to design appropriate utilization activities which would follow the grant.

Discussion: AID awarded a 211(d) grant in Economics/Agricultural Economics to Southern University on May 19, 1972. Southern's grant was one of two such grants awarded to minority institutions (The other grant, which was awarded to Virginia State College, was recently approved for a two-year extension by DA/AID in September, 1976). The purpose of the grant is to increase the competence and strengthen the capacity of Southern to contribute to the resolution of rural unemployment and underemployment problems. In March 1976, a comprehensive (4th year) review of the grant program was conducted at Southern and the team recommended against extending this grant. The Technical Assistance Bureau elected to defer making a final decision on the grant for an 11-month period following this review to enable it to observe and assess the grantee's response to review team suggestions and further progress towards grant objectives.

The in-house assessment was completed in February, 1977, and the Technical Assistance Bureau is considering a one-year, terminal extension of the grant funded in an amount not more than \$100,000. However, this proposed course of action has left too little time to design, present for Research and Development Committee review and your approval an extension proposal which would enable Southern University and AID to (1) fully develop a quality response capability at Southern and (2) phase-out the grant activities into a new activity utilizing the grantee's competence and expertise before the present grant expires on May 18, 1977. An interim 3-month extension, without additional funding, is therefore necessary to complete the planning and Agency review of the one-year terminal extension request. The normal procedures for processing the extensions would be followed.

Recommendation: That you approve, by signing the attached PAF, a 3-month unfunded interim extension in order to permit orderly Agency review of a proposal for a one-year funded terminal extension of the Southern University 211(d) grant.

Attachment:

- 1. PAF

Clearance:

AA/TA:CFarrar _____ Date _____
GC:GMorgan _____ Date _____
GC/TFHA:ARichstein _____ Date _____

adf
TA/AGR:AHarding:ma:3/18/77:27937

UNITED STATES GOVERNMENT

Memorandum

TO : CM/SD/SUP, Dan Sutton
Room 711 PP

DATE: 4/11/77

FROM :

SUBJECT: Notice of Contract Expiration

A. Contract Identification:

1. Name of Contractor Southern University
2. Contract No. AID/CSd-3414

B. Expiration

The above contract will be permitted to expire on its current expiration date of _____.

(If Paragraph B above is completed, Paragraph C shown below does not have to be completed.)

C. Proposed Extension

1. It is proposed to extend the above contract to 11/18/77.
2. PIO/T No. _____ is attached requesting extension.
3. PIO/T No. _____ has been submitted to your office on _____ for implementation of the extension.
(date)

Note 1 - The following reason for the extension is submitted for your approval: (The justification should contain a statement as to the reasons why the extension is necessary.)



April 15, 1977

Note to: Mr. Molfetto

Subject: Section 211(d) Grant to Southern University

Our records indicate that the 211(d) grant to Southern University expires on May 19, 1977 and as indicated on the attached memorandum to CM/SD/SUP, TA/AGR intends to extend the grant to November 18, 1977.

I would like to point out to you the fact that if the Grant is to be extended another 6 months, then a P.P. extension is required. Section 211(d) extensions require the signature of the Administrator. You may want to contact TA/AGR and remind them that it usually takes ~~approximately~~ over a month to receive all the necessary clearances and approval of 211(d) grants. So they should be drafting the request now.

mary