

6980403(4)
 PD-AIF-320-B1

AID 1025-1 (7-71) (FACE SHEET)
NONCAPITAL PROJECT PAPER (PROP)

SUMMARY SHEET

I. PROJECT IDENTIFICATION #218.3

1. PROJECT TITLE Economic Development Research Organizations Project Social Science Research Sub-Project		APPENDIX ATTACHED <input type="checkbox"/> YES <input type="checkbox"/> NO
3. RECIPIENT (specify) <input type="checkbox"/> COUNTRY _____ <input checked="" type="checkbox"/> REGIONAL <u>Africa</u> <input type="checkbox"/> INTERREGIONAL _____		2. PROJECT NO. (M.O. 1095.2) 698-11-995-402/3 13
4. LIFE OF PROJECT BEGINS FY <u>1973</u> ENDS FY <u>1976</u>		5. SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REV. NO. 3 <u>6/5/74</u> DATE <u>6/6/74</u> CONT. AC. NO. <u>400</u>

II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

A. FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMOD- ITIES \$	F. OTHER COSTS \$	G. EXPENSES Grantee		H. LOCAL EXCHANGE CURRENCY RATE: \$ US _____ (U.S. OWNED)			
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN		(2) COGP COUNTRY	
										(A)	(B)	(A)	(B)
1. PRIOR THRU ACTUAL FY	60.0	30.0	270	-	-	-	30.0	30.0	270	-	-	28.5	
2. OPRN FY <u>74</u>	286.0	110.7	431	89.0	216	17.9	68.4	110.7	431	-	-	464.5	
3. BUDGET FY <u>75</u>	148.0	54.0	318	61.0	144	3.0	30.0	54.0	318	-	-	428.7	
4. BUDGET +1 FY <u>76</u>	46.0	30.0	270	-	-	-	16.0	30.0	270	-	-	43.0	
5. BUDGET +2 FY	-	-	-	-	-	-	-	-	-	-	-	-	
6. BUDGET +3 FY	-	-	-	-	-	-	-	-	-	-	-	-	
7. ALL SUBO. FY	-	-	-	-	-	-	-	-	-	-	-	-	
8. GRAND TOTAL	540.0	214.7	1289	150.0	360	20.9	144.4	224.7	1289	-	-	964.7	

9. OTHER DONOR CONTRIBUTIONS

1A. NAME OF DONOR	1B. KIND OF GOODS SERVICES	1C. AMOUNT
-	-	-

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER -	TITLE -	DATE -
2. CLEARANCE OFFICER -	TITLE -	DATE -

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

Summary Sheet: No signature or clearance required.

2. CLEARANCES

BUR. OFF.	SIGNATURE	DATE	BUR. OFF.	SIGNATURE	DATE
	-			-	
	-			-	
	-			-	

3. APPROVAL AAs OR OFFICE DIRECTORS		4. APPROVAL AID (See M.O. 1025.1 V1 C)	
SIGNATURE -	DATE	SIGNATURE -	DATE
TITLE		ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT	

Proj. 6980403
PJ-

JUN 11 1974

ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR AFRICA

THRU: AFR/DP, Mr. Robert G. Huesmann, *UH*
FROM: AFR/NARA, Ullmont *Ullmont* ~~James~~

Problem: To approve a PROP revision for the Social Science Research Sub-Project which authorizes a research grant to the Government of Kenya/University of Nairobi.

Discussion: The Social Science Research Sub-Project is one of two elements under the Economic Development Research Organizations Project, (the other being the African-American Scholars Council). Its goal is to assist African countries to strengthen their capacity to conduct policy-oriented social science research by helping African universities with close linkages to the government to develop their competence to carry out such studies. The intention is to enable African countries to become less dependent on expatriate research talent for their development needs. In addition, the project aims at encouraging African universities and research institutions to become more responsive to development and national planning needs and to enrich their educational programs through use of the results of local research.

The PROP for this project was approved in May 1973, at which time the first grant under the project was authorized in the amount of \$60,000 to the University Institute of Technology of the University of Dakar to initiate a program of studies requested by the Government of Senegal.

The proposed grant is to the Government of Kenya (GOK) for the benefit of the University of Nairobi. As currently envisioned, it will provide for support of research and training (of Africans) in development-oriented fields which have been mandated by the GOK as follows: (1) Administrative reforms in government; (2) International policies and effects on development; (3) Land-use policy; (4) Demography and population carrying capacity; (5) Technology as it relates to development; and (6) Baseline studies within existing policy areas, including employment, distribution of income, et cetera.

We have programmed a total of \$232,000 for the life of the project, \$141,000 of which is planned for obligation in FY 1974 and \$91,000 in FY 1975. The latter will be considered for obligation after receipt of the results of an evaluation which is to be conducted within one year from the signing of the grant.

Recommendation: That you approve and sign the Kenya/University of Nairobi Activity as set forth in "Revision 2" (attached) of the Social Science Research Sub-Project.

Attachment

I. PROJECT IDENTIFICATION

1. PROJECT TITLE Economic Development Research Organizations Project Social Science Research Sub-Project		APPENDIX ATTACHED <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
3. RECIPIENT (specify) <input checked="" type="checkbox"/> COUNTRY <u>Kenya/University of Nairobi</u> <input checked="" type="checkbox"/> REGIONAL <u>Africa</u> <input type="checkbox"/> INTERREGIONAL _____		2. PROJECT NO. (ILO 1025.0) 698-11-995-403
4. LIFE OF PROJECT BEGINS FY <u>1974</u> ENDS FY <u>1977</u>		5. SUBMISSION <input type="checkbox"/> ORIGINAL <input checked="" type="checkbox"/> REV. NO. <u>3</u> <u>6/5/74</u> CONTRACT NO. <u>698-11-995-403</u>

II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

A. FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMODITIES \$	F. OTHER COSTS \$	G. MEXICAN GRANTEE		H. LOCAL EXCHANGE CURRENCY RATE S/\$ <u>6.95</u> (U.S. OWNED)			
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN	(2) COOP COUNTRY	A	B
1. PRIOR THRU ACTUAL FY	-	-	-	-	-	-	-	-	-	-	-	-	-
2. OPRN FY <u>74</u>	<u>141.0</u>	<u>38.0</u>	<u>77</u>	<u>89.0</u>	<u>216</u>	<u>7.0</u>	<u>7.0</u>	-	-	-	-	-	<u>381.0</u>
3. BUDGET FY <u>75</u>	<u>91.0</u>	<u>24.0</u>	<u>48</u>	<u>61.0</u>	<u>144</u>	<u>3.0</u>	<u>3.0</u>	-	-	-	-	-	<u>380.0</u>
4. BUDGET +1 FY	-	-	-	-	-	-	-	-	-	-	-	-	-
5. BUDGET +2 FY	-	-	-	-	-	-	-	-	-	-	-	-	-
6. BUDGET +3 FY	-	-	-	-	-	-	-	-	-	-	-	-	-
7. ALL SUBQ. FY	-	-	-	-	-	-	-	-	-	-	-	-	-
8. GRAND TOTAL	<u>232.0</u>	<u>62.0</u>	<u>125</u>	<u>150.0</u>	<u>360</u>	<u>10.0</u>	<u>10.0</u>	-	-	-	-	-	<u>761.0</u>

9. OTHER DONOR CONTRIBUTIONS

(A) NAME OF DONOR <u>N/A</u>	(B) KIND OF GOODS/SERVICES <u>N/A</u>	(C) AMOUNT <u>N/A</u>
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III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER <u>AFR/NARA, A. Hardie</u> <i>AHardie</i>	TITLE <u>Project Manager</u>	DATE <u>6/4/74</u>
2. CLEARANCE OFFICER <u>AFR/NARA, U. James</u> <i>UJames</i>	TITLE <u>Director</u>	DATE <u>6/4/74</u>

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL
1/ Each obligation/commitment provides funds for a two-year period which will be expended through the life of the project as set forth herein.

2. CLEARANCES

BUR OFF.	SIGNATURE	DATE	BUR OFF.	SIGNATURE	DATE
AFR/ESA	J. Knoll <i>JK</i>	<u>6/6/74</u>	AFR/DS	J. Blumgart <i>JB</i>	<u>6/5/74</u>
AFR/NARA	J. Beard <i>JBS</i>	<u>6/5/74</u>	AFR/DP	R. Huesmann	
AFR/NARA	J. Kraus <i>JKR</i>	<u>6/6/74</u>			

3. APPROVAL AAS OR OFFICE DIRECTOR

SIGNATURE <u>Samuel C. Adams, Jr.</u>	DATE <u>6/11/74</u>	SIGNATURE	DATE
TITLE <u>AA/AFR, Samuel C. Adams, Jr.</u>		ADMINISTRATOR AGENCY FOR INTERNATIONAL DEVELOPMENT	

4. APPROVAL AID (S.P.N.O. 1025.1 VIC)

NONCAPITAL PROJECT PAPER (PROP)
ECONOMIC DEVELOPMENT RESEARCH ORGANIZATIONS PROJECT
SOCIAL SCIENCE RESEARCH SUB-PROJECT

Activity: Institute of Development Studies (IDS), Faculty of Arts, University of Nairobi, Kenya.

I. INTRODUCTION

This revision requests approval of an activity which supports achievement of sub-project goals set forth under "Original", dated April 4, 1973.

As indicated in the AFR/PPC development research survey conducted in nine countries in 1971, Kenya needs to develop its capability to identify problems, find solutions to them, and implement appropriate activities designed to correct those problems, using indigenous resources.

To assist the University to strengthen local research capabilities and to provide the Government of Kenya (GOK) with practical policy oriented social science research, A.I.D. will provide a grant to pay for research activities and staff development as set forth below.

II. THE PURPOSE OF THE ACTIVITY

A. Statement of Purpose: To strengthen and expand research capabilities at the IDS, Faculty of Arts and Science, University of Nairobi, Kenya, and to provide the GOK with policy oriented social science research findings on various development related problems.

B. Conditions Expected at the End of the Activity: Additional personnel will have been trained in applied research techniques at the IDS, University of Nairobi. The results of thirty-eight policy oriented social science research

projects will have been made available to the GOK, and the University will have an increased capability to train needed researchers.

C. Means of Verification: An annual report concerning all aspects of the program will be produced annually, followed by meetings with representatives from A.I.D., the University of Nairobi, and the GOK to review results.

D. Basic Assumptions: That the University of Nairobi and the GOK recognize the importance of improving the quality and volume of social science oriented research for use in government planning and will devote additional resources toward these ends.

III. ACTIVITY OUTPUTS

A. General Statement of the Outputs: Activity purposes will be achieved through a mix of interrelated outputs, the most salient of which is the planning, implementation, and completion of thirty-eight individual studies in the following six policy-oriented fields which have been selected jointly by the University and the GOK Ministry of Finance: 1) Administrative reforms in government; 2) International policies and effects on development; 3) Land-use policy; 4) Demography and population carrying capacity; 5) Technology as it relates to development, environment, and population carrying capacity consistent with certain levels of development; and 6) Baseline studies within existing policy areas, e.g., employment, distribution of income, welfare, etc.

Other outputs include the training of sixteen indigenous graduate researchers who will be available for employment after graduation at the University of Nairobi or in the GOK as a part of the Kenyan "Africanization" process; the improvement of research capability of sixteen existing Kenyan staff and the University; and on-the-job training for eight research support staff.

B. Tabulation of Planned Outputs

<u>1. Studies</u>	<u>Nature of Outputs</u>	<u>Magnitude of Outputs</u>	<u>Target</u>	
			<u>Begin FY</u>	<u>Complete FY</u>
a.	Base Line studies on employment, income, welfare, etc.	8 reports	75	76
b.	Land-Use Studies	2 reports	75	76
c.	Demography and Population Carrying Capacity	3 reports	75	76
d.	Administrative Reform in Government	3 reports	75	76
e.	International Policies	4 reports	76	77
f.	Base Line Studies	7 reports	76	77
g.	Technology as it relates to Government	4 reports	76	77
h.	Land-Use Studies	1 report	76	77
i.	Demography and Population	3 reports	77	78
j.	Administrative Reform in Government	3 reports	77	78
	Total	38 Research reports	1/	
<u>2. Personnel Trained</u>				
a.	Increased competence in research methods and field data collection through on-the-job experience	16 Teaching Staff	75	78
b.	Increased competence of support staff through on-the-job experience	8 Research Support Staff	75	78
c.	New Researchers Trained (in research procedures, methodology, etc.)	8 Graduate Students	75	76
		3 Graduate Students	76	77
		5 Graduate Students	77	78

1/ Twenty-two by teaching staff and sixteen (one each) by the graduate students as a part of their fellowship grants.

3. Means of Verification: Annual review of the research work plan will be conducted with University of Nairobi and GOK officials to determine whether the research is on schedule and whether findings and recommendations have been made available to the GOK.

4. Basic Assumptions: That sufficient numbers of qualified personnel will be available to train and to conduct the research.

IV. ACTIVITY INPUTS

A. General Statement of the Inputs: Inputs will be provided by both A.I.D. and the GOK as follows:

A.I.D. - funds to finance sixteen research fellowships, twenty-two staff research projects, in-country travel, and some office equipment and supplies.

GOK and the University of Nairobi - provision for teaching staff, library books and research report reproduction, office space, furniture and equipment, vehicles, and faculty travel within Africa.

B. Tabulation of Planned Inputs

1. A.I.D. FUNDED

<u>Input Category</u>	<u>Specific Input</u>	<u>New Starts per Fiscal Year</u> <u>(24 months each)</u>		
		<u>FY 75</u>	<u>FY 76</u>	<u>FY 77</u>
Fellowships and Research	Student years	8	8	-
Staff Research Activities	Research projects	8	8	6
Faculty travel in Africa		As needed		

2. KENYA FUNDED

<u>Input Category</u>	<u>Specific Input</u>	<u>FY 75</u>	<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>
16 Teaching Staff	Supervision	All years in support of training and research studies			
8 Administrative Asst., Sec. Staff	Support	"	"		
Library acquisitions	Research matls.	"	"		
Facilities	Offices, equipment	"	"		
Transportation	Commercial	"	"		
Transportation	3 Vehicles	"	"		

3. BUDGET

	<u>FY 75</u>	<u>Expenditures</u> <u>In thousands of dollars</u>			<u>Total</u>
		<u>FY 76</u>	<u>FY 77</u>	<u>FY 78</u>	
a. <u>A.I.D. Funded</u>					
1. Fellowships (Avg. 2½ yrs. each includes one research project)					
8 Fellowships	29	31	15	-	75
8 Fellowships	-	29	31	15	75
2. Faculty/Staff Research (Avg. \$2,000 per yr. each)					
8 Research Projects	16	6	-	-	22
8 Research Projects	-	16	6	-	22
6 Research Projects	-	-	12	6	18
Research Supplies and Equipment, including books, journals, re- production materials.	5	2	3	-	10
Faculty Travel in Africa	2	5	3	-	10
Totals	52	89	70	21	232

b. GOK FUNDED (Estimate for 4-year period - Rounded in thousands of U.S. dollars)

	<u>Amount</u>
16 Academic Staff (@ \$6,000 per year X 4 years)	384
8 Assisting Staff (@ \$2,000 per year X 4 years)	154
University Library acquisitions	74
Institute for Development Studies library acquisitions	26
Depart of Arts library acquisitions	20
Office Space (equate with rental for 4 years)	10
Library Space (3 facilities for 4 years)	8
Accounting and Bookkeeping expenses (\$6,300 per year X 4 years)	25
Faculty Travel within Africa (\$10,000 per year X 3 years)	30
Telephone, Mailing, Duplication (\$3,000 per year X 4 years)	12
New Equipment (Typewriters, calculators - Total for project)	9
Three University and Institute Vehicles (Total for project)	<u>9</u>
Total	\$ 761

c. Summary of Contributions to Funding

	<u>Funding</u>	<u>%</u>
The GOK	\$761,000	77%
A.I.D.	<u>232,000</u>	<u>23%</u>
Total	\$993,000	100%

V. RATIONALE

The University of Nairobi is serving in an important education role as well as performing a vital function in developmental research through its collaborative effort with the Government of Kenya. Although creation of a capability to undertake research in economic and social science research was begun in 1965, the University has only recently developed its capacity to the point where it can be truly responsive to the needs of the Government in terms of development and policy oriented research.

A. The GOK/University of Nairobi Research Program: The GOK in Sessional Paper No. 10 in 1965 and in Sessional Paper No. 10 in 1973 outlined the several areas for development research for Kenya. In addition, the GOK placed responsibility for coordinating such research in the Ministry of Finance and authorized the establishment of the Institute of Developmental Studies which was placed in the Department of Arts and Sciences, University of Nairobi. The Institute coordinates research with all departments of the University and with Government ministries. Its two major functions are: (1) Research planning and administration, and (2) Training research personnel. The most promising of trained personnel are nominated to undertake graduate study in specified fields so that, upon graduation, they will be available to conduct research in Government ministries, the IDS, or at the University. The IDS is governed by a Board of Directors composed of representatives from the University and the Government. It has outlined a program of needed research under the following 14 headings:

1. Rural Industrialization

2. Income Distribution
3. Wages Structure and Wages Policy
4. Technology Transfer and Diffusion within the Small Farm Holder--
Small Business Sector (Informal Sector)
5. Land Tenure and Land-Use Policy and Environmental Policies and
Practices
6. International Policy and Effects on Development
7. Manpower Development (training and education)
8. Cultural Dislocation and Institutional Reform
9. The Effects of Political Change and Societal Value on
Change of Productivity
10. Development Administration and Administrative Reform
11. Employment
12. Tourism
13. Population Policy and Practice
14. Industrialization and Adaptation of Technology

B. Research to be Supported under the Project: While growing at a steady rate, the IDS has been able to undertake research in only eight of the fourteen areas mandated. A.I.D. plans to assist in accelerating research through grant assistance to the following areas:

1. Administrative Reforms
2. International Policies and Effects on Development
3. Land-Use Policy
4. Demography and Population Carrying Capacity Issues
5. Technology as it relates to Development, Environment, Population
6. Baseline Studies within Existing Policy Areas (employment, distribution of income, etc.)

Implementation of studies in the six specific problem areas above will help meet current program requirements and train local personnel who can, at a later date, replace expatriates.

C. Other Donor Interest and Contributions: Further indication of the importance of this program are the contributions from other donors, as follows:

Swedish International Development Authority (SIDA). K.S. 1,500,000 to provide 5 years of support for the Equity Project relative to research on wages, incomes, services distribution and planning.

Danish International Development Agency (DANIDA). K.S. 30,000 to support research on Village Polytechnics in Kenya, and K.S. 125,000 per year for 3 years to support student research in the Faculty of Arts, Department of Sociology.

Ford Foundation and DANIDA. K.S. 67,000 to support dissertations in agricultural technology and diffusion of technology.

International Labor Organization (ILO). K.S. 40,000 in 1974 supporting research on effects of labor force growth and labor market pressures on wages and productivity.