

9311137 (2)  
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PROJECT PAPER FACESHEET

TRANSACTION CODE

A ADD  
 B CHANGE  
 C DELETE

PP 95p

DOCUMENT CODE  
 3

1 COUNTRY ENTITY TA/RD 4 DOCUMENT REVISION NUMBER Original

5 PROJECT NUMBER 931-1137 6 BUREAU OFFICE A SYMBOL TAB B CODE 08 7 PROJECT TITLE Participation & Rural Development

8 ESTIMATED FY OF PROJECT COMPLETION 81 9 ESTIMATED DATE OF OBLIGATION A INITIAL FY 78 B QUARTER 1 C FINAL FY 81 (Enter 1, 2, 3 or 4)

10 ESTIMATED COSTS \$000 OR EQUIVALENT \$1 -

A FUND NUMBER	FIRST FY			LIFE OF PROJECT		
	B FY	C . . .	D TOTAL	E FY	F . . .	G TOTAL
AID APPROPRIATED TOTAL	722		722	1547		1547
GRANT						
LOAN						
OTHER U.S.						
OTHER COUNTRY						
OTHER DONORS						
TOTALS	722		722	1547		1547

11 PROPOSED BUDGET APPROPRIATED FUNDS \$000

A APPROPRIATION	B PRIMARY PURPOSE CODE	PRIMARY TECH CODE		E 1ST FY 78		H 2ND FY 79		K 3RD FY 80	
		C GRANT	D LOAN	F GRANT	G LOAN	I GRANT	J LOAN	L GRANT	M LOAN
FN	249-J	290		722				825	
TOTALS				722				825	

A APPROPRIATION	N 4TH FY		O 5TH FY		LIFE OF PROJECT		12. IN-DEPTH EVALUATION SCHEDULED
	P GRANT	Q LOAN	R GRANT	S LOAN	T GRANT	U LOAN	
TOTALS					1547		06/79

13 DATA CHANGE INDICATOR WERE CHANGES MADE IN THE PID FACESHEET DATA BLOCKS 12, 13, 14, OR 15 OR IN PRP DATA BLOCK 12? YES, ATTACH CHANGED PID FACESHEET

1 YES

14 ORIGINATING OFFICE CLEARANCE  
 SIGNATURE: Charles S. Blankstein  
 TITLE: Director, TA/RD  
 DATE SIGNED: 06/30/77  
 15. DATE DOCUMENT RECEIVED IN AID/W. OR FOR AID/W DOCUMENTS. DATE OF DISTRIBUTION

Since a salient dimension of local organizational dynamics is local level participation, it is therefore understandable that interest has recently developed at Cornell in the question of how to foster participation in rural local organizations. When TA/RD began to explore the role of participation in rural development, in response to the emphasis participation was receiving under "New Directions" policies, Cornell was a logical source to which TA/RD turned for assistance in providing a better understanding of the dimensions of participation relevant to the design and assessment of rural development projects. A working paper was produced for TA/RD in 1976 setting forth a conceptual framework outlining the major dimensions of participation and potential ways for measuring these dimensions. This document served as an important source of theoretical input for the development of TA/RD's project on rural participation.

A distinctive aspect of participation is that a wide spectrum of disciplinary perspectives is required to analyze this phenomenon. Cornell is well suited for this task because of its demonstrated capacity for organizing and sustaining interdisciplinary cooperation in scholarly activities. The major organizational mechanism employed in accomplishing this cooperation is the Rural Development Committee (RDC).

Rural Development Committee activities have involved scholars and students from the social sciences departments, the technical departments of the College of Agriculture, and individuals from such specialized programs as industrial and labor relations, education, communication, nutrition, population, regional planning, etc. The RDC's experience includes interdisciplinary study groups and conferences, inter-college cooperation in course development, and interdisciplinary research, e.g., the study on local organizations referred to above.

Cornell has, therefore, the administrative capacity for undertaking interdisciplinary work in participation. Under the auspices of the Rural Development Committee, it has assembled substantial academic competence in the biological, social and physical sciences focused on analyzing participation from each individual disciplinary perspective represented. Cornell's ability to mobilize a large number of people through the RDC, all of whom have indicated a strong interest in doing further work on participation, is a primary reason why this institution's capabilities in this substantive area exceed those of any other university.

Moreover, Cornell's well-established reputation for an interdisciplinary approach to rural development problems will continue to attract high quality graduate students and research associates, especially those interested in Cornell's expanding emphasis on rural participation.

Other universities, for example Michigan State University, have utilized an interdisciplinary approach to rural development problems but none has institutionalized their approach to specific development problems through a mechanism like the RDC. Moreover, Michigan State is not recommended because of staff commitment to other TA/RD projects. Similarly, while the work of other universities in the Expanded Program has touched on various dimensions of participation, none has made a concerted effort to examine the phenomenon as a whole.

Cornell has, therefore, clearly established itself as the primary source of university experience and expertise on rural participation. Additionally, the organizational mechanism it has utilized for past study of development problems lends itself particularly well to achieving the goals of TA/RD's rural participation project.

For the above reasons I believe it is to the advantage of the U.S. Government to negotiate a Cooperative Agreement for the Participation and Rural Development Project with Cornell University.

Clearances:

TA/AGR: W. Merrill W.S.M. Date: 7/22/77  
 TA/PPU: R. Simpson RS Date: 8/2/77

July 25, 1977

ACTION MEMORANDUM

TO: AA/TA, Mr. Curtis Farrar  
THRU: TA/PPU, Mr. Robert Simpson *RS*  
FROM: TA/RD, Mr. Charles S. Blankstein *CSB*

Problem: Requested approval for funding new TA/RD project on Participation and Rural Development.

Discussion: TA/RD's proposed project on "Participation and Rural Development" was reviewed and approved by the Research and Development Committee on May 31, 1977. The final version of the Project Paper was circulated for comments to the members of the R & DC and no comments were received by the specified date (July 22, 1977).

Project costs are estimated at \$1,547,655. The project will be carried out over a four year period. The project is shown in the TA/RD ABS as a FY 1977 shelf item, with funding to be initiated in the first quarter of FY 1978, if funding is not available this fiscal year. Funding is to be obligated in two tranches, the first in the amount of \$722,300 in the beginning of FY 1978 or the end of FY 1977, and the second in the amount of \$825,355 in FY 1979 or FY 1980, depending on the first obligation.

The project will be carried out through a Cooperative Agreement with Cornell University by its Rural Development Committee. A Basic Memorandum of Agreement between AID and Cornell has been negotiated and approved and should be signed shortly.

Attached as Annex A is TA/RD's rationale for utilizing the Basic Memorandum of Agreement for analysis for agricultural and rural sector planning and the selection of Cornell as the cooperating institution.

Recommendation: That you approve this project and funding for it in the amount of \$1,547,655, with the first obligation of funds to be made in FY 1978, or, if funds are available, in the fourth quarter of FY 1977. The remaining funds will be obligated in FY 1980, or in FY 1979 if initial funding occurs in FY 1977.

Proj. 9311137  
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AGENCY FOR INTERNATIONAL DEVELOPMENT  
PROJECT AUTHORIZATION AND REQUEST  
FOR ALLOTMENT OF FUNDS PART I

1. TRANSACTION CODE

A ADD  
 C CHANGE  
 D DELETE

3. COUNTRY/ENTITY

TA/RD RDA # 037

4. DOCUMENT REVISION NUMBER

Original

5. PROJECT NUMBER (7 digits)

931-  
[ 1137 ]

6. BUREAU/OFFICE

A SYMBOL B CODE  
TAB [ 08 ]

7. PROJECT TITLE (Maximum 40 characters)

[ Participation and Rural Development ]

8. PROJECT APPROVAL DECISION

A APPROVED  
 D DISAPPROVED  
 DE DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION

YRS. [ 04 ] QTRS [ 0 ]

10. APPROVED BUDGET AND ALLOCATED FUNDS (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. C. DE.		LIFE OF PROJECT		M. 2ND FY		N. 3RD FY	
		C GRANT	D LOAN	F GRANT	G LOAN	I GRANT	J LOAN	L GRANT	M LOAN
(1) FN	249-J	290		722					825
(2)									
(3)									
(4)									
TOTALS				722					825

A. APPROPRIATION	N. 4TH FY 80		O. 5TH FY 81		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED (ENTER APPROPRIATE CODE(S)) 1 - LIFE OF PROJECT 2 - INCREMENTAL LIFE OF PROJECT	B. ANT. LOAN
	D GRANT	P LOAN	R GRANT	S LOAN	T GRANT	U. LOAN		
(1)					1,547			
(2)								
(3)								
(4)								
TOTALS					1,547			81

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, or R FM/PSD)  
SIGNATURE  
DATE

14. SOURCE/ORIGIN OF GOODS AND SERVICES

000  941  LOCAL  OTHER

15. FOR AMENDMENTS, NATURE OF CHANGE PROPOSED

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

PROJECT AUTHORIZATION AND REQUEST FOR  
ALLOTMENT OF FUNDS

PART II

ENTITY : TA Bureau  
PROJECT : Participation and Rural Development  
PROJECT NUMBER. : 931-1137

Funding in the amount of \$1,547,655 is requested to conduct a new TAB project, managed by TA/RD, entitled Participation and Rural Development. Amounts requested include \$722,300 in the first quarter of FY 1978, or, if funds are available, in the fourth quarter of FY 1977. The remaining amount of \$825,355 is requested in FY 1980 or FY 1979 depending on how soon initial funding is possible. The project is to be executed over a four year period running from calendar year 1977 into calendar year 1981.

Signature: Curtis Farrar  
Curtis Farrar  
AA/TA

Date: Aug 4, 1977

Attachments:

1. Action Memorandum from Charles S. Blankstein, TA/RD to Curtis Farrar, AA/TA, dated July 25, 1977
2. Attachment "A" to Action Memorandum
3. Project Paper for "Participation and Rural Development".

Clearances:

TA/RD, CSBlankstein CSB Date: 7/25/77  
TA/RD, ~~6~~ NKNicholson KN Date: 7/26/77  
TA/PPU, RCSimpson RS Date: 8/2/77  
TA/AGR, WMerrill WM Date: 7/26/77

## PROJECT PAPER OUTLINE

### PARTICIPATION AND RURAL DEVELOPMENT

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PART 1.

A. Recommendations

Authorization of a grant to Cornell University under a Cooperative Agreement in the amount of \$1,547,000 over a four year period. This represents an obligation of \$722,000 in FY 78 (77) and \$825,000 in FY 80 (79)

B. Description of Project

In view of the growing importance given to the goal of a broadly participatory development strategy, AID Missions will require an improvement of both the quality and quantity of analysis going into project design, implementation, and evaluation if the participatory impact of those projects is to be enhanced. It is anticipated that these needed inputs will fall into four broad categories of social/institutional problems associated with a participatory growth strategy.

1. Encouragement of community development, community action, and self-help.

2. Analytical and administrative problems of identifying the problems of poor and marginal groups and targeting services and economic opportunities toward those groups.

3. Improvement of local government and rural administration structure, procedures and relationships with clientele.

4. Improvement of policy oriented social science methodology in LDC governments (especially at the local level) and in universities and research institutes. Of particular importance is the analysis of the effectiveness of various policy instruments in and the design of programs for institutional development and reform.

It is expected that AID missions will increasingly play both a catalytic and supporting role in directing development efforts toward a broadly participatory growth pattern. In consequence, Missions will require the following four kinds of services to enable them to build into development projects the substantive concerns raised above.

1. Improved and expanded consulting services to provide professional support for the design, implementation and evaluation of projects. A successful participatory growth strategy will require substantially greater social science input than is now available to missions and a substantial increase in the quality of analysis to be successful. This project will provide a mechanism for making that professional talent available at all stages of the evolution of projects. Furthermore, it will bring into the consulting network individuals not normally linked to the AID consulting network.

2. Improved project related research to provide better information on characteristics of target groups, social and economic trends, the impact of various development strategies and instruments, and on the distribution of the costs and benefits of growth. It is intended to integrate this applied research directly with development projects and to use it to effectively evaluate and improve project design. One advantage of the choice of a university to implement this project is that we will probably stimulate much more research in this area than the project actually pays for directly as faculty and graduate students are encouraged to direct their own individual research and analysis efforts into applied research.

3. Improved dissemination of relevant information among practitioners. This includes training, exposure to new developments and techniques in the field, and improvement in information systems related to specific projects. It is also expected that the cooperating university will play an important catalytic role in giving increased saliency to development problems within the academic community by use of such normal professional information dissemination techniques as professional publications, seminars, etc.

D. Development of middle-range theory or synthesis of relevant experiences to assist in the conceptualization and understanding of the problems, opportunities, and processes of participatory development. This may include state-of-the-art papers, some limited hypothesis testing, or highlighting particularly important or innovative projects for possible adaptation and application elsewhere.

By utilization of the cooperative agreement contracting mechanism, it will be possible to provide a flexible response to mission needs for consulting and applied research. The \$1,547,000 budgeted for this project over a four year period will enable us to free faculty time and to permit the university to recruit research associates and research assistants (graduate students) to constitute a core group which will be available for consulting and applied research assignments as worked out jointly among the university, A.I.D./W and field missions. Similarly, the core group will be responsible for producing a set of state-of-the-art papers on key aspects of participatory development strategies and implementation according to priorities worked out between the project committee and the university. The core group will also have the administrative responsibility for developing and maintaining a consulting roster (subject to the caveat explained in Section IV.D. below) and for information organization and dissemination to assist in the development of participation-expanding projects.

C. Summary Findings:

1. Technical:

The project has as its primary purpose the marshalling of resources which missions can draw upon to assist in the design, implementation, and evaluation of a broadly participatory development strategy. The technical details will, however, be specific to the particular projects and countries in which the prime contractor will be involved. Thus, the input of the university will be different if the project is to improve the functioning of local

government in general (for example, in cooperation with efforts now under way in Egypt, Indonesia, or Pakistan) or to improve the effectiveness of health delivery systems or water management associations. Likewise, the contribution of the university will be greatly affected by the nature of host government commitment to participatory goals, the character of the rural social structure, local cultural patterns, etc. In fact, it is precisely to help project managers come to grips with the impact of this complex set of variables on successful participatory development that this project is designed.

## 2. Financial:

It is not the purpose of this project to meet all the needs of AID Missions for professional inputs into development projects directly. Rather, it is intended that the core group of top professional talent will be involved with a select group of missions to establish a direct link between the academic community and the practical problems of project design. This will, of course, have a direct payoff for those specific projects in which the contractor's core group is involved. Beyond this, however, an indirect impact is expected through a) involvement by the core group in consulting with Missions where the university is not directly involved in applied research; b) the contribution of the core group to our understanding of problems, responses, methodology, policy instruments, etc. and disseminated through the information system; c) the development of a consultant roster to serve mission consulting needs and the stimulation of social science research on participation problems in general.

The provision of approximately \$380,000 a year for four years for this project represents the cost of maintaining the core group at the university and covers the cost of their involvement with a select group of missions in an intense applied research/consulting role. It further covers the cost of developing the consulting roster and of information dissemination activities. As the information dissemination system and the consulting network will multiply the results of the direct conceptual/applied research/consulting work of the prime contractor, these outputs are perceived as essential to accomplishing the project goal. They are in fact the means by which this TA/RD investment will have an impact on the large number and dollar values targeted on the rural poor which the Agency undertakes each year.

### 3. Economic Analysis:

Participatory development projects are particularly difficult to select and evaluate because the variables critical to success, the criteria of success, and the policy instruments available are generally all unfamiliar to development planners and not easily susceptible to standard cost/benefits analytical techniques. The most important contribution of this project in the area of economic analysis, therefore, will be to supplement and expand the decision making capacities of practitioners in directions more suitable for participatory development.

### 4. Social Analysis:

The immediate direct beneficiaries of this project will be the AID Mission staff with responsibility for encouraging participatory rural development. The project will provide them with increased capacity to identify the problems of the poor, to evaluate policy

instruments for influencing the welfare of the poor, and with professional assistance in improving implementation of projects aimed at assisting the poor. Host governments will be involved in project activities through AID Mission personnel and as colleagues in research activities. It is expected that improved capacity to understand and deal with the problems and a clear understanding of the social costs and benefits of different development strategies and projects will have a positive impact on host government interest in participatory development. One consequence of the project may be considered, then, to be the improvement of the whole policy environment for participatory rural development in select countries.

## PART II. PROJECT DESCRIPTION AND BACKGROUND

### A. Background

As evidence begins to build up of economic growth associated with deepening and expanding poverty, of the deterioration of the quality of life (especially community life) associated with rapid economic change, and of widespread waste, inefficiency, and irrelevance of many rural development projects, the simple equation of development through increased investment and expansion of GNP can no longer be accepted. Rather, we have begun to ask a new set of questions. These questions center around the distribution of the costs and benefits of growth among various classes and groups within the population on the one hand and around the relevance of LDC elites' programs to the needs, aspirations, and priorities of the rural population on the other. It is this dual set of problems that we have come to label the "participatory" aspects of the development process. The challenge is how to develop a program for confronting these "participatory" problems of the growth process.

The most recent version of the A.I.D. Agricultural Development Policy Paper (Draft No. 4, PPC/PDA, May 1977) articulates this clearly in the very first paragraph:

This paper sets out the major policy implications and issues for A.I.D. of a broadly participatory agricultural production strategy for developing countries.

A "broadly participatory" strategy is defined here as a strategy consistent with the major U.S. development assistance objectives of helping developing countries. (1) increase their capacity to expand and distribute food supplies to alleviate hunger, and (2) increase participation of poor people in the process and benefits of development. (emphasis added)

It is important to note that the policy paper stresses both participation in the benefits and in the process of development. The further elaboration of these points in the paper highlights the issues (p. 16).

The notion of participation in benefits is not difficult. Who is benefitting from development and the associated changes and who is being harmed? Needless to say, if the rewards go to one group and the economic and social costs are borne by others, then the participation is not equitable. But what is a cost or burden and what is a benefit? That will depend in good part on how the people who are or might be affected see their needs and interests. Unless they have decisive inputs into decision making, there is a strong possibility that the project will not address their needs and bring them real benefits.

There must be participation at the initial stage when decisions are made on what is to be done and how, but there must also be participation in the implementation. There is plenty of slip between the statement of policy and the adoption of a plan, on the one hand, and its execution on the other. The interests of civil servants and technocrats do not necessarily match the interests of the rural poor. Indeed in most structures, in the U.S. as well as developing countries, there are few incentives for those charged with administering and making technical inputs for a public sector program to give much attention to the poor or powerless.

Many of the inhibitions on effective participation in the development process by the rural poor are engendered in the macro-policies of the government. Thus, if capital is subsidized there will be strong economic pressures away from labor intensive manufacturing processes. Similarly, it is difficult to conceive of many benefits flowing to the poor in the absence of an effective agricultural policy which stresses adequate public investment in the rural sector, agriculture research, and favorable terms of trade for the rural sector. Nor do urban dominated political systems provide scope

for the decentralization of authority and the penetration of public services into the rural areas which would make participation of the rural poor in the development process a reality. While recognizing the impact and importance of these macro-policies the emphasis of this project will be the design and implementation of development activities to improve the participation of the poor within existing structural and policy constraints. It is probably realistic to assume that in most instances LDC efforts to improve participation will be incremental not radical, and our primary efforts should be directed toward what can be accomplished in this context.

The development process is an extremely complex one and most of the dynamism, innovation, and investment requisite for effective development must originate within the local community and the private sector. The role of government must be understood in this context and guided to encourage self-help and local initiative. The purposes of the project will, therefore, be twofold. First, to contribute to practitioners' understanding of the social processes at work, the key variables, the identification of relevant role sets and attitude sets, etc. Second, the identification of those areas where the appropriate use (or avoidance) of government authority can make a difference in the quality and range of popular participation. The focus of the university's efforts, therefore, will be policy oriented-- directed toward improving the effective use of public resources and public authority.

Substantively, participation becomes a salient problem of development programs and projects in the following areas.

1. Community action and self-help:

The development process almost invariably weakens local traditional leadership roles and institutions of collective/community action. Social cleavages are frequently exacerbated and established social and economic relationships are upset. Integration with the market and greater interaction and interdependency with the world outside the village often mean that traditional village institutions are no longer efficacious for managing the affairs of villagers who are now increasingly involved in activities beyond the boundaries of the village. This decline of the efficacy of community life has a major impact on the development process. First, the quality of social life is often perceived to have declined. Second, the ability of the rural community to mobilize resources and carry out normal civic functions deteriorates. Third, the decline of institutions or associational structures for mediating between the villager and the outside world increases insecurity and makes government attempts to reach its rural clientele very difficult.

An important focus of any participatory strategy, therefore, must be to design programs which will contribute to, or at least not lessen, the villagers' capacity for collective action to further their own welfare and manage their own lives. In some instances this can be accomplished by strengthening existing institutions and providing outside resources. In other instances new, functionally specific forms of cooperation must be encouraged (e.g. water users associations,

marketing coops, etc.). Policy makers must become sensitive to the impact of their policies on the village as a community and to the associational or institutional requirements of a modern economy. This sensitivity must then be supplemented by careful analysis and eventually transformed into guidance for policy, projects, and administrative procedures.

2. Targeting government services, investment, and economic opportunity to the poor:

General economic growth frequently bypasses the poor, marginal groups, and backward areas, even when participatory projects are undertaken with the best of intention. Adleman and Morris indicate that in the past only when fairly high levels of development have been attained have benefits begun to "trickle down" to the poorest — a lag of several generations. Increasingly A.I.D. missions and LDC governments have been attempting to overcome the growing gap between rich and poor and the "trickle down" lag by targeting benefits to specific populations. This requires:

a) Improved social/economic data gathering and analysis to identify the poor and their access to productive assets, family work patterns, or social constraints on responses to economic opportunity.

b) Experiments with administrative structures and local institutional arrangements to assure that services reach the target group and to permit integrated attacks on structural constraints on equitable growth.

c) Planning capacity to identify and plan for income/job generating investment in the rural or small town sector.

d) In this connection the special problems of reaching women, infants, the landless, marginal and minority populations, or migrant populations offer a challenge to our ingenuity in project design and institutional development.

### 3. Improvement of Local Government and Local Administration:

In most IDCs local governance systems (whether local governments or local administration) will increasingly bear a major responsibility for providing the essential rural infrastructure for agricultural development, for managing the supply of inputs and the marketing of agricultural products, as well as the normal civic functions of health, education, etc. As the development functions of these various local authorities expand, a host of problems commonly appear. In some cases these problems are manifest as "administrative" problems of line bureaucracies, in others as problems of local governments per se. Efficacious solutions seldom occur, however, unless the problems are identified and dealt with as problems of participation.

a) Problems of financial resources and resource mobilization.

b) The appropriate level for location of various government services, the appropriate institutional mechanism for development efforts (administration, cooperative, local authority, private initiative) and the evolution of mechanisms for vertical and horizontal integration of public activities, etc.

c) The provision for popular input into the decision process in order to regulate the nature of popular "demand" for public investment and services, to monitor the impact of programs, to encourage private or local collective cooperation in development efforts, and to improve the process of interaction between bureaucracy and its clientele.

d) The absence of local structures to serve as linkages to rural poor often persists because development administrators fail to encourage or take advantage of informal or non-administrative vehicles for encouraging local participation in the development process. These are organizations like cooperatives, farmers' associations, womens' clubs, etc. that do not as a rule exercise formal governmental authority but that can play useful roles in local development efforts. Various tasks such as land reform implementation, health and nutrition programs, rural savings, etc. can be handled by such organizations. The appropriate form of such local organization given local custom, local social structure, stage of development and functions to be performed requires careful analysis and skilled institution building efforts.

e) Local allocation and regulation of productive assets has become an increasing challenge in IDCs as traditional systems of resources control have broken down and as population pressure and increasing commercialization have stimulated more intensive exploitation of natural resources. Deforestation, hillside erosion, exhaustion of ground water supplies, decay of irrigation facilities, etc. have

begun to appear as critical problems of managing the natural resources of the rural community. Solutions to these problems are seldom simply technical but raise important questions regarding local power structures, production patterns, governance capacities, and equity. The collective management of vulnerable, exhaustible, or scarce productive assets requires careful balancing of public authority, local participation, and technical expertise if it is to be successful, and this requires a good understanding of the local culture and the evolution of institutional mechanisms for working within that culture to achieve the desired technical ends. "Applied" community or social analysis can provide a vital contribution to the success of such efforts.

4. Methodologies of Participation:

Effective participatory development requires good social/economic data on the rural poor, aggregated at an appropriate level of government with resources and authority to act on the information, and a capacity for analysis that can translate data into "problems" and can develop appropriate administrative responses in the form of projects.

a) Data gathering in most LDCs is inefficient and produces highly unreliable results. Seldom have progress indicators been specific to the target group in question and analysis typically has yielded little information about how the rural economy really works. Information systems need to be much more directly related to project needs. Various line agencies and governmental authorities need to expand their capacity to use social data more effectively.

An important part of a participatory development strategy, therefore, is the development of an appropriate system of monitoring social change.

b) Careful project evaluation is needed, as well, to provide information on which policy instruments are effective in reaching the rural poor, the relative efficiency of various instruments in channeling benefits, and factors which may intervene to influence the impact of public policies on the poor. For all of these purposes it is necessary to build up program evaluation capacity and to integrate a concern for causal analysis into project design and execution.

This area of methodological considerations will need increasing attention as we attempt to find cost effective data gathering and analysis techniques and implementation mechanisms and attempt to build up both Mission and LDC capacity to perform and utilize such analysis.

c) In carrying the opportunities of development to the poor, ongoing attention must be directed toward the techniques and goals of rural education, communication systems, and the diffusion of technology. It is particularly important that information flows not be simply passive, but actively involve the rural population by articulating their needs and knowledge upward to decision makers and by providing, through cost effective means, information important to their livelihood. In the past the irrelevance of much education and extension work, the lack of penetration of staff into the villages,

the hierarchical relationship between government and farmer, and the low skill levels of field level officials, and the inappropriate structure of the knowledge transmitted, have all contributed to reduced effectiveness of rural information/communication systems. Increased professional input into the design of this aspect of rural development work will greatly improve the effectiveness and efficiency of development projects.

Recognition of the saliency of these problems in rural development efforts is reflected in responses by missions to a recent circular airgram from this office to solicit reactions to TA/RD's selection of "critical" rural development problems. Of 32 responses, 21 missions listed participation issues as high priority in their programs (10 of these listed participation as "urgent").

Although need for increased professional input into A.I.D.'s operations are fairly evident, the Agency continues to have difficulty in acquiring sufficient talent. This at a time when increasing numbers of skilled foreign areas and social scientists are being diverted into other pursuits for lack of suitable demand for their services. It is the purpose of this project to provide a mechanism for supplying that needed talent.

Social science input into the development process, if it is to be effective, must be interdisciplinary, must maintain an applied focus, and must be guided by sufficient intellectual sophistication and clarity so that resources are used effectively and efficiently. Several major U.S. universities have devoted a great

deal of effort to rural development problems. They form not only a source of talent in and of themselves, but also a useful foci for drawing in a number of competent investigators and practitioners at other universities as well as people not normally associated with the university community. Their capacities to integrate social science work, to serve as a link between theory and practice, and as a source of methodological sophistication for social science analysis and implementation, and the wide range of top professional talent available, make these university centers an attractive location for the set of services described above.

In the inter-disciplinary field of rural development participation, Cornell University has extensive experience, broad capacity, and interests which range across colleges and departments. This capacity is structured by a formal coordinating committee -- the Rural Development Committee -- within the Center for International Studies which has already demonstrated its capacity to encourage cooperative applied research across institutional boundaries and even across universities. Cornell University has applied for and been selected on a competitive basis for participation in the Expanded Program for Agricultural and Rural Sector Analysis, under which it will enter into a Basic Memorandum of Agreement with AID which sets out the content and procedures for participation in cooperative ventures with AID. Subsequent Cooperative Agreements will obligate funds for a set of activities designed to allow joint planning and flexibility to adjust both work and budget as necessary to accomplish a specified end. The premise of this contractual mechanism as it relates to TA/RD's program is that the

nature of many activities AID finances requires innovative and experimental responses to specific problems and that this is best accomplished by an interactive or cooperative relationship between A.I.D. and a university contractor in which problems can be progressively defined and selected, responses evaluated, and knowledge synthesized. Any attempt to specify too precisely in advance the nature of our response to rural development problems would commit us either to some form of global orthodoxy or to a highly mechanistic response to the problems. A more organic relationship between A.I.D. and university which permits ongoing analysis and flexibility is more suitable for institution building projects and for the encouragement of social change, where many key variables are outside the control of the project.

Entering the Basic Memoranda of Agreement allows Cornell University to enter cooperative agreements on a wide range of subjects beyond rural development participation, but the project described in this Project Paper will be the first and most comprehensive and is designed to lay the foundations for effective policy interventions in the areas of institution building, community development, and social change that are the key to a successful participatory development strategy.

To achieve the project goal of increasing AID mission capacity to play a catalytic role in formulation of participatory development strategies the university will provide the following outputs:

- a) direct mission support in the form of applied research and consulting related to specific projects,
- b) information organization

and dissemination related to participatory rural development (e.g. conferences, publications, newsletters, training sessions, etc.), c) state-of-the-art work to organize and synthesize existing knowledge and to pinpoint the need for new research relevant to proposed rural development projects, and d) a consulting roster of available rural development specialists (although with experience we may decide to administer this roster through some other organization; see the discussion below in Part IV.

## B. Project Description

### 1. Program Goal

The project goal is to improve the capacity of AID Missions and host country institutions to effectively design and implement projects which encourage the participation of the poor in the development process. Project activities financed by TA/RD are a necessary but not a sufficient means to accomplish the broader goal. Also required, but outside the scope of this project (except as assumptions), are IDC policies which will establish an environment conducive to progress for the rural poor and encourage appropriate action programs; and LDC and donor financing of such action programs.

One of the factors often neglected in the development of growth strategies and in the design of specific projects is that the relationship of the villager to his community and the relationship of the rural community to the institutions of the market and of the government have is crucial impact to the social impact of growth policies.

Growth strategies themselves are frequently ineffective if insufficient attention is given to the flow of information to and from the villages, to the mobilization of resources locally, or to the need for a localized capacity to mediate and adapt policy for local conditions. Certainly a policy of growth with equity cannot succeed without attention to how local social structure and institutions influence access to opportunity and the distribution of costs and benefits.

More fundamentally, however, the growth process often erodes or destroys the traditional means through which villages managed their own affairs and exercised control over their natural and social environment. All too frequently development is associated with community decay and alienation on the one hand and with increasing lack of efficacy in the villagers' attempts to control their own fate. It is the goal of this project, then to expand and improve the level of popular participation in the development process. This can be accomplished by providing practitioners with better understanding of the forces at work, an awareness of the linkages between these forces and their projects, and the benefit of accumulated experience in how, at least, to limit the destructive effects of the growth process. More positively, however, we may hope to design projects to contribute positively to improved participation.

The term "improved" means, in the broadest sense, the expansion of the access of the villager, especially the poor, to the benefits of growth and the expansion of his area of choice or control over the process of growth and his place in it. Participation is not a simple process. At a minimum it consists of the four components identified recently by Cohen and Uphoff:

a) participation in decision making, b) participation in implementation; c) participation in benefits; d) participation in evaluation.

Adequate responses to declining participation often associated with growth requires sustained, multi-faceted, carefully targeted interventions founded upon sound analysis and information.

The present project hopes to encourage a participatory growth pattern by providing professional resources capable of helping missions and LDC governments come to grips with the problems and recognize the opportunities.

Goal achievement would be reflected in positive changes in LDC government strategies and policies toward more participatory models; improvements in the spread of benefits to the poor in those projects influenced by this project; institutional changes expanding popular participating in host countries, and increased utilization of social science analysis in planning and evaluating projects. It will be difficult to determine the actual

degree of influence of the project on goal achievement unless controls can be established to account for other factors or variables which also are necessary for accomplishing the general program goal. Nevertheless, within the context of specific projects in which the prime contractor is directly involved it should be possible through careful evaluation research or comparative analysis to establish the effectiveness of the participatory strategies attempted. TA/RD's recent contracts with D.A.I. and Cohen & Uphoff at Cornell have produced important contributions to the methodology of measuring participation which will facilitate this effort.

## 2. Project Purpose

The project purpose is to marshall and bring to bear practical experience and intellectual resources which AID missions can draw upon for assistance in the design, implementation, and evaluation of projects and programs with strong participatory components. It is assumed that project development and implementation will benefit from the following inputs from the multi-disciplinary approach to rural development participation encouraged by Cornell.

- a) Improve the quality of social analysis in connection with specific mission projects.
- b) Improvement of our conceptual understanding of the participatory aspects of the development process and of the interactions among public policy, economic growth, and the quality of rural life.

c) Improve the range and availability of professional talent for involvement in program development, project design, and applied research.

This will expand the availability of professionals with practical experience with the institutional and operational problems of participatory development.

d) Encourage the diffusion of successful techniques of participatory development, the experimentation with new and innovative approaches in pilot projects, and the adaptation of existing structures to new conditions.

The achievement of these purposes will substantially improve A.I.D.'s capacity to contribute to the development of effective participatory growth policies and to design effective assistance strategies.

A second purpose of the project will be to expand IDC host country capacity for analysis, project design, institution building, evaluation and impact research, and support for a broad participatory development strategy. Although this is fairly commonly stated as a goal of development projects, it is particularly essential to a project in participation. Projects which center around social change, institutional development, and the reorganization of economic and political relationships are fundamentally more difficult to design than simple transfers of resources and the construction of infrastructure. In consequence they require cooperation,

sympathy, understanding, and commitment from host country administrators and political leaders. It is proposed in this project to work actively for the expansion of that relationship between the host government and the AID mission, through the vehicle of the prime contractor. This will be accomplished in two ways. First, by direct involvement of the staff of the university contractor with host country researchers and administrators in specific projects where the goal and problems of participation can be dealt with in practical terms. Second, through the information activities of the university which will contribute to a climate in which participatory goals and strategies are better understood.

These two purposes are viewed as mutually reinforcing and directed toward the same goals. The primary focus on mission capacity is merely one of sequencing. The A.I.D. program in the host country is perceived here as a catalyst though not necessarily as the initiator or prime mover, in the evolution of a participatory strategy. As such the mission's capacity to conceptualize appropriate projects, identify favorable indigenous development efforts and to channel resources and information to them, and to act as a stimulus for the application of relevant American and LDC talent to the problem is conceptually prior to efforts to develop local capacities. We would, however, expect an early integration of these two purposes.

By the end of the project, the conditions that will indicate that these purposes have been achieved will be:

a) Increased mission demand for social science impact and evaluation research in connection with specific development projects. The realization that careful social and institutional analysis at all stages of project design, implementation, and evaluation is essential for effective policy intervention to further participatory growth is only slowly becoming recognized. In many cases it is viewed as a legislative requirement for "social soundness analysis" rather than a key component of targeted development. It is expected that the increased supply and quality of research and consulting services and the establishment of an ongoing relationship between select missions and the university contractor or members of the network set up by the cooperating university (project outputs) will increase mission/LDC demand for effective social research to direct and evaluate projects.

b) Development of a set of project-related research studies establishing causal relationships between development efforts and the social impact of those policies. Social policy in most countries is undertaken without any clear understanding of the actual effectiveness and efficiency of policy interventions. Causal relationships are complex, the distribution of costs and benefits are difficult to measure, many variables are outside public control, and we seldom have comparative data on the impact of alternative policy instruments. The best evidence of achieving the purpose of this project, then, will be not only the success of specific development projects but our improved understanding of what makes participatory strategies work.

c) Utilization of consulting network and information system by missions and LDC institutions. The best evidence of the utility of the network and information system will be the willingness of missions and LDC governments to expend their own funds to make use of the services (consulting contracts, participation in seminars, etc.). In particular a more active role by LDC institutions in defining the content, focus, and form of the information system will indicate increased sensitivity to the importance of expeditious exchange of information and experience about rural development. It is not so much the utility of specific pieces of information that we should use to judge the system but the utility of the process of sharing skills, practice, and experience itself. In this connection the participation of LDC institutions and practitioners in an active way is essential.

4. Development of a body of policy oriented analysis and theory on participatory rural development. The existing literature on rural development, especially the institutional aspects, tends to fall into three categories: grand theory, project level descriptive material, and state of the art work that represents summaries or reviews of existing work. Little effort has been made to synthesize and organize existing experience and to draw from it information about the interaction of development strategies and institutional experiments with specific social environments. No assumption need be made that the results of such synthesis will be directly applicable to specific development problems. We may be assured that successful rural development efforts are almost always somewhat unique to the environment and require creative adaptation of existing models.

Nevertheless, it is essential that the best possible models be built into our educational and training processes and that we establish sensible arenas of discourse for conceptualizing and articulating policy options. By using a leading graduate institution in the field of rural development as the cooperating university for this project we can assure that the link between theory and practice and between practice and training is made. Through its role as a seminal institution in this area in the United States and through links to IDC institutions which already exist or can be developed by this project, Cornell University can make an important intellectual contribution to rural development practice.

e) In addition to the direct project-specific benefits provided missions several additional advantages are anticipated, but not listed as project purpose.

i) It is hoped that a specific set of American scholars will be encouraged through the mechanism of this project to develop an ongoing relationship with host country institutions and an interest in applied research in the area.

ii) It is also anticipated that U.S. professionals will develop contacts with local institutions and provide informal assistance in institutional development, opportunities for cooperative research efforts, and training through project related local professional involvement.

It is assumed that (a) A.I.D. and LDC rural development practitioners recognize the need for more knowledge and information and that they are willing to use it in project design and implementation when it is available; (b) the U.S. and LDC professionals (researchers and implementors) will be able collaboratively to design and carry out studies, prepare strategies and implement recommended approaches; and that the consultants, USAID Mission personnel and researchers see the need for and are willing to work together to integrate more fully their now largely separate activities. The integration of consulting and research activities under this project depends heavily upon the willingness of these three groups, given their differing immediate objectives, to work together so that their combined efforts result in better accomplishing the common goal of reaching the rural poor.

It is recognized that in the area of participatory strategies, this convergence of interests is often inhibited by the political sensitivity of strategies which may have strong redistributive implications -- both of access to income opportunities and of power at the local level. While we would by no means wish to have the cooperating university avoid meeting these redistributive issues head on where appropriate, it is assumed that progress toward greater participation in growth will be made most effectively where conflict levels are kept at moderate levels. It will have to be determined in each case whether the most effective way to further participation is, for example, to work with existing traditional institutions, to

depoliticize problems through functional specialization of participation, or to avoid direct confrontation at the local level by employing targeted distributive policies rather than redistributive solutions. The success of the project does depend, in the final analysis, on the assumption that LDC elites will support a participatory strategy if the effectiveness can be demonstrated and if the ratio of costs and benefits derived can be made tolerable by a suitable intervention strategy. This requirement will obviously influence the choice of countries in which the prime contractor is likely to be directly and extensively involved under direct TA/RD project funding.

In all cases, of course, AID mission personnel will participate in decisions on the content of project-funded activities to take place in their countries; as regional bureau personnel will be in overall decisions of project operations.

### 3. Project Outputs

There are four outputs listed here and elaborated on below:

(a) Research/consulting relationship established between Cornell University and AID field missions;

(b) Identification, evaluation, and development of consultant resources outside the contracting university listing individuals or centers which are interested in

and available for AID assignments;

(c) At least four state-of-the-art papers on key problems of participatory development.

(d) Information dissemination activities directed toward LDC, AID and other donor practitioners and members of the consultant network, consisting of workshops, seminars, newsletters, and informal communications.

These four outputs can be described more fully as follows:

(a) Consulting services:

Consulting services will be broken down into two types.

(i) Direct services by the staff of the cooperating university to specific missions in support of general strategy development and the selection, design, implementation, and evaluation of specific projects.

(ii) The development by the university contractor of a consulting network or roster from which missions can have access to qualified professionals on mission or regional bureau funding to support project activities with participatory components. This consultant network activity will be specified as a separate budget item with an established number of man months devoted to it and will be continued throughout the life of the project (although see below, Part IV, for an alternative means of organizing this activity).

The direct consulting services of Cornell University

will be available for project conceptualization, development, impact and evaluation research. This type of involvement will largely be concentrated in those countries in which Cornell is directly involved in applied research or in case studies to support state-of-the-art work, estimated as at least four. It is anticipated therefore, that the bulk of these direct services will be concentrated in one or two countries in each geographical region (Asia, Near East, Africa, Latin America). Some limited resources will be available for consulting with AID/Washington project and program reviews and for work in other countries with problems similar to those on which the contractor will be focusing; but these should be kept to a minimum and agreed upon on an ad hoc basis so as not to divert attention from those countries of major involvement. The consulting network is a more appropriate source for consultants for these additional demands. As it is almost impossible to distinguish the applied research from the consulting activities, these will be listed as a single budget item and specified in terms of a specific number of man months which will be made available by the prime contractor.

The selection of countries for direct Cornell involvement will be done through consultation of Cornell's Rural Development Committee, Inter-bureau Project Committee. The attempt will be to have some activity in each of the four major regions, (Asia, Near East, Africa, Latin America), although that will depend on the interests of each regional

bureau and its willingness to assist in developing an integrated set of applied research projects, project consulting, and information dissemination activities, so that the cooperating university will be able to plan its staffing and work to accommodate these needs. The selection of countries and projects for university involvement will be on the basis of expressions of missions' interest, contractors capabilities, and interests, the overall significance of the projects in question as rural development experiments, the scope for advances in participatory development offered by the project, and the priorities set by the RD Steering Committee. The specific allocation of resources will be worked out between the Inter-bureau Committee and Cornell on an annual or bi-annual basis and approved by the RD Steering Committee. The work will be organized as an integrated set of consulting, research, and informational activities centering around a project or set of projects in specific countries.

Cornell University will also assist the development of a consulting and resource network relating to participatory development activities. One of the first outputs will be the generation of an evaluated roster of potential consultants both in the United States and overseas who are specialists in various aspects of participatory development analysis and practice. It is expected that these individuals will be linked to the information dissemination activities of the University. Cornell University will also establish linkages with

with other institutions working on participation problems so as to provide AID with information regarding research, training facilities and programs, and potential consultants at these institutions.

(b) Applied Research:

Applied research has generally been linked with consulting in this discussion because it is intended that the research activities of the cooperating university have direct ties with the broader development program being undertaken in the country, for purposes of both learning from and contributing to the broader program. The university's efforts should be directed toward project development either at the level of identification of basic problems and relationships in the rural areas or in direct support of the analysis of intervention strategies. The former may involve the investigation of basic social and economic conditions which influence participation patterns in the development process, the analysis of social cleavage patterns and conflict patterns which may influence a community's response to development opportunities, the analysis of local leadership roles and the performance of local economic and political institutions, etc. All of this research would be oriented toward establishing the characteristics of the basic social environment in which the projects operate and will contribute to the design of intervention strategies which encourage broad participation in development.

A good deal of applied research may be directly tied to specific projects or sets of projects. This may include evaluation of the effectiveness of alternative intervention strategies, analysis of the effectiveness of various mechanisms for involving the poor in decision making and implementation in development projects, the institutional problems of targeting specific benefits to the poor, strategies for encouraging community or collective action at the local level, mechanisms for monitoring and compensating for the social side-effects of sector-wide policies and the strains of growth. This research would be oriented toward improving institution building, social soundness, and broad participatory components of specific development projects in which AID missions may be involved.

The types of rural development programs in which AID is commonly involved are sector-wide interventions such as fertilizer input programs or agricultural research, rural infrastructure development (roads, water, etc), agriculture programs (farm practices, marketing, etc.), and human resources development (health, education). In all of these areas critical participatory components appear.

(a) The inability of rural communities to influence the allocation of resources or the direction of policy, or even the quality of implementation.

(b) Inability on the part of the government to reach many of the key target groups for lack of effective linkages, adequate policy instruments, knowledge of the local conditions,

and resources.

(c) The difficulty of organizing group or community action in support of development activities (either for decisions making, resource mobilization, or implementation/management). This may be due to the decay of traditional cooperative institutions, high conflict level in the villages, the lack of participatory structures of suitable scale or functional capabilities, or problems in government/client relationships.

(d) Social or economic structures which inhibit access of certain groups to opportunities. This would include not only questions of lack of assets and education but also communal and ethnic discrimination, or the exclusion of certain role categories (e.g., women from family size decision making, or children from nourishment).

(e) The difficulty of finding suitable local institutional structures for controlling access to productive resources and for providing adequate collective management for those resources with large externalities (e.g., land, water). There are a whole range of problems which combine the need for adequate private incentives with a strong public interest in the management of resources which may be very scarce, ecologically vulnerable, or with strong potential biases in terms of income distribution.

In each of these areas successful development requires careful consideration of the participatory aspects of the process: local institutions, community action, distribution of costs

and benefits. Unlike agricultural sector policies, these participatory aspects cannot in most cases be articulated in a general model or formula but require careful analysis of the local environment so that the project can be suited to local capabilities, aspirations, requirements, and diversity. To this must be added careful analysis as to the best way to organize projects so as to encourage local participation (especially of the poor) on the one hand and to improve the probability of success of the project by suitably structured participation on the other. This requires a fine tuned strategy which includes use of local traditions, government interventions, and the targeting of benefits and costs. It is to improve the quality of this type of input into AID projects that this applied research and consulting portion of this project is directed.

Cornell can provide the methodological and analytical skills to interpret local conditions and help transform that knowledge into workable intervention strategies. In projects in which it is directly involved, the prime contractor's staff would ordinarily be directly involved throughout the life of the project, working in cooperation with host country staff. It is expected that Cornell will be actively involved in about four countries.

Performance of this output will be verified by TA/RD and the completed research reports will be evidence of completion. Work will be evaluated by the missions in question.

Inter-bureau Committee, and we assume that much of the work will be evaluated by normal professional review procedures as it is published or presented in panels etc. It would seem advisable to include evaluation of the work of the cooperating university as part of the project evaluation of the projects in which they are directly involved and to which their work contributes.

(c) Information Dissemination

Cornell University will be responsible for the development of a set of information dissemination and exchange activities which will involve AID staff, U.S. professionals, host country officials, and LDC professionals. The purpose of such activities will be threefold.

(i) To keep mission staff and LDC professionals current with ongoing research and with related experience with participatory development strategies elsewhere. This may be done through newsletters, circulation of published materials, etc. But it is expected that seminars, workshops, or even short training courses will be organized on a country or regional basis to facilitate exposure and interaction.

(ii) Comparable activities will also be undertaken in the U.S. to encourage interest in and awareness of the research problems of LDCs within the American community and to help direct existing research into applied and policy related fields.

(iii) Of particular importance will be the use of this information dissemination activities, particularly the more active elements such as seminars, in creating an effective consulting network that is in reality an interaction network of professionals involved in related activities and not simply a roster of potential consultants.

The variety of different outputs under the information dissemination activity and the "public goods" character of the output which virtually precludes keeping track of users and the uses to which the information is put means that the verification of performance will have to be largely quantitative in nature. Any qualitative evaluation will have to be largely informal, ad hoc, and somewhat self-selective as mission or individuals choose to communicate their evaluation of specific activities.

d) State-of-the-Art Work

There is a close interaction between state-of-the-art analysis and applied research. State-of-the-art work represents the generalizable pay-off from past and current applied research and evaluation studies. It represents the synthesis, for all practitioners, of work done in specific locations in connection with specific projects. This includes information about workable participatory strategies, the conceptualization and identification of types of problems, the movement toward some low and middle-range theory of casual relationships among key variables, and will pinpoint areas which require further exploration. The focus here will be on the organization and articulation of these findings in a manner useful to practitioners and policy planners. These efforts will also assist missions and LDCs to conduct their own R&D efforts in participatory development strategies through the preparation of problem-specific applied research designs and protocols. State-of-the-art work is, therefore, problem specific not mission specific as is consulting.

The applied research will in most, though not all, cases be country and project specific. The applied research will in most cases be a direct service to field missions in analyzing and evaluating their projects. Nevertheless, as the resources available with the prime contractor will not be sufficient to meet all mission demands the specification

of projects for applied research assistance under TA/RD funding will depend on such questions as the ability of the project to provide generalizable contributions to the state of knowledge. This may be either because the project is representative and interesting for its replicability, because it represents a unique set of difficult problems, or because it permits the exploration of some gap in our knowledge. Thus most applied research will combine direct project services with the development of the state-of-the-art.

The priorities in state-of-the-art work will be on the following aspects of encouraging and structuring participation in the development process. These are all problems for which localized research and localized solutions are essential, but they are also areas where a clear understanding of the nature of the problem is essential and where practitioners will benefit from the exposure to the variety of attempts to handle these common problems. They are areas, therefore, which are highly suitable for state-of-the-art work.

1. Participatory problems involved in dramatic changes in the social structure of rural areas -- e.g. migration, resettlement, land reforms, intense population explosion, etc. In all of these instances, the relationship between a community and its environments is disrupted

and traditional institutions are put under enormous strain. In such instances development projects must give special attention to devices for restoring a capacity for community action and governance and for encouraging new forms of association among villagers.

2. Participatory problems of peripheral or marginal populations. In multi-ethnic communities the tensions of development are particularly difficult and disruptive. Here the problems of distributing costs and benefits, soliciting cooperation, providing incentives for development, and gaining consensus on development goals are particularly difficult. If development projects are not carefully designed, costly and unanticipated social/political side-effects often appear.

3. Resource management is an important area of rural development which invariably requires local participation in allocation of investment, managing access to benefits, and maintenance if projects are to be successful. Project designers need better information on the range of participatory structures which may be functional. More important, project designers need methodologies for determining when and how it is possible to build on existing structures in the villages and where institutional innovation and differentiation will be required. There is obviously not a universal model for participation in the area of public

works, but the universality of the institutional problem suggests the importance of guidelines for analysis. In particular, work is needed on devices for integrating the technical infrastructure building activities with the necessary fiscal and administrative changes to assure local maintenance capacity on the one hand and with extension/community development work to assure effective institution building on the other.

4. The problems of targeting benefits to specific social groups or of altering specific role sets within the community is an increasing problem in development efforts. There is a strong tendency to revert to sector-wide interventions which count on growth and "trickle down" to resolve equity problems. Part of the reason for this is the lack of any real understanding of how to improve the performance of local structures, how to utilize the capabilities of local institutions, or how to structure programs and the government/village interaction to facilitate such targeting.

5. Extension/education activities are certain to be a key part of projects designed to implement the "new directions" in AID's mandate. As these activities also in many cases involve alterations in behavior patterns, values and attitudes, eliciting participation and cooperation

becomes an unusually difficult process and maintaining the initiative over time an even more difficult problem. Here again the integration of government services, extension work, incentives, with an understanding of local social patterns is essential. State of the art work can provide an analytical framework for approaching the problem, exposure to the variety of problems and attempted solutions, and a methodology for analyzing the situation and responding to it.

6. It is fairly common that certain classes of individuals in rural areas in LDCs are systematically excluded from access to the benefits of growth because of the social roles they hold, social cleavage patterns, or their almost total lack of assets and power. The inhibitions on full participation of women in the development process are a prime example of the first category. The inhibitions may range from social customs that restrict them to a limited range of household activities but deny them much input into key family decisions such as family size to problems of small scale and lack of access to credit in areas where women play a significant role in trading and agricultural operations. The nutritional problems of small children occasioned by family consumption patterns also fall into this category. The second and third set of problems can be illustrated by the problems of minority communities and of the landless farm laborers. In each of these cases the expansion of

economic activity in the region, economic growth, frequently is not a sufficient condition for improving the welfare of these classes/groups because their access is inhibited by custom, social obligations and relationships, etc. In these cases careful analysis of the social situation and carefully targeted and executed programs may be required to remove the social constraints.

7. Decentralization and the structure of local governance structures continue to be critical issues in LDCs. Even small countries perceive the utility of decentralized government for purposes of stimulating local involvement and for adjusting policy to regional diversity. Nevertheless, many of the experiments to date have not been a great success. Work needs to be done in such problems as the ability of local elites to dominate local government, problems of local finance and administrative capabilities, mechanisms for functional division of authority among levels of government and the relationship of local authorities to functionally specialized agencies such as water commissions or development authorities, and patterns of recruitment and control. There is a large body of literature on this subject most of which tends to be ignored in designing projects rather than using the lessons learned so that projects could be developed in such a way as to strengthen local governance capacities. The Cornell local government studies were a

start but we have no comparable study for Near East, Africa, or Latin America. Nor has any attempt yet been made to apply the findings to the design of development strategies and projects. It is necessary to explore the range of functional alternatives and implications for AID programs.

In connection with reviews of projects in which the prime contractor is directly involved and in connection with state-of-the-art work, Cornell University may well wish to be involved in program review and policy development with the regional bureaus when requested to do so. It seems appropriate, however, that the resources of the university should be concentrated on field research and consulting. It seems desirable that the prime contractor's services to AID/Washington be restricted to the more general services (network, information, state-of-the-art) and to a limited number of important policy/program reviews.

#### 4. Project Inputs

Project inputs are primarily in the form of personnel and related support services. Cornell University will be expected to put together a core consulting/research team which is interdisciplinary in character and is capable of encompassing a reasonable range of the substantive concerns of this project. This core group will be available for

applied research/consulting work in a limited number of countries (probably six or less) but will guide information dissemination and consulting network development to cover a full range of projects and countries.

Consultant services will be financed under this project when they fall within the scope of the participation problem area and when they relate directly to the core of priority research/consulting activities worked out between the cooperating university and the Inter-bureau Committee. To meet consultant needs indirectly related to these types of activities or beyond the resources available to the prime contractor, self-financed regional bureau mechanisms will be used. Sources of expertise will be members of the consultant networks developed under the project and therefore will benefit from involvement in information dissemination and other coordination activities under the project.

In attempting to improve the flow of professional talent in support of this project, it is anticipated that certain interventions in the university environment of the prime contractor will be desirable.

a) In a general sense it will be the intention of the project to encourage the transfer of professional talent to policy oriented and applied research which has more direct pay-off for mission activities.

b) It will also be desirable to enlarge the scope of recruitment for such work beyond those normally involved in AID consulting activities. For example, many well trained area specialists are now scattered in different institutions which provide little support for overseas or applied research. Furthermore, many with high levels of applied research skills will now be tempted by alternative opportunities for comparable work in the U. S. itself. It is expected that the cooperating university will serve as a catalyst in marshalling these resources.

c) Two major problems in accessing university professionals in the past have been the timing of the academic year, and the lack of flexibility in university staffing patterns. The project suggests some arrangements which will facilitate overcoming these problems.

i) Core researchers' time will be procured in advance, freeing them from academic duties.

ii) This core will then be supplemented through the recruitment of a group of research associates, the need for whom will be determined on an annual or two year basis according to the specification of the state-of-the-art and applied research load.

iii) Provision will be made for support of the involvement of graduate students in the work of the project in order to encourage the training of policy oriented professionals working on LDC problems.

iv) In conducting its applied research, consulting, and information dissemination activities, the Rural Development Committee at Cornell will be encouraged to draw in individuals beyond its own institution wherever possible, including LDC individuals and institutions.

Considerable AID/W professional input will be required under this project especially as a functional part of the core consulting/research working groups. This involvement on the part of AID is crucial to assure that these groups integrate consulting and research activities so that the outcome is most relevant and useful for USAID missions. It is essential that approximately 40 percent of the time of the project manager be devoted to representing AID on the Inter-bureau Committee for monitoring contractor activities (both from AID/W and through field travel), and to manage the cooperative agreement under which the activities will be implemented. Additional inputs from members of the Rural Development Steering Committee/Inter-bureau Committee in the form of information and guidance will be required as specified below.

It is assumed that the professional talents (AID and non-AID) required by this project are available, willing and sufficiently qualified to carry out the proposed activities. This presumes satisfactory arrangements can be consummated with Cornell through the Expanded Program. (see Part IV below.)

PART III PROJECT ANALYSES

A. TECHNICAL ANALYSIS, INCLUDING ENVIRONMENTAL ASSESSMENT

The project has as its primary purpose assistance to Missions in more clearly defining critical rural development problems facing them and in devising appropriate program responses. The technical nature of recommended responses will vary according to in-country circumstances. Since project activity will occur in several countries in response to demand from Missions it is not possible at this time to specify what would be a technically correct response. The instruments of project activity will be expected to be sensitive both to differing country situations and to common properties which may provide general solutions for application elsewhere. Emphasis will be placed on appropriate, effective wide distribution techniques which best use existing factor endowments.

Implementing agencies will use the most appropriate analysis techniques available to their disciplines (primarily the social sciences) to understand the rural development problems facing Missions and LDCs. In their advisory and in-country research work they will utilize techniques most suitable for replication under the conditions found in cooperating countries.

B. BUDGET

OUTPUT BUDGET

	I	II	III	IV	Total
<u>Research and Consulting</u>	\$154,076	154,076	161,856	159,910	<u>629,918</u>
Staff Core	\$144,076	144,076	151,856	149,910	
Travel	10,000	10,000	10,000	10,000	
<u>Networking and Infor- mation System</u>	\$ 32,112	32,112	32,112	32,112	<u>128,448</u>
Graduate Assistant (2 months)	2,280	2,280	2,280	2,280	
Research Associate (2 months)	5,832	5,832	5,832	5,832	
Seminars and Conferences	24,000	24,000	24,000	24,000	
<u>State-of-the-art</u>	\$ 77,041	77,041	80,928	79,957	<u>314,967</u>
Staff Core	72,041	72,041	75,928	74,957	
Travel	5,000	5,000	5,000	5,000	

	I	II	III	IV	TOTAL
General Project	\$ 87,451	87,451	85,451	85,451	\$ 341,804
Director	36,460	36,460	36,460	36,460	
Secretarial	30,991	30,991	30,991	30,991	
Production	6,000	6,000	6,000	6,000	
Supplies	10,000	10,000	10,000	10,000	
Travel	4,000	4,000	2,000	2,000	
TOTAL	\$ 350,680	350,680	360,347	357,430	\$1,419,137
Plus Inflation 6%		<u>21,040</u> 371,620	<u>43,241</u> 403,588	<u>64,337</u> 421,767	\$1,547,655
Two Year Total		\$722,300		\$825,355	

INPUT BUDGET

	I	II	III	IV	TOTAL
Core Staff (12 MM) \$ 30,000		(12 MM)	(12 MM)	(12MM)	
Senior Faculty \$2,500/month	24,690				
823	\$ 54,690	54,690	54,690	54,690	\$ 218,750
Research Associate (30 MM) \$ 48,000		(30 MM)	(34MM) 54,400	(33MM) 52,800	
\$1,600/month	39,504		44,771	43,454	
823	\$ 87,504	87,504	99,171	96,254	370,433
Research Assistant (72 MM) \$ 45,000		(72 MM)	(72 MM)	(72 MM)	
\$625/month	37,035				
823	\$ 82,035	82,035	82,035	82,035	328,140
<b>TOTAL</b>	<b>\$ 224,229</b>	<b>224,229</b>	<b>235,896</b>	<b>232,979</b>	<b>\$ 917,333</b>

	I	II	III	IV	TOTAL
Project Director 823 (12 MM) \$	20,000 <u>16,460</u> 36,460				
		<u>36,460</u>	<u>36,460</u>	<u>36,460</u>	<u>145,840</u>
Secretarial and Other Services 823	17,000 <u>13,991</u> 30,991				
		<u>30,991</u>	<u>30,991</u>	<u>30,991</u>	<u>123,964</u>
Conference and Seminar Costs for Infor- mation System	24,000	24,000	24,000	24,000	96,000
Travel	19,000	19,000	17,000	17,000	72,000
Office Etc. Production Supplies, etc. Total	6,000 <u>10,000</u> 16,000	6,000 <u>10,000</u> 16,000	6,000 <u>10,000</u> 16,000	6,000 <u>10,000</u> 16,000	64,000
TOTAL	\$ 350,680	350,680	360,347	357,430	\$ 1,419,137
Inflation 6% Total		<u>21,040</u> 371,620	<u>43,241</u> 403,588	<u>64,337</u> 421,767	1,547,655
Two Year Total		\$722,320		\$825,355	

C. SOCIAL ANALYSIS

The primary emphasis of this project on assisting AID Missions and regional bureaus to design more effective operational programs arises from TA/RD's perception that the rural development activities of AID Missions are at the cutting edge of rural development practice. The TA/RD strategy is to work with Missions and regional bureaus to develop the types of projects that will contribute an understanding of how to do rural development, recognizing that most projects in this area are still at the experimental stage. By drawing upon experiences and approaches from a broad range of countries, TA/RD will be able to assist AID Missions to work more effectively with local institutions to design, implement, and evaluate rural off-farm employment projects. TA/RD feels this approach will permit the resources it can mobilize to have a stronger impact on the rural poor than could be achieved if TA/RD contractors focused their attention more directly on local institutions.

This does not mean that resources mobilized through this project will not work closely with local institutions at all stages of rural off-farm employment planning and projects. However, in line with TA/RD's view that it is the task of AID as a whole and not just TA/RD to do rural development, this project will primarily focus on making resources available to Missions and regional bureaus so they can more effectively

perform their proper function of promoting and developing better rural development projects in their various regions and countries.

Impact of Project

By working with AID Missions and LDC institutions to design and implement more effective off-farm employment policies and project, this project will have an important impact on the quality of life of the rural poor. Through this project, Mission and LDC planners will become more aware of the importance of off-farm activities to low income rural producers and approaches to increasing off-farm employment and income opportunities in rural areas. This TA/RD activity should help to stimulate the identification and development of off-farm projects directed at the rural poor. The in-depth research and special studies to be carried out will identify constraints on the development of rural off-farm employment and income opportunities and suggest programatically feasible alternatives for overcoming these constraints. To the extent that projects of this sort can be successfully implemented, low income rural producers will benefit from the increase in employment and income opportunities that are generated.

This project will pay particular attention to ways of increasing rural off-farm employment and income opportunities for women. The available data suggest that in many countries and regions women participate extensively in rural non-farm

activities and particularly cottage industries. Since the focus of this project will be on very small-scale rural enterprises, the role of women will be an important aspect that will be addressed in the various components of this project. In addition, the project will seek to identify women and minority consultants who will participate in project activities as members of the research and consulting networks which this project will develop and utilize.

#### PART IV IMPLEMENTATION ARRANGEMENTS

##### A. Analysis of Recipient's and AID's Administrative Arrangements

##### 1. Cooperating University

The Rural Development Committee of the Center for International Studies of Cornell University has demonstrated in the past a unique capacity for organizing and sustaining interdisciplinary cooperation in scholarly activities. Rural Development Committee activities have involved scholars and students from the social science departments, the technical departments of the College of Agriculture, and individuals from such specialized programs as industrial and labor relations, education and communication, nutrition and population, regional planning, etc. The Rural Development Committee's experience includes interdisciplinary research, inter-college cooperation in course development, and interdisciplinary study groups and conferences, Cornell clearly has, therefore, the administrative capacity for undertaking this interdisciplinary work in participation. The project will be able to draw on the staff of the Center for International Studies and will have the services of Dr. Norman Uphoff, who has chaired the Rural Development Committee for the past six years.

Cornell University is also well suited for assistance in this area. The University has long been a leader in foreign area studies and has a wealth of library materials

and language programs to support the applied research effort. The Rural Development Committee regularly attracts participation from graduate students who are well trained in the culture and language of their country specializations and oriented toward the applied research which the Center attempts to further. The interaction which the Rural Development Committee has been able to foment between the area studies specialists and the internationally oriented specialists in the College of Agriculture has been particularly fruitful.

Through its network of former students, its leading role in the study of participation issues (e.g., the Local Government Study for AID), and its contacts with LDC institutions, the University brings enormous resources to bear in marshalling research and consulting talent and in developing an information network.

Once Cornell has been accepted into the Expanded Program, and a Basic Memoranda of Agreement is signed, a subsequent Cooperative Agreement for rural development participation offers a contracting mechanism which permits TA/RD to make flexible and creative use of these resources. Most important, it permits Cornell to work with AID, host governments, and LDC institutions in defining the nature of rural development problems and in designing experimental responses to those problems. The expanded program mechanism is unusually well

suited for this type of institution building/experimental activity and for facilitating exchanges between university specialists and development practitioners in the field.

## 2. AID

The project will require about 40% of the time of the TA/RD project manager. It is anticipated that the contribution of the project manager will be in three areas.

- a) Normal project management and monitoring activities.
- b) Extensive liaison with regional bureaus and field missions to assure optimal use of the University's resources and to help set priorities for the University's state-of-the-art and research work.
- c) Professional input into the substantive activity of the contractor and professional review of output.

The successful completion of the project will also require periodic inputs from the regional bureaus to assist in identifying countries and projects suitable for Cornell's involvement, to set priorities for research, consulting, and state-of-the-art work, and to assist in evaluating the outputs. This input will be provided by a specific Inter-bureau Committee which will be established for the project and the RD Steering Committee.

Through these two mechanisms we hope to assure the relevance and quick applicability of Cornell's input. This

will be encouraged through a continual focus on the application of Cornell's work to ongoing projects on the one hand and the continuing involvement of the regional bureau representative in setting priorities on the other.

B. Implementation

The implementing mechanism for this project will be a Basic Memorandum of Agreement and supplemental Cooperative Agreements with Cornell University. This mechanism was initially devised for the Expanded Program of Economic Analysis for Agricultural and Rural Sector Planning, an ongoing project managed by TA/AGR. Cornell University has been selected for participation in the program and a Memorandum of Agreement will be negotiated during the summer.

Funds for the four basic project outputs -- consulting network/roster, information dissemination, state-of-the-art work and related special case studies, and applied research and consulting -- will be obligated in the first year for two years in the amount of \$722,200. A second tranche of \$825,355 would be obligated for the final two years of the project.

The basic arrangements for the core of activities which are of a recurring nature -- networking and periodic aspects of the information dissemination system -- will be worked

out between TA/RD and Cornell University during the first three months of the contract. The remainder of the activities -- applied research and consulting, state-of-the-art work, and special information activities (e.g., regional seminars) will be specified annually through consultations among Cornell, TA/RD, the Inter-bureau Project Committee and concerned missions. The overall plan will then be approved by the RD Steering Committee.

Responsibilities for project management, direction, and coordination will be shared by TA/RD with members of the Rural Development Steering Committee (RDSC) and members of an Inter-bureau Committee for Participation. The RDSC is composed of the senior rural development officer from each of the regional bureaus. The Inter-bureau Committee would be made up of representatives of the regional bureaus (Steering Committee members or other staff members), PPC, interested TAB offices and other interested AID personnel.

The Steering Committee as presently constituted would remain the crucial voice of the Regional bureaus in the development and implementation of TA/RD's overall program. The RDSC would function on the following range of activities:

1. discussion and review of the overall TA/RD program (budget, staffing, and the like);
2. the overall allocation of resources of TA/RD projects, including this one, among regional bureaus;

3. new project proposals; and
4. significant differences of opinion arising from interbureau project committees for different TA/RD projects.

The Inter-bureau Committee would have the following responsibilities:

1. dealing with detailed project development concerns;
2. advising on major decisions in project implementation, including design of applied research projects, allocation of project resources between bureaus and the like; and
3. acting as a point of contact in each bureau for information relating to the project.

In addition, the cooperating university, TA/RD and the Inter-bureau Committee will jointly develop an annual implementation plan which will be reviewed and approved by the Steering Committee.

The functions of these two committees in project implementation are further delineated in the sections which follow.

The sequential approach to elaboration of specific applied research activities which is outlined in this PP encourages collaborative participation in problem definition by the prime university cooperator, which is one of the primary objectives of the Expanded Program, and tends to elicit greater efforts than straight procurement approaches to our university relations. The Expanded Program also

allows involvement in the same problem area by other universities participating in the program -- i.e., as long as the Basic Memorandum of Agreement with that pre-selected university projects potential involvement in a particular problem, a subsequent cooperative agreement can specify the involvement. This is potentially reinforcing of the strong networking activity expected in this project.

#### C. Implementation Plan

The work of the prime contractor under the cooperative agreement will consist of two portions.

a) A core of activities which will continue throughout the duration of the project and will be defined in the initial agreements. This will include the networking and periodical aspects of the information dissemination system. A basic core of man months time per year will be allocated to these activities.

b) A second set of activities which will be specified as the project progresses. This will include state-of-the-art work, applied research and consulting, and aspects of the information activity which may be tied to specific regional or project activities. Funds for these activities will be obligated and man months time allocated to these activities but the specification of the activities will occur on an annual basis. This is necessary

because later work frequently depends on the results of earlier work and the project needs of the missions alter over time. This arrangement will permit university to free appropriate staff or recruit research associates in response to need while at the same time being assured of a certain level of overall funding for these activities.

Generally speaking attempts will be made to package information activity and applied research and consulting under this heading so as to focus the resources of the university onto the needs of specific countries, projects, and substantive problems rather than dissipating those energies in disparate activities. It is for this reason that the annual specifications of the work plan by the Inter-bureau Committee is critical to the success of this undertaking and it is for this purpose that the distinction between core activity and focused activity is maintained.

State-of-the-art papers will be directed toward general problems facing AID missions and development practitioners rather than at specific countries, but it may well be that case studies in connection with such analysis may be linked to the country specific research. The need for sequencing, timeliness, and relevance also suggest that this activity should be part of the focused activity rather than of the core.

The activities outlined in this document are initially planned to cover a 4-year period. During the first three months of the first year the details of the core activities will be worked out.

Also during the first three months arrangements will be worked out with at least two specific missions for Cornell's involvement in ongoing consulting and applied research related to mission projects with an important participatory component. A proposal will also be developed for the first of at least four major state-of-the-art papers dealing with salient aspects of the problems of participatory development. At the end of this three month period, the package of consulting, applied research, and state-of-the-art papers will be approved by the Inter-bureau Committee. Within the first six months of the first year we would evolve a schedule for a set of information dissemination/networking activities of a specialized nature (e.g., regional or substantive conferences/workshops).

By the end of the first year, therefore, we will have achieved the following outputs.

- a) Applied research consulting arrangements will be worked out in at least two countries.
- b) Consulting network and roster (subject to caveat stated above) will be organized and in operation
- c) Plans will be under way for specialized information dissemination activities.

d) Periodical elements of the information dissemination system will be functioning.

e) First state-of-the-art paper should be under way and probably in draft form.

During the remaining three years the University will undertake the following additional activities:

a) At least an additional three state-of-the-art papers.

b) Research and consulting relationships with at least two additional missions.

c) Continuation of the networking and information system activities.

d) Organize a series of specialized seminars/workshops/conferences either on regional basis or on specialized topics as seems appropriate.

The details of the proposed phasing of these activities by month and year are summarized in the following table:

#### D. Evaluation Plan

Evaluation activities are planned for each of the principal components of the project. The following specific evaluations are planned during the life of the project.

1. Each state-of-the-art paper will be evaluated as it is received both in terms of professional standards and in terms of its utility to the Agency. This will be the responsibility of TA/RD professional staff with assistance from other offices in AID/W as required and with such outside input as required. The results will then be submitted to the Inter-bureau Committee for review.
2. 18 months: General evaluation of project outputs to date with emphasis on the effectiveness of the arrangements for the consulting roster, information system, and the interaction among contractor, regional bureaus and missions, and TA/RD.
3. 30 months: Interim evaluation -- especially of utility and use of information system and consulting system/roster.
4. 42 months: Interim evaluation especially directed toward the consulting and applied research results and the functioning of the Cornell/host country/mission relationships.
5. Final evaluation: Of all components of the project and will include final regional seminars conducted by Cornell to review substantively the results, findings, and experience gained during the project by all parties.

COUNTRY	PROJECT NO	PROJECT TITLE	DATE	ORIGIAL	APPROVED
Inter-regional		Participative and Rural Development	6/23/77	REVISION #	
PROJECT PURPOSE (FROM PRP FACESHEET)					
				<u>Initiated</u>	<u>Completed</u>
CPI DESCRIPTION					
<u>Year I (1977-1978)</u>					
1. Cooperative Agreement signed.			10/77		
2.(a)Recruitment of core staff at university.	10/77	6/78			
(b)Arrangements worked out for roster and information activities.					
(c)Specification of first state-of-the-art paper.					
(d)Negotiations for consulting/research involvement with two missions.					
(e)First year's program approved by Inter-bureau Committee.					
3.(a)Information/Network activities worked out for next 18 months.		6/78			
(b)Research commences in country #1.					
4.(a)Research commences in country #2.		10/78			
(b)Proposal for second state-of-the-art paper presented to TA/RD.					
<u>Year II (1978-1979)</u>					
5. First state-of-the-art paper completed.		12/78			
CPI DESCRIPTION					
<u>Year III (1979-1980)</u>					
6. Negotiations begin for two additional research/consulting relationships.					1/79
7.(a)Research begins in country #3.					6/79
(b)Evaluation of package of outputs to date.					10/79
8.(a)Research begins in country #4.					
(b)Proposal for state-of-art paper #3 presented to TA/RD.					
(c)Obligation of second tranche completed.					
<u>Year III (1979-1980)</u>					
9. Second state-of-art paper completed.					10/79
10. Interim evaluation (especially of network and information systems).					6/80
11. Proposal for fourth state-of-art paper presented to TA/RD for discussion.					10/80
12.(a)Third state-of-art paper completed.					12/80
(b)Remaining network/information activities worked out.					
13. Interim evaluation (especially of applied research and consulting activities).					6/80
14. Proposal for seminars and regional conferences to review research and state-of-art activities.					10/80
<u>Year IV (1980-1981)</u>					
15. Fourth state-of-art paper completed.					12/80
16. Regional conferences.				1/81	6/81
17. Final evaluation of activities and final reports on applied research/consulting activities.				6/81	10/81

#### F. Project Operations

Management responsibilities for operations under the project are vested in TA/RD. The responsibilities for monitoring and managing the activities in this problem area will be assigned to a member of the TA/RD professional staff who has both interest and expertise in this field. The project manager will not only coordinate and monitor the activities of the cooperating university but will also be involved in the substantive concerns of the project and will work in a collegial manner with the university cooperator to determine the scope and direction of issues papers and in-depth country specific applied research. However, the RD Steering Committee, advised where appropriate by the Inter-bureau Committee on off-farm employment, will participate fully in major decisions affecting project operations. Specifically, these decisions include, but are not limited to, the aggregate allocation of resources of the project among the geographic regions, the selection of LDCs where major applied research activities will be carried out; the evaluation of performance of universities, individual consultants, TA/RD staff (in the management of the project) and the missions (in the utilization of the project).

The scope of involvement of members of the Steering Committee will depend on their interests and needs in this critical problem area.

The managerial approach proposed for this project places upon the Steering Committee members and the regional bureaus a dual responsibility -- on the one hand, to identify and interpret the specific needs of missions within their region and seek through this project the maximum support in meeting those needs; and on the other hand, to participate in management with an agency perspective directed toward the objective of optimizing advance of the state-of-knowledge about and practice in this critical problem area.

Each of the functions under the project will require somewhat different managerial treatment.

1. State-of-the-art Papers

The development of the state-of-the-art papers and other problems and issues papers will be managed primarily by TA/RD. The general subject matter and coverage will be reviewed and approved by the RD Steering Committee. As noted above, a TA/RD professional staff member in the particular area will work with the Inter-bureau Project Committee and the university in developing each document.

2. Network Management

The development of networks and their utilization presents a somewhat more complex task than would appear on the surface, particularly when one element of the networking activity will be development of a roster of

qualified experts interested in consulting on AID projects. The sensitivity of the government collecting personal information and using it for employment decisions, the sensitivity of universities to evaluating the performance of academics and the requirements of the Privacy Act must be taken into account in designing, particularly, the roster of potential consultants.

Relying on the experience obtained with a small activity contract to develop a roster of potential anthropology consultants and based on exploration over the next several weeks, with the guidance of the General Counsel's Office, of various alternatives, we will design the least cost most effective rostering and networking system possible for this project and the others being developed by TA/RD with the same design. We cannot define the precise mechanism by which the networking procedure can be handled at this time, but it is clear that, at a minimum, the cooperating university must be deeply involved initially in defining needed areas of expertise for which individuals will be sought. The university will also clearly be responsible for the networking activity apart from the roster dimension. For these reasons, "network management" has been included as an output of the project and funds are budgeted for that purpose. Should the most efficient mechanism for accomplishing the roster function prove not to be the

cooperating university -- for either statutory or professional reasons -- the adjustment will be made either in the initial cooperative agreement or in an amendment to it.

### 3. Applied Research and Consulting

The most important concern of this project is to improve access of the missions to the best available consulting talent and to encourage more extensive use of applied research in program development and operations. Responsibility for assuring that the right people are made available to the mission for the right job at the right time is a responsibility which must be shared by missions, regional bureaus, and contracting universities, and TA/RD. TA/RD proposes to approach this implementation problem in the following fashion:

1. TA/RD will be responsible for developing materials to present and explain the program to the missions. Wherever desired, in AID/W or in regional conferences, a presentation of the program will be made by TA/RD staff. TA/RD staff will, also explain the program in the course of TDY travel on other matters wherever desired and appropriate.

2. With respect to operations in LDCs where a major university commitment will be made:

- a. Cornell University will propose countries of particular interest in light of their existing staff capabilities and knowledge about the country.

b. missions will be notified of such interest and will be asked for agreement in principle along with that of the regional bureau involved, the Inter-bureau Project Committee, and TA/RD.

c. country selection will be made as part of the process specification of the annual work plan of the contractor. Once agreement in principle is arrived at, a detailed scope of work will be developed in country between a representative of the university and the mission, subject to concurrence by the regional bureau and TA/RD.

3. With respect to activities in countries which are not countries of primary specialization by a university:

- a. the regional bureaus will identify applied research/consulting needs in their countries.
- b. the list of needs compiled by the regional bureaus will be compiled and evaluated by TA/RD; and either (i) needs will be met through the consulting roster or (ii) where needs are viewed as high priority negotiations with Cornell regarding the use of research associate slots may be possible.

4. As an operating principal, missions will be encouraged to enter their own self-financed agreements as a result of relationships started with universities rather than working through this TA/RD financed project. The role of TA/RD's project in this connection is to get initial work underway, make connections, facilitate transactions and not to control the development of relationships. TA/RD should be directly involved only insofar as funding under this project is required for the R&D effort and available for ancillary consulting services.

5. In those situations in which an AID/W bureau or a mission is using the vehicle of this project to secure services with its own funding, TA/RD should be kept informed. TA/RD in turn will notify the Interbureau Project Committee of this

activity periodically. The purpose is to assure that the general commitments for consulting by university, are in fact carried out and to assist in project evaluation.

ANNEX A

AID 1493-02 (1-72)

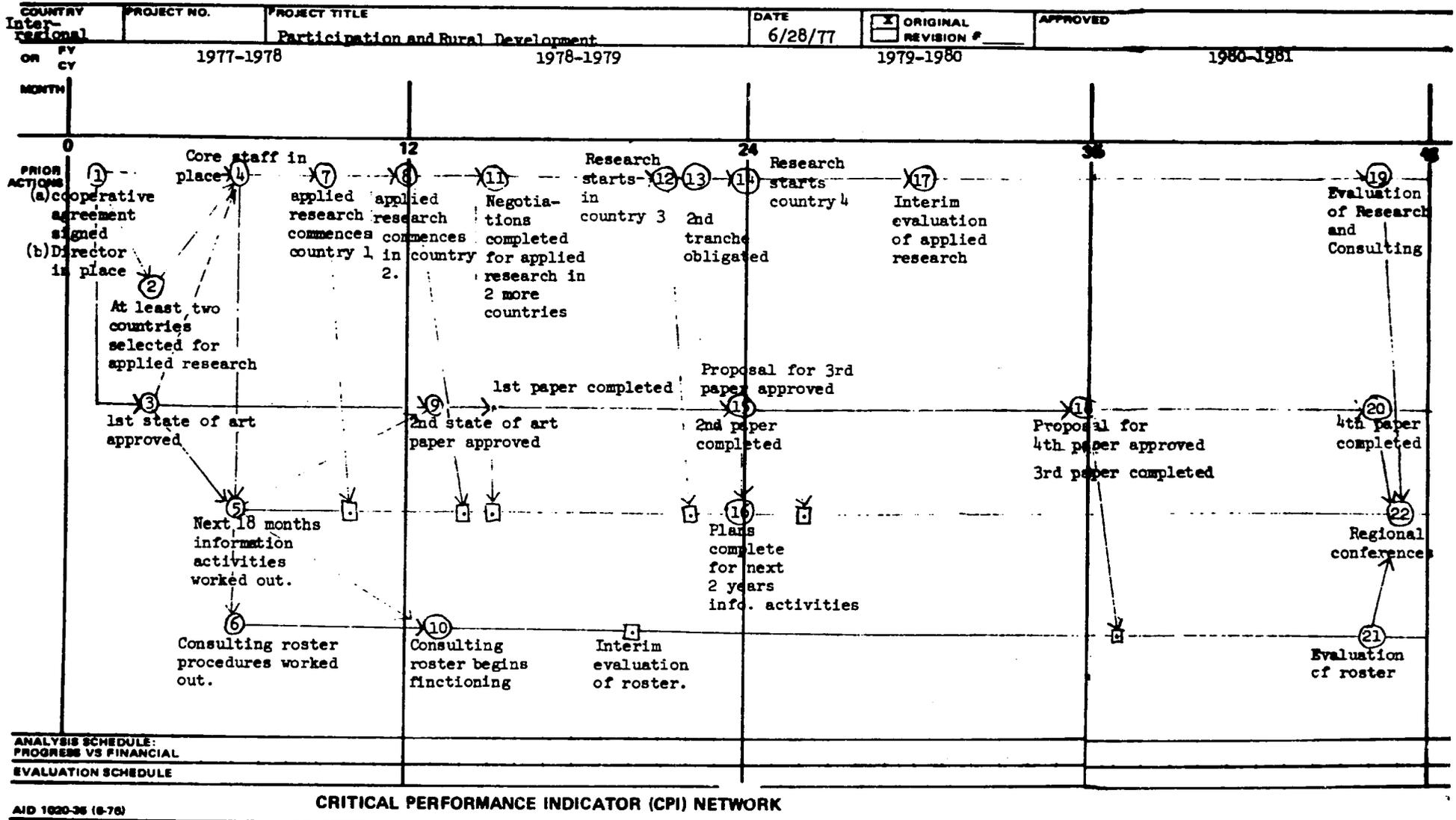
PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK

Life of Project: \_\_\_\_\_  
From FY \_\_\_\_\_ to FY \_\_\_\_\_  
Total U.S. Funding \_\_\_\_\_  
Date Prepared: \_\_\_\_\_

Project Title & Number: Participation and Rural Development

NARRATIVE SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	IMPORTANT ASSUMPTIONS
<p><b>Program or Sector Goal:</b> The broader objective to which this project contributes:</p> <p>To enhance the ability of AID missions and LDC institutions to design and implement programs that will enable them to operate more effectively toward increasing productivity, income and the quality of life of the rural poor.</p>	<p><b>Measures of Goal Achievement:</b></p> <ul style="list-style-type: none"> <li>Improved planning and implementation capabilities for greater participatory import.</li> <li>Stronger empirical base for project design and greater use of empirical analysis throughout project.</li> <li>Increasing institutionalization of participatory analysis and institutions in host country.</li> </ul>	<p>Analysis of PP's and Mission project evaluation for evidence of:</p> <ul style="list-style-type: none"> <li>(a) Integrated planning and implementation of social/technical/economic factors</li> <li>(b) Encouragement of self-help and community action</li> <li>(c) More equitable distribution of development costs and benefits</li> <li>(d) Evidence of institutional development.</li> </ul>	<p><b>Assumptions for achieving goal targets:</b></p> <ol style="list-style-type: none"> <li>1. Data gathering and analysis exercises initiated by Missions/LDCs and carried through to completion. Information generated by these data gathering and analysis exercises is used in decision making.</li> <li>2. Host country policies supportive of increased participation.</li> <li>3. Can expect a measurable impact in project areas with four years of project.</li> </ol>
<p><b>Project Purpose:</b></p> <p>To marshal and bring to bear practical experience and intellectual resources which missions and bureaus can draw upon for assistance in the design, implementation, and evaluation of projects and program with strong participatory components.</p>	<p>Conditions that will indicate purpose has been achieved: End of project status.</p> <ul style="list-style-type: none"> <li>Network of consultants established and mission access to multi-disciplinary guidance on participatory development has been facilitated and utility of this approach.</li> <li>Completion of project relates research studies and state-of-art papers which evaluate and test approaches to participation.</li> <li>System exists for information dissemination and increased demand for this material in project design.</li> </ul>	<ol style="list-style-type: none"> <li>1. Evaluation of mission projects in which (a) Cornell is involved, (b) Mission absorbs funding of further consulting, research.</li> <li>2. Professional review of research and state-of-the-art by external consultants and internal staff.</li> <li>3. Evaluation team to review effectiveness and utility of roster and information system.</li> </ol>	<p><b>Assumptions for achieving purpose:</b></p> <ol style="list-style-type: none"> <li>1. AID and LDC practitioners recognize need for more knowledge and information on RD and willing to use.</li> <li>2. U.S. and LDC professionals will be able to work collaboratively to integrate more fully their activities.</li> </ol>
<p><b>Outputs:</b></p> <ol style="list-style-type: none"> <li>1. Consulting and applied research on problems and (issues).</li> <li>2. State of knowledge papers and special studies.</li> <li>3. Dissemination of appropriate information.</li> <li>4. Consulting network.</li> </ol>	<p><b>Magnitude of Outputs:</b></p> <ul style="list-style-type: none"> <li>Core research and consulting agreements effected in at least 4 countries.</li> <li>At least 4 state of the art papers completed.</li> <li>Information and Rostering System operative.</li> </ul>	<ol style="list-style-type: none"> <li>1. (a) Direct monitoring and involvement by TA/RD. (b) Data, research design and results of study and analysis accepted by TA/RD, RDSC and IBC.</li> <li>2. Final case studies and state of art papers accepted by TA/RD, RDSC, and IBC.</li> <li>3. Demand and use of materials.</li> <li>4. Consultant roster being used by AID</li> </ol>	<p><b>Assumptions for achieving outputs:</b></p> <ul style="list-style-type: none"> <li>University has management capacity to integrate research and consulting.</li> <li>High quality consulting talent not now available to AID can be found and mobilized and that investment in increased professional involvement in this area can yield a substantial increase in state of the art.</li> </ul>
<p><b>Inputs:</b></p> <ul style="list-style-type: none"> <li>Contractual agreements with universities</li> <li>mission and host government financial and staff commitment which also simultaneously serves their own planning needs.</li> <li>guidance and decision making by Rural Development Steering Committee and Inter-bureau Committee</li> <li>a TA/RD staff member to assume management responsibility and substantive involvement in overall effort.</li> </ul>	<p><b>Implementation Target (Type and Quantity)</b></p> <p>Budget: \$1,547,655 over 4 years.</p>	<p>Regular AID reporting requirements.</p>	<p><b>Assumptions for providing inputs:</b></p> <ul style="list-style-type: none"> <li>Cooperative agreement with universities approved.</li> <li>Agreements can be reached with Missions and host governments to facilitate and cooperate in applied research and consulting activities.</li> </ul>

ANNEX B.



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

1. TRANSACTION CODE

A

A - ADD  
 C - CHANGE  
 D - DELETE

PAF

2. DOCUMENT CODE  
 5

3. COUNTRY/ENTITY  
 DS/RAD

4. DOCUMENT REVISION NUMBER

1

5. PROJECT NUMBER (7 digits)

1137

6. BUREAU/OFFICE

A. SYMBOL B. CODE  
 DSB  08

7. PROJECT TITLE (Maximum 40 characters)

Participation and Rural Development

8. PROJECT  
 APPROVAL  
 DECISION

ACTION TAKEN

A APPROVED  
 D - DISAPPROVED  
 DE - DEAUTHORIZED

9. EST. PERIOD OF IMPLEMENTATION

YRS.  0  4   
 QTRS.  0

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

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	PRIMARY TECH. CODE		E. 1ST FY <u>77</u>		H. 2ND FY <u>78</u>		K. 3RD FY <u>79</u>	
		C. GRANT	D. LOAN	F. GRANT	G. LOAN	I. GRANT	J. LOAN	L. GRANT	M. LOAN
(1) FN	249J	290		722		385			
(2)									
(3)									
(4)									
TOTALS				722		385			

A. APPROPRIATION	N. 4TH FY <u>80</u>		Q. 5TH FY <u>80/81</u>		LIFE OF PROJECT		11. PROJECT FUNDING AUTHORIZED (ENTER APPROPRIATE CODE(S)) 1 = LIFE OF PROJECT 2 = INCREMENTAL, LIFE OF PROJECT	A. GRANT	B. LOAN
	O. GRANT	P. LOAN	R. GRANT	S. LOAN	T. GRANT	U. LOAN			
(1) FN	890		225		2,222				
(2)									
(3)									
(4)									
TOTALS	890		225		2,222				

C. PROJECT FUNDING AUTHORIZED THRU  
 FY  8  1

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

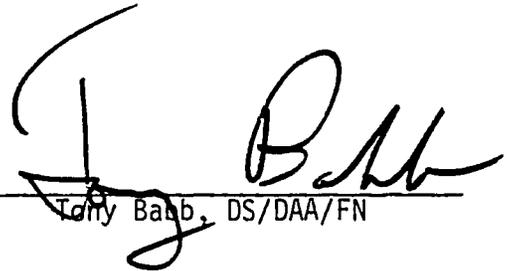
FOR PPC/PIAS USE ONLY	16. AUTHORIZING OFFICE SYMBOL	17. ACTION DATE			18. ACTION REFERENCE (Optional)	ACTION REFERENCE DATE		
		MM	DD	YY		MM	DD	YY

PROJECT AUTHORIZATION AND REQUEST FOR  
ALLOTMENT OF FUNDS  
PART II

ENTITY : Development Support Bureau  
PROJECT : Participation and Rural Development  
PROJECT NUMBER : 931-1137

Authorization is requested to increase the Rural Development and Participation project (931-1137) authorization by \$675,300 from \$1,547,000 to \$2,222,320.

Signature: \_\_\_\_\_

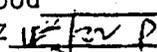
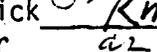


Tony Barb, DS/DAA/FN

Date: \_\_\_\_\_

6.12.80

Clearances:

DS/RAD:HHobgood		Date	_____
DS/RAD:PFritz	 PF	Date	6/9/80
DS/RAD:JGelb		Date	6/9/80
DS/PO:BChapnick	 Rm/ja	Date	6/10/80
DS/PO:ASilver	al	Date	6/10/80

Budget Analysis

## I. Alternative funding plans FY 81

A. No additional funding for FY 81. Summary of Implications. No activities will be carried out in FY 81. Existing in-depth commitments cannot be honored, all of them involving work in FY 81. The medium depth commitment in Tunisia will also have to be abrogated. Only the work in Jamaica that is currently scheduled to end in August can be completed. There will be no funds for any short term work in FY 81 and any further short term consulting in FY 80 will have to be suspended. Only two additional SOAPs can be completed, agricultural research and extension and paraprofessionals. Outreach work to test and apply the findings will not be possible. Work on all other papers will be suspended prior to completion of the products. A paper on women in development planned for FY 81 funding will not be undertaken.

B. \$500,000 in FY 1981. Summary of Implications. Additional funding of this magnitude would permit honoring of commitments for FY 81 to Yemen, Tunisia, Sri Lanka, and on a much reduced scale, Costa Rica. A short extension of the Botswana activity to permit completion of the project would also be possible. Skeletal administrative support could be included. The details

Project	<u>Budget FY 81</u>	Comments
Botswana	\$ 25,000	Only completion of existing work. Nothing on follow-on project.
Tunisia	32,686	Existing commitments minus provision for communications.
Costa Rica	63,805	Provision only for long term travel rural development and participation specialist <u>or</u> TDY assistance to mission on particular projects, not both.
Sri Lanka	66,000	As planned.
Yemen	56,799	Slightly reduced scale of effort subject to negotiation with mission.
Administration	<u>110,000</u>	
Sub-total	\$ 354,290	

In addition some knowledge generation and dissemination work could be sustained. The short term work and several other knowledge generation efforts plus the RDP review could not be funded at this level. No money for publications. The details

	<u>Budget FY 81</u>	
Local Lead.	\$ 25,000	
Local Orgs.	54,000	
Resource cons.	30,000	
Research Ass'ts.	20,000	
Networking	10,000	
Admin.	<u>6,710</u>	Increment to that funded under
Sub-total	\$145,710	"B" above of \$100,000
 Total	 <u>\$500,000</u>	

C. Additional amount above alternative "B" (above) needed to permit completion of work already under way and to fulfill requirements of the C.A.

Project	Budget FY 1981*	Comments
Women in Develop.	\$ 27,500	
Methods	7,000	
Publications	30,000	
RDP Review	26,500	
Research Assistants	10,000	Incremental funding above that pro
Administration	<u>10,000</u>	in earlier alternatives " " " "
	\$ 111,000	

\* In terms of requested tranche.

D. Further funding proposed for follow-on work. Items in this category are of two types: providing some central contribution to follow-on work requested by the mission and testing and explaining the findings and recommendations of the SOAPs and other studies.

Project	<u>Budget FY 81</u>	Comments
Botswana	\$ 38,175	Further work on resource conservation in context of ALDEP* and TGLP programs related also to proposed second RDPP CA on local management of natural resources. Follow-on work requested by mission.  *(Agrarian Land Dev. Program) *(Tribal Grazing Lands Program)
Jamaica	32,300	Follow on work requested by mission under IRD project. Mission wishes to keep Blustain and have him work with counterpart.
Paraprofessionals	17,500	application, testing, and explaining findings in field
Agric. Res. & Extension (Whyte)	17,500	application, testing, and explaining findings in field
Administration	13,525	incremental amount to cover above projects.
	<hr/>	
	\$119,000	
Alternatives B,C,D, total	\$725,000	

Budget Reconciliation

	A	B
	<u>Minimally Adequate Option</u>	<u>Optimal Option</u>
1. Approved Project Authorization	\$ 1,547,000	\$ 1,547,000
2. Proposed Amendment Increase	<u>450,320</u>	<u>675,320</u>
3. Revised Project Authorization	<u>1,997,320</u>	<u>2,222,320</u>
1. Current Obligations	\$ 1,497,320	\$ 1,497,320
2. Planned Budget FY 81	<u>500,000</u>	<u>725,000</u>
	<u>1,997,320</u>	<u>2,222,320</u>

June 6, 1980

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

**FROM:** DS/RAD, Harlan H. Hobgood

Problem: The current 4-year project authorization level for the Rural Development and Participation Project (931-1137), for which Cornell University is the cooperating institution, needs to be increased from \$1,547,000 to \$2,222,320 if the project is to fulfill existing commitments presently being undertaken that are required under the scope of work of the cooperative agreement.

Discussion: Under the current cooperative agreement, Cornell University is obliged to develop in-depth relationships with mission projects in all four regional areas, produce four state-of-the-art papers and other special studies, build a network of specialists with expertise pertinent to the subject of the project, and disseminate the findings of its investigations and applied research and consulting activities. All the activities in which the project is presently engaged have been undertaken with the approval of DS/RAD. After very careful analysis of the cooperating institution's budget requests for the remainder of FY 80 and for FY 81, DS/RAD has concluded that the current budget authorization level of \$1,547,000 is insufficient to permit completion of the required activities. I.e., current funds are only adequate to carry the project through the end of FY 1980, the third year of the agreement. The attached budget analysis (Annex B) presents two funding options: (a) minimally adequate, and (b) optimal. Funding either one of these levels will require an increase in the project authorization level.

DS/RAD prefers to fund the project at the optimal level or \$675,320 above current project authorization. This would fund all of those activities listed under sections B through D inclusive as shown on the attached budget analysis. DS/RAD proposes to obligate \$500,000 for these activities in FY 1980 and the balance in FY 1980 or FY 1981 subject to availabilities (note maximum total obligations of \$725,000 less current availability of money authorized but not obligated of \$49,680 equals the increased authorization level of \$675,320).

Currently \$1,497,320 has been obligated for the project of which \$390,000 has been obligated this fiscal year. All of these funds will be expended by the end of FY 1980. We are in the process of amending our OYB for the Participation project from \$390,000 to \$890,000 to reflect the minimally adequate funding option and so that the total additional \$500,000 can be obligated for the project in FY 1980 for activities to be carried out in FY 1981.

Recommendation: That you approve and authorize the immediate obligation of \$275,000 currently available in the DS/RAD FY 1980 OYB for the Rural Development and Participation Project and, in addition, that you approve an increase in the funding authorization level for the project to \$2,222,320. Please indicate your approval by signing the attached PAF.

Attachments

00. MAY 11 7 15 PM