

AGENCY FOR INTERNATIONAL DEVELOPMENT  
**PROJECT PAPER FACESHEET**  
 TO BE COMPLETED BY ORIGINATING OFFICE

1. TRANSACTION CODE ("X" appropriate box) **9311092-2**

Original  Change  
 Add  Delete

DOCUMENT CODE  
3

2. COUNTRY/ENTITY  
Interregional - GTS - RDA #18

3. DOCUMENT REVISION NUMBER  
**PD-AAF-606-B1**

4. PROJECT NUMBER  
**9311092**

5. BUREAU  
a. Symbol **TA/UD** b. Code **6**

6. ESTIMATED FY OF PROJECT COMPLETION  
FY **79**

7. PROJECT TITLE - SHORT (stay within brackets)  
 Urban and Regional Analysis

8. ESTIMATED FY OF AUTHORIZATION/OBLIGATION  
a. INITIAL **12/76** b. FINAL FY **79**

9. ESTIMATED TOTAL COST (\$000 or equivalent, \$1 = )

a. FUNDING SOURCE	FIRST YEAR FY <u>77</u>			ALL YEARS		
	b. FX	c. L/C	d. Total	e. FX	f. L/C	g. Total
AID APPROPRIATED TOTAL			105			435
(Grant)	( )	( )	( 105 )	( )	( )	( 435 )
(Loan)	( )	( )	( )	( )	( )	( )
Other						
1.						
U.S.						
2.						
HOST GOVERNMENT			30			90
OTHER DONOR(S)						
TOTALS			135			525

10. ESTIMATED COSTS/AID APPROPRIATED FUNDS (\$000)

a. Appropriation (Alpha Code)	b. Primary Purpose Code	c. Primary Tech. Code	FY <u>77</u>		FY <u>78</u>		FY <u>79</u>		ALL YEARS	
			d. Grant	e. Loan	f. Grant	g. Loan	h. Grant	i. Loan	j. Grant	k. Loan
SD			105		210		120			435
TOTALS			105		210		120			435

11. ESTIMATED EXPENDITURES

12. PROJECT PURPOSE(S) (stay within brackets)  Check if different from PID/PRP

1. To develop an effective analytical framework, methodologies, data base, and talent roster for urban and regional analysis in a variety of developing country circumstances; and 2. to provide a basis for understanding and approaching basic problems in the relationships between poverty and urban/regional development processes.

13. WERE CHANGES MADE IN BLOCKS 12, 13, 14, or 15 OF THE PID FACESHEET? IF YES, ATTACH CHANGED PID FACESHEET.

Yes  No word changes, not substance

14. ORIGINATING OFFICE CLEARANCE

Signature *William R. Miner*

Title **William R. Miner  
Director, TA/UD**

Date Signed **11/05/76**

15. Date Received in AID/W, or For AID/W Documents, Date of Distribution

mo. day yr.

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November 5, 1976

Part 1. Project Summary and Recommendations

(A) Face Sheet (see above)

(B) Recommendations

FY 77	Grant (GTS )	\$105,000
FY 78	Grant (GTS )	\$210,000
FY 79	Grant (GTS.)	\$120,000
		<u>\$435,000.</u>

(C) Description of the Project

Recent developments in the Agency and in the international development field have created a need for guidance to field missions for urban-regional analysis. Such analysis is needed both for project development in the areas of urban poverty and integrated rural-urban development and for gaining a more complete understanding of regional urban systems and their role in rural and national development.

This project will field test, modify and package for general distribution and application a set of guidelines for urban-regional analysis. A preliminary version of the guidelines already has been developed by TA/UD staff. The guidelines will be a flexible tool, suitable for use in a specific area or project development context or for an analysis that encompasses an entire country.

The provisional guidelines package, "Guidelines for Urban and Regional Analysis: Types of Analyses Applicable to A.I.D. Activities," attached as Annex I, already has been reviewed and critiqued in two earlier drafts by a group of AID/W professionals from the regional bureaus and central offices. In addition, it has been given a simple dry run in the field in connection with development of a regional growth and service centers project in Panama.

The Panama project will be the subject of the first field application of the guidelines early in 1977. The results of the field test will be used to modify the analysis package further for demonstration application in other countries. An appraisal of the results of the field test and of additional country demonstrations

will provide input for a contract to develop the final analysis package. Physical distribution of the package will be augmented by seminar workshops in Washington and in AID's major geographic regions. The final tested and demonstrated package should provide AID and the LDC's with a sound foundation and framework for relevant urban and regional analysis.

The project will be funded and coordinated by TA/UD. Regional bureaus, field missions, and host countries will be encouraged to participate in management and funding of the field test and demonstrations to the maximum extent possible. For example, the Panama Mission already has expressed an interest in participating as a full partner in the first field test.

(D) Summary Findings

The project is technically sound and will contribute to the improved technical analysis and design of future projects. The integration of a pilot field test, field demonstrations, and appraising reviews at each step ensures to a high degree the development of an effective urban and regional analysis package which is relevant to AID activities. The successful completion of this project will contribute to the ability to design future projects to enhance the social and economic aspects of the poor majority. It also will increase the general understanding of relationships between poverty and urban/regional development processes.

(E) Issues

1. The project is considerably ahead of the schedule proposed in the PID and may have to be accelerated in terms of FY 1977 funding levels. The first field test is planned to begin in December, 1976, in Panama which puts this phase six months ahead of schedule.

This is the result of an unanticipated early opportunity to collaborate with the Panama Mission on a field analysis and of TA/UD's early completion of the provisional guidelines package. In addition, several other field missions are developing programs that may require urban-regional analysis within the fiscal year. It would be to the mutual advantage of TA/UD and the field missions if the analysis could be done jointly as in the Panama case. If these prospects materialize, some of the field applications proposed for FY 1978 probably should be initiated in FY 1977.

2. Costing is tentative at this stage of the project's development. It is estimated that the average total for a field test will be \$100,000. Within this average there will be variations based upon the depth of the analysis, size and complexity of

of country, degree to which analysis can be carried out by host country institutions, and level of analysis -- project, area or national. One of the outputs of the project will be guidelines for costing and time-phasing of urban-regional analyses of different kinds and under varying circumstances. The \$50,000 budgeted for each field application subsequent to the pilot test in Panama is based on the assumption of an equivalent or greater contribution by the field missions.

3. The urban-regional analysis guidelines package developed through this project should be added to agency programming guidelines -- i.e., either as an appendix to Handbook No. 3 or as a component of the sector methodologies being developed for the Agency's Economic and Social Development Data Bank, or both. PPC guidance will be required at various stages of "Guidelines" development so that relevant portions of the final product can be integrated easily into established programming systems and manuals.

## Part 2. Project Background and Detailed Description

### A. Background

In the spring of 1976 when the PID for this project was approved, the Agency's need for guidelines and methodologies for urban-regional analysis was anticipated although it had not yet become a clear "felt need." Several factors were involved in that anticipation:

(1) The increasing analytical scope and rigor required in Agency project preparation, including social soundness analysis, incidence of benefits, sector assessments, etc.;

(2) The Agency mandate calling for greater program focus on the poor majority;

(3) The growing recognition in developing countries and in the international development community of the complex linkages between rural and urban development as reflected, for example, in the recent surge of regional planning as a developmental framework in many developing countries; and

(4) Agency deliberations over formulation of a new policy determination on urbanization and the urban poor responsive to the mandate on the poor majority.

It seemed highly probable at the time that issuance of a policy determination outlining an Agency approach to problems of urban poverty and urbanization would create a need in the field missions for analytical tools for program development and project design in this area.

Agency Policy Determination No. 67, "Urbanization and the Urban Poor," was issued in June, 1976, and did point to the need for urban and regional analysis. For example, the policy calls for increased efforts to integrate market towns and service centers with their rural hinterlands. Efforts to achieve this integration must be based on careful analysis of rural-urban linkages and of the urban functions that stimulate rural development. PD-67 also indicates that the urban poor are a legitimate target population, and calls for comparisons between urban and rural poverty. Such comparisons must be based on analysis of the characteristics of urban poverty and the relative well-being of urban and rural poverty groups. The policy determination calls for new AID activities in three priority areas: the urban informal sector, improved urban planning, and the urban-rural distribution of social welfare programs and its impact on big city urbanization. Because these priority areas are new to AID, efforts involving these

activities should be based on thorough analysis.

The field demand for urban-regional analysis guidelines already is a reality. A number of field missions included urban or urban-regional oriented PIDs in this year's Annual Budget Submissions (ABS). These PIDs demonstrated a clear-cut need for urban and regional analysis in the PRP and PP stages. In addition, an urban sector assessment - i.e., as a component of a country DAP -- sometimes may be required before urban-oriented projects can be programmed. Because of AID's relative inexperience with projects of this nature, the urban and regional analytical expertise required is limited in the Agency. For that matter, projects with an urban-regional character are a relatively new generation of development activity, and comprehensive approaches still are in the early stages of development and application. AID is on the leading edge of this development.

The proposed project responds to the Agency's need for improved urban and regional analysis and is also an attempt to help enhance basic comprehension of the complex relationships between poverty and urban/regional development processes. In other words, not only will it produce a practical package of analytical tools, but in the process it will shed considerable new light on a substantive area of development about which much more needs to be known. Moreover, this store of knowledge should grow as the analytical tools are adapted to further analyses outside the scope of this project, since the results of these additional analyses ought to be reasonably comparable in a cross-national sense.

The project is to be developed in three stages: (1) pilot field testing and refinement of the provisional urban and regional analysis guidelines developed through a TA/UD staff study during the period June - October 1976; (2) field demonstration in varying circumstances; and (3) evaluation, refinement, and packaging of the guidelines to include case studies and typical scenarios of guideline application. The urban and regional analysis guidelines were developed in collaboration with interested AID/W offices and the Panama Mission. The preliminary version of the guidelines (attached as Annex I) is entitled "Guidelines for Urban and Regional Analysis: Types of Analysis Applicable to AID Activities." This document discusses ten different types of urban-regional analysis, including: (a) national policy and urban and regional development; (b) the distribution and characteristics of the poor; (c) the system of central place service centers; (d) the distribution of development and underdevelopment; (e) migration analysis; (f) analysis of key urban-rural linkages; (g) urban administration and the delivery of essential services; (h) analysis of urban employment; (i) urban functional analysis; and (j) social analysis of the urban poor. Examples of the kinds of questions which can be addressed by each type of analysis are presented and appropriate data and their sources are discussed.

Case studies and sources of further information on each analysis are referenced and briefly described. In addition, the guidelines contain several typical scenarios of urban and regional analysis application in an AID Mission programming context.

As noted earlier, this draft of the guidelines is the result of several reviews by a group of AID/W professionals from regional bureaus and central offices, and subsequently of an appraisal of the relevance of the guidelines to real world activities through a rudimentary dry run in Panama. This latter appraisal provides the basis for a pilot field test of the guidelines to be undertaken in Panama in connection with development of a regional growth and service centers project there. The Panama test is described in the next section.

Subsequent field demonstration sites will be selected through consultation with regional bureaus and field missions. Preference will be given to countries in which the mission plans to develop programs and projects that fit the urban and regional development mold, i.e., PROJECTS RESPONSIVE TO PD 67 on "Urbanization and the Urban Poor." In these instances, the analysis produced through the field demonstrations would be structured as much as possible to fit mission requirements for DAP and project development analyses. They would be coordinated also with SER/H, where appropriate, to link urban and regional analyses with shelter sector studies. This approach will help insure the advance of the final analytical package to Agency and mission programming needs.

## B. Panama Pilot Test

The Panama Mission is in the PRP stage of developing a Regional Growth and Service Centers project which is a part of an overall Government of Panama (GOP) effort to develop the rural-based interior regions of the country and thus reduce the considerable income and developmental disparities between the major metropolitan area of Panama City and the rest of the country outside the Canal Zone. The PRP will contain a scope of work for urban-regional analysis developed jointly by TA/UD and the Panama Mission. This analysis, which will feed into the Mission's PP, will be conducted under the sponsorship of TA/UD as the pilot field test of the urban-regional analysis guidelines.

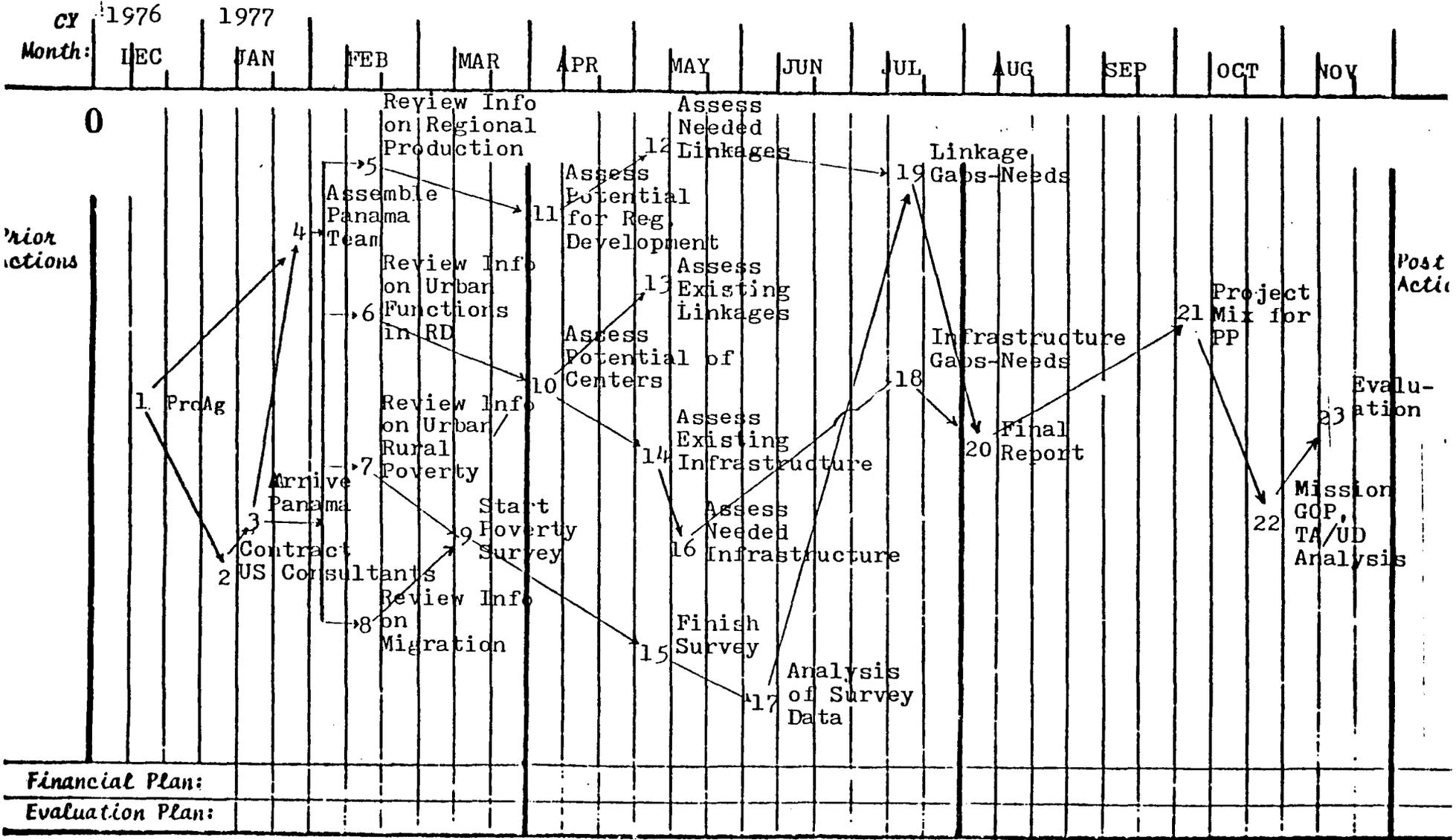
The regional growth and service centers project is located in the Central and Eastern planning regions of Panama. It is keyed to the regional growth center of David in the Eastern Region and Chitre-Los Santos in the Central Region and encompasses also the several rural service centers associated with each of these cities. The project is a joint USAID-GOP program to accelerate development of the two most populous rural interior regions of Panama through the medium of their growth and service centers. Emphasis of the program is on strengthening and expanding priority growth and service center activities of direct and indirect benefit to poor farmers in the region. In the process the program is also to improve employment and living conditions for the urban poor in the growth and service centers, thus increasing the capacity of these centers to hold and attract migrants who otherwise might be destined for Panama City. This mission-assisted program focuses exclusively on the poor, but is part of a more comprehensive Panamanian developmental effort aimed at the general uplifting of interior regions. To retain this poverty orientation and make it a vital component of the larger program, particular attention must be given in project design and development to analysis of poverty groups, urban-rural linkages, and the backward and forward linkages of specific project activities, such as agri-business and small-scale enterprise. These will be the principal components of the TA/UD pilot field application of the urban and regional guidelines.

TA/UD field visits and discussions with the Panama Mission have led to development of a scope of work for the urban-regional analysis and to an agreement on a collaborative modus operandi. The mission, with funding authorization from TA/UD, will sign a Pro Ag with the Panamanian Government covering the intended scope of the analysis. Much of the analysis will be conducted by the Panamanian Government with the technical assistance of TA/UD. While the details covering division of workload have not been developed, it is clear that a full-time project coordinator furnished by TA/UD under a PIO/T will be

required. The mission and TA/UD will share management of the project, and TA/UD inputs are expected to be timed to coincide with mission requirements for PP presentation. The attached activity network indicates the proposed timing and flow of work for the pilot field application; a more concrete plan of action will be developed with the Panama Mission and the GOP after the Mission's PRP for Regional Growth and Service Centers Project has been approved (in late November?).

The Panama project is an example of an application of the urban-regional analysis guidelines focusing on a mission project covering specific geographic areas and involving a regional network of centers. It also could be applied broadly on a national scale, or more narrowly to a single metropolitan center or region. These extremes or variations of them will be sought in the multiple field applications planned for FY 1977 and FY 1978.

Country: Panama	Project No:	Project Title: Urban-Regional Analysis: Panama Rural Growth and Service Centers	Date: 11-24-76	/ x / Original / Revision #	PPT approved
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PROJECT PERFORMANCE NETWORK

C. Detailed Description

1. Goal

- a. Narrative Summary. To enhance understanding of the of the national urban/regional system and subsystems as as a basis for identifying approaches to alleviate poverty.
- b. Objectively Verifiable Indicators. Reflection in AID activities of a noticeably better understanding of both urban and regional processes and methods of urban and regional analysis. Expansion of AID activities concerned with urban functions in rural development, urban-rural linkages, and the urban poor.
- c. Means of Verification. Comparison of present relevant Sector Assessments, DAPs, PIDs, PRPs, PPs, and other AID documents with those produced after the development and dissemination of the final urban and regional analysis package. Increase in the number of projects involving urban functions in rural development, urban-rural interactions, and the urban poor as a target group, using FY 1977 as a benchmark year.
- d. Important Assumptions.
  - (1) Expanded AID interest in urbanization and the urban poor.
  - (2) Results in initial urban and regional analyses are of sufficient interest and quality to stimulate adoption in other AID recipient countries and elsewhere.

2. Project Purpose

- a. Narrative Summary. (1) To develop an effective analytical framework, methodologies, data base, and talent roster for urban and regional analysis in a variety of developing country circumstances; and (2) to provide a basis for understanding and approaching basic problems in the relationships between poverty and urban/regional development processes.
- b. Objectively verifiable Indicators. (End of Project Status)
  - (1) The results of the field demonstrations have

been analyzed and used to refine the analysis package into a readily applicable set of urban and regional analyses relevant to AID activities.

- (2) Informational seminars and workshops have been held.
- (3) The urban and regional analyses have been integrated into an informational package which has been published by AID and distributed to field missions, developing countries, and international development agencies.

c. Means of Verification.

- (1) The applicability and relevance of the analysis package will be appraised by a group of knowledgeable experts both inside and outside the Agency.
- (2) Field mission initiation of the application of selected urban and regional analyses in their regular DAP and project programming process.
- (3) Integration of the analysis package, or parts thereof, into normal Agency programming guidance and tools, such as Handbook No. 3 and the ESDB.

d. Important Assumptions.

- (1) An appropriate group of knowledgeable experts can be obtained by AID to complete the review and appraisal process.
- (2) Appraisal criteria can be clearly specified.
- (3) Arrangements can be made with field missions and host governments for field demonstrations of the analysis package.
- (4) Continuous expansion or refinement of Agency program guidance to accommodate newly formulated and tested materials.

3. Project Outputs

a. Narrative Summary.

- (1) Detailed urban and/or regional analyses from the field test and each of the country demonstrations.

- (2) A flexible urban and regional analysis package which is applicable to AID activities and programming, involving relationships between poverty and urban/regional processes.
- (3) Dissemination of the final analysis package and presentation of seminars/workshops.

b. Objectively Verifiable Indicators.

- (1) Final reports from the field test and each of the field demonstrations.
- (2) Expert review and appraisal of the preliminary guidelines and of the final reports from the field test and country demonstrations.
- (3) The development of an informational publication based on the preliminary guidelines and a synthesis of the results from the field test and country demonstrations.
- (4) Actual presentation of seminars/workshops.
- (5) Guidelines or elements thereof are incorporated into ESDB system and into AID Handbook No. 3.

c. Means of Verification.

- (1) Review and appraisal of the reports from the field test and demonstration by knowledgeable experts.
- (2) Acceptance of the appraisal reports from the knowledgeable experts.
- (3) Publication of 500 copies of analysis package and completion of at least one seminar/workshop in each of AID's four major geographic regions and in AID/W.
- (4) Issuance of additions to ESDB system and AID Handbook No. 3 containing the urban-regional analysis guidelines materials.

d. Important Assumptions.

- (1) Contractors, field missions, host governments, and knowledgeable experts fulfill their commitments to the project.

- (2) PPC incorporates the urban-regional analysis package into Agency programming guidance systems.

#### 4. Project Inputs

##### a. Narrative Summary.

- (1) "Guidelines for Urban and Regional Analysis: Types of Analyses Applicable to A.I.D. Activities." This document which has been prepared by TA/UD is described more fully in the Project Background section of this paper and is attached as Annex I.
- (2) A.I.D. and consultant experts to review and appraise the "Guidelines" and final reports of the field test and country demonstrations.
- (3) Project Agreements and other appropriate documentation for field testing of the urban and regional analysis package.
- (4) Project agreements and documentation for field demonstrations and refinement of the analysis package.
- (5) Contract for synthesizing the results of the field test and demonstrations into an analytical package readily applicable to A.I.D. activities involving relationships between urban/regional processes and the poor majority.
- (6) Contract for conduct of 5 seminars/workshops on the use of the analytical package.

##### b. Objectively Verifiable Indicators.

(Budget Items in \$ 000's)

	FY 77	FY 78	FY 79
(1) Consultants for review and appraisal	5	10	20
(2) ProAg for field test(s)	100	-	-
(3) Pro Ag for field demonstrations	-	200	-
(4) Contract for final package	-	-	25

	FY 77	FY 78	FY 79
(5) Contract for five seminar workshops	-	-	75

c. Means of Verification.

- (1) Contracts with consultant experts.
- (2) Project Agreements for field test and country demonstrations plus contract for final analysis package and seminars/workshops.

d. Important Assumptions.

- (1) Project is approved.
- (2) Agreements with field missions and host countries can be arranged for field test and country demonstrations.
- (3) Appropriate consultants and contractors are available.

The logical framework summary is at p. 14a.

**PROJECT DESIGN SUMMARY  
LOGICAL FRAMEWORK**

Line of Project:  
From FY 77 to FY 79  
Total US Funding 1.15.000  
Date Prepared: November 1976

Project Title & Number: Urban and Regional Analysis

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> <ul style="list-style-type: none"> <li>To enhance understanding of the national urban/regional system and subsystems as a basis for identifying approaches to alleviate poverty.</li> </ul>	<p><b>Measures of Goal Achievement:</b></p> <ul style="list-style-type: none"> <li>Reflection in AID activities of a noticeably better understanding of both urban and regional processes and methods of urban and regional analysis.</li> <li>Expansion of AID activities concerned with urban functions in rural development, urban-rural linkages, and the urban poor.</li> </ul>	<ul style="list-style-type: none"> <li>Comparison of present relevant Sector Assessments, DAPs, PIDs, PRPs, PPs, and other AID documents with those produced after the development and dissemination of the final urban and regional analysis package, using FY 1977 as baseline.</li> </ul>	<p><b>Assumptions for achieving goal targets:</b></p> <ul style="list-style-type: none"> <li>Expanded AID interest in urbanization and the urban poor.</li> <li>Results in initial urban and regional analyses are of sufficient interest and quality to stimulate adoption in other AID recipient countries and elsewhere.</li> </ul>																								
<p><b>Project Purpose:</b></p> <ul style="list-style-type: none"> <li>To develop an effective analytical package for urban and regional analysis; and to provide a basis for understanding and approaching basic problems in the relationships between poverty and urban/regional development processes.</li> </ul>	<p><b>Conditions that will indicate purpose has been achieved: End of project status.</b></p> <ul style="list-style-type: none"> <li>Results of field demonstrations analyzed and analysis package refined.</li> <li>Urban and regional analyses integrated into an informational package published by AID and distributed.</li> <li>Informational seminars and workshops have been held.</li> </ul>	<ul style="list-style-type: none"> <li>Package appraised by group of experts inside and outside the Agency.</li> <li>Mission application of urban and regional analyses in their programming process.</li> <li>Integration of analysis package into normal Agency programming guidance.</li> </ul>	<p><b>Assumptions for achieving purpose:</b></p> <ul style="list-style-type: none"> <li>Appropriate experts available.</li> <li>Arrangements can be made with missions and LDC's for field demonstrations.</li> <li>Continuous expansion or refinement of Agency program guidance.</li> </ul>																								
<p><b>Outputs:</b></p> <ul style="list-style-type: none"> <li>Detailed urban and/or regional analysis.</li> <li>Flexible urban and regional analysis package.</li> <li>Dissemination of final analysis package and presentation of seminars/workshops.</li> </ul>	<p><b>Magnitude of Outputs:</b></p> <ul style="list-style-type: none"> <li>Final reports from field test and demonstrations.</li> <li>Expert appraisal of guidelines and final reports.</li> <li>Development of package based on guidelines and a synthesis of the results from field test and country demonstrations.</li> <li>Guidelines incorporated into ESDB and AID Handbook No. 3</li> </ul>	<ul style="list-style-type: none"> <li>Appraisal reports from experts.</li> <li>Acceptance of expert appraisal reports.</li> <li>Publication of 500 copies of analysis package</li> <li>Completion reports on seminar/workshops</li> <li>Issuance of additions to ESDB and AID Handbook No. 3</li> </ul>	<p><b>Assumptions for achieving outputs:</b></p> <ul style="list-style-type: none"> <li>Contractors, field missions, host governments, and knowledgeable experts fulfill their commitments to the project.</li> <li>FFC incorporates the urban-regional analysis package into Agency programming guidance systems.</li> </ul>																								
<p><b>Inputs:</b></p> <ul style="list-style-type: none"> <li>"Guidelines for Urban and Regional Analysis" prepared by TA/HD.</li> <li>AID and outside experts to review and appraise "Guidelines" and field test and demonstrations.</li> <li>Project Agreements and other appropriate documentation for field test and demonstrations.</li> <li>Contract for final analytical package and conduct of 5 seminar/workshops.</li> </ul>	<p><b>Implementation Target (Type and Quantity) (Budget Items in \$ 000's)</b></p> <table border="1"> <thead> <tr> <th></th> <th>FY77</th> <th>FY78</th> <th>FY79</th> </tr> </thead> <tbody> <tr> <td>Consultants for review &amp; appraisal</td> <td>5</td> <td>10</td> <td>20</td> </tr> <tr> <td>ProAg for field tests</td> <td>100</td> <td>-</td> <td>-</td> </tr> <tr> <td>ProAg for field demonstrations</td> <td>-</td> <td>200</td> <td>-</td> </tr> <tr> <td>Contract for final analysis package</td> <td>-</td> <td>-</td> <td>25</td> </tr> <tr> <td>Contract for 5 seminar/workshops</td> <td>-</td> <td>-</td> <td>75</td> </tr> </tbody> </table>		FY77	FY78	FY79	Consultants for review & appraisal	5	10	20	ProAg for field tests	100	-	-	ProAg for field demonstrations	-	200	-	Contract for final analysis package	-	-	25	Contract for 5 seminar/workshops	-	-	75	<ul style="list-style-type: none"> <li>Contracts with consultant experts.</li> <li>Project Agreements for field test and country demonstrations plus contract for final analysis package and seminar/workshops.</li> </ul>	<p><b>Assumptions for providing inputs:</b></p> <ul style="list-style-type: none"> <li>Project is approved.</li> <li>Agreements with field missions and host countries can be arranged for field test and country demonstrations.</li> <li>Appropriate consultants and contractors are available.</li> </ul>
	FY77	FY78	FY79																								
Consultants for review & appraisal	5	10	20																								
ProAg for field tests	100	-	-																								
ProAg for field demonstrations	-	200	-																								
Contract for final analysis package	-	-	25																								
Contract for 5 seminar/workshops	-	-	75																								

### Part 3. Project Analysis

#### A. Technical Analysis

The final analysis package will include those urban and regional analytical methods that are most appropriate for AID activities. The package will outline several, easy-to-use techniques which can be readily utilized for AID personnel. In addition, a description will be included of the more detailed and sophisticated methods which may be implemented by technical experts in AID or by consultants or contractors. However, the emphasis in the analytical package is placed on analysis appropriate to AID activities, not on the most advanced techniques.

The urban and regional profile data base generated through field applications can readily be included in the ESDB. These data will enable rapid cross-national comparisons of urban/regional systems and urban poverty.

#### B. Financial Analysis and Plan

##### 1. Financial Plan/Budget Tables

a. Cost Estimate Summary and Financial Plan US \$000 (see issue number two in Part I, section a, above).

SOURCE	AID	HOST COUNTRY (?)	TOTAL
(1) Consultants for review and appraisal	35	-	35
(3) First field team	100	30	130
(4) Country demonstrations	200	60	260
(5) Contract for final package	25	-	25
(6) Contract for seminar/workshops	<u>75</u>	<u>-</u>	<u>75</u>
TOTAL	435	90	525

#### C. Social Analysis

The project itself involves the development of an analytical package to do a special type of social analysis -- i.e., urban and regional analysis. This type of analysis involves the distribution

of social phenomena. Although the project may have limited direct impacts on the poor majority, the indirect will be considerable. For example, a major element of all regional analyses will be an identification and assessment of poverty groups, thus contributing to more effective targeting of assistance programs. The field teams of host country analysts will gain valuable experience in analyzing urban functions in rural development and the problems of the urban poor. This experience will benefit the poor through improved project identification and formulation and urban/regional planning. The analyses produced will have direct impacts on projects designed to benefit the poor majority.

#### D. Economic Analysis

The analysis package will be designed to enhance understanding of urban functions in rural development, the distribution of development and underdevelopment, and the problems of the urban poor, including employment. The field test and demonstration analyses will provide the understanding needed to develop effective projects which alter existing patterns in the provision of urban economic functions, so that the economic opportunities of both the rural and urban poor are enhanced. These analyses also will provide participating host country professionals with valuable experience which can be used in subsequent urban and regional planning efforts. Such improved efforts should provide better economic opportunities for the poor majority.

#### E. Environmental Analysis

The project has no direct environmental impact. However, as an analytical framework and approach, in specific country applications it will contribute to policy, program and project decisions which may have direct environmental consequences. The analysis will be capable of flagging the potential for such impacts, but it is not a substitute for sound environmental impact assessments if these are indicated for specific activities.

Part 4. Implementation Arrangements

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

1. Recipient

The prime recipients of this project will be AID field missions and selected central offices as well as AID host countries. The project will be implemented by TA/UD with the cooperation of field missions, host countries, consultants and contractors. Arrangements have been made with USAID/Panama regarding field testing of the analysis package. Efforts are underway to identify additional field missions interested in country demonstrations; already preliminary discussions have been held with the Costa Rica Mission about a field application in that country.

2. A.I.D.

No unusual role for AID is planned.

3. Implementation Plan

Aspects of the implementation plan for this project have been discussed in earlier sections. Basically, it involves refinement and packaging of a set of guidelines for urban-regional analysis through a series of field tests and demonstrations. Field demonstrations will be arranged in much the same manner as that outlined for the Panama field test described above -- although specific arrangements will depend upon individual country situations and preferences of field missions. Once the final version of the guidelines has been packaged appropriately for field use, a series of regional seminars will be conducted to assist missions with adaptation of the package to local applications.

Since the guidelines were developed provisionally by TA/UD staff prior to PP approval, the principal implementation tasks involve field testing in Panama, selection of additional sites for field demonstrations, technical appraisal and refinement of the analysis package after both of these stages, packaging the final product for distribution and conducting the regional dissemination seminar-workshops. These steps are detailed in terms of sequence, timing and interrelationships in the Project Performance Network charts below.

Throughout the project, close liaison will be maintained with: (1) regional bureaus in which field demonstrations are taking place; (2) PPC to ensure integration of guidelines and data developed through this project into appropriate Agency programming systems; and (3) other offices in AID engaged in development of complementary methodologies. On the latter point, TA/RD and TA/AGR are developing rural and agricultural sector analytical methodologies and approaches which will benefit from and contribute to this project. Similarly, SER/H is improving its methodologies for expanded shelter sector analysis and has contacted TA/UD about adapting elements of the urban-regional analysis guidelines to that purpose.

An informal working group involving a number of Agency offices (including the above) has followed and contributed to development of the guidelines and project. It is intended that this dialogue continue throughout the life of the project. In addition, the IBRD, which already has been consulted on various aspects of guidelines development, will continue to be involved as appropriate.

The Project Performance Network charts are at pages 20 and 21.

### C. Evaluation Arrangement for the Project

The analysis package and demonstrations are to be evaluated technically at three different stages. AID professionals will be involved in all evaluations while consultants and host country representatives will be involved in the final two technical evaluations.

The first of these evaluations already has taken place. The preliminary analysis package was appraised by AID/W representatives from TAB, AFR/DP, NE/TECH, ASIA/TD, LA/DR and SER/H. The package was revised as a result of these appraisals.

Second, the final report of the field test of the analysis package will be appraised by a group of knowledgeable experts which will include representatives from the host country. The appraisal will address the quality of the packaged analytical framework and the merit of the actual analysis performed. Feedback from this appraisal will be used in developing project agreements and contracts for the country field demonstrations.

Third, the appraisal of the final reports of the country field demonstrations will be essentially the same as that used with the field test. The results of these appraisals will provide input for the development of the final analysis package.

Evaluation of project management and operations through a PAR will take place at the conclusion of the Panama field test, so that the lessons learned can be drawn upon in implementation of the country demonstrations. A full PAR evaluation to assess project effectiveness will be conducted in the third month following project completion.

#### D. Conditions, Covenants and Negotiating Status

Discussions and mutual understanding must take place between the host country, field mission and AID/W prior to execution of the Project Agreements for field test and country demonstrations. Discussions with the Government of Panama and USAID/Panama indicate that the project field test there is agreeable to all parties concerned. Efforts to interest other field missions and host countries in the demonstrations of the analysis package will be expanded after approval of the PP. No difficulties are anticipated in finding field missions and host governments willing to cooperate with this project. As noted earlier, preliminary discussions already have started with the Costa Rica Mission, which is preparing to undertake an urban-regional assessment there in connection with a proposed program to address urban poverty. Discussions were initiated with TA/UD recently by NE/TECH on a possible demonstration application of the urban and regional analysis guidelines in Jordan.

#### Annexes

I "GUIDELINES FOR URBAN AND REGIONAL ANALYSIS: Types of Analyses Applicable to AID Activities"



## PPT FORM

Country: TAB Inter- regional	Project No:	Project Title: Urban/Regional Analysis	Date: Nov 76	/ / Original / / Revision #	Apprvd:
<b>CPI DESCRIPTION</b>					
(1) Sep 76	Completion of preliminary urban-regional analysis package		(13) Oct 77	Field test appraised by experts (contract signed in Sep)	
(2) Sep 76	In-house appraisal of preliminary package		(14) Nov 77	ProAgs signed by field demonstration countries	
(3) Sep 76	Test dry run of preliminary package in Panama		(15) Dec 77	Contracts signed with U.S. teams for field demonstrations	
(4) Sep 76	Preparation of scope of work for Panama field test		(16) Jan 78	Initial round of urban-regional info. and data incorporated into ESDB. This is a continuing activity.	
(5) Oct 76	Revision of Preliminary package		(17) Oct 78	Field demonstrations completed	
(6) Nov 76	PP prepared		(18) Nov 78	Field demonstration analyses appraised by experts	
(7) Nov 76	PP approved		(19) Dec 78	Contract signed for development of final analyses package and seminar, workshops	
(8) Dec 76	Pro Ag signed by field test country (Panama) and USAID (see PPT Network chart on Panama field test, p. 9.)		(20) Jun 79	Final analysis package completed	
(9) Jan 77	Contract signed with U.S. consultants for Panama field test		(21) A-N 79	Five seminar/workshops held	
(10) Aug 77	Final report completed on Panama		(22) Jan 80	Distribute revised package to field missions and relevant AID/W offices	
(11) Sep 77	Reconnaissance visits to potential demonstration countries completed		(23) Mar 80	Full evaluation of project	
(12) Sep 77	Demonstration countries selection completed				

ANNEX I

10/76

"Guidelines for Urban and Regional Analysis:  
Types of Analyses Applicable to AID Activities"

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