EQUITY AND GROWTH THROUGH ECONOMIC RESEARCH

(698-0546)

PROJECT PAPER

AFR/ARTS/EA
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C.
MAY 1993

PD- BCJ- 215

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1 TRANSACTION CODE: A (A = Add, C = Change, D = Delete) — Amendment Number: ____

DOCUMENT CODE: 3

2 COUNTRY/ENTITY: AID | Washington

3 PROJECT NUMBER: 698-0546

4 BUREAU/OFFICE: AFR | ARTS | EA

5 PROJECT TITLE (maximum 40 characters): Equity and Growth through Economic Research

6 PROJECT ASSISTANCE COMPLETION DATE (PACD): MM 09 DD 30 YY 99

7 ESTIMATED DATE OF OBLIGATION (Under 'B', below, enter 1, 2, 3, or 4)

A. Initial FY 93 B. Quarter 3 C. Final FY 98

8. COSTS ($000 OR EQUIVALENT $1 =)

A. FUNDING SOURCE	FIRST FY 93 B. FX	C. L/C	D. TOTAL	LIFE OF PROJECT E. FX	F. L/C	G. TOTAL
AID Appropriated Total						
(Grant) AFR | ARTS | EA	(5,000)	( )	(5,000)	(35,000)	( )	(35,000)
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1. REDSO's | Missions	1,125		1,125	15,000		15,000
Other U.S. 2.						
Host Country						
Other Donor(s)						
TOTALS	6,125		6,125	50,000		50,000

9. SCHEDULE OF AID FUNDING ($000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE 1 Grant	2 Loan	D. OBLIGATION TO DATE 1. Grant	2. Loan	E. AMOUNT APPROVED THIS ACTION 1. Grant	2. Loan	F. LIFE OF PROJECT 1. Grant	2. Loan
(1) DFA	797R	710		0		50,000		50,000	
(2)									
(3)									
(4)									
TOTALS									

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each): 700 | 720 | 740 | 790

11. SECONDARY PURPOSE CODE: 771R

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code	RDEV	JNTR	TNG				
B. Amount							

13. PROJECT PURPOSE (maximum 480 characters)

Decision makers in public and private sector institutions of SSA increase their use of economic and social research and analysis.

14. SCHEDULED EVALUATIONS: Interim MM 06 YY 96 | MM YY | Final MM 12 YY 98

15. SOURCE/ORIGIN OF GOODS AND SERVICES: [ ] 000 [ ] 941 [ ] Local [X] Other (specify) DFA

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a ____ page PP Amendment.)

17 APPROVED BY

Signature: [signature]

Title: Timothy J. Bork, Acting Assistant Administrator

Date Signed: 6/2/95 (MM DD YY)

18 DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM DD YY

INSTRUCTIONS

The approved Project Data Sheet summarizes basic data on the project and must provide reliable data for entry into the Country Program Data Bank (CPDB). As a general rule blocks 1 thru 16 are to be completed by the originating office or bureau. It is the responsibility of the reviewing bureau to assume that whenever the original Project Data Sheet is revised, the Project Data Sheet conforms to the revision.

Block 1 — Enter the appropriate letter code in the box, if a change, indicate the Amendment Number.

Block 2 — Enter the name of the Country, Region or other Entity.

Block 3 — Enter the Project Number assigned by the field mission or an AID/W bureau.

Block 4 — Enter the sponsoring Bureau/Office Symbol and Code. *(See Handbook 18, Appendix D.)*

Block 5 — Enter the Project title *(stay within brackets limited to 40 characters)*.

Block 6 — Enter the Estimated Project Assistance Completion Date. *(See Chapter 7B.7)*

Block 7A — Enter the FY for the first obligation of AID funds for the project.
Block 7B — Enter the quarter of FY for the first AID funds obligation.
Block 7C — Enter the FY for the last AID funds obligations.

Block 8 — Enter the amounts from the 'Summary Cost Estimates' and 'Financial Table' of the Project Data Sheet.

NOTE: The L/C column must show the estimate U.S. dollars to be used for the financing of local cost by AID on the lines corresponding to AID.

Block 9 — Enter the amounts and details from the Project Data Sheet section reflecting the estimated rate of use of AID funds.
Block 9A — Use the Alpha Code. *(See Handbook 18, Appendix D for guidance)*
Blocks 9B., C1. & C2. — See Handbook 18, Appendix D for guidance. The total of columns 1 and 2 of F must equal the AID appropriated funds total of 8G.

Blocks 10 & 11 — See Handbook 18, Appendix D for guidance.

Block 12 — Enter the codes and amounts attributable to each concern for Life of Project. *(See Handbook 18, Appendix D for coding)*

Block 13 — Enter the Project Purpose as it appears in the approved PID Facesheet, or as modified during the project development and reflected in the Project Data Sheet.

Block 14 — Enter the evaluation(s) scheduled in this section.

Block 15 — Enter the information related to the procurement taken from the appropriate section of the Project Data Sheet.

Block 16 — This block is to be used with requests for the amendment of a project.

Block 17 — This block is to be signed and dated by the Director of the originating office. The Project Data Sheet will not be reviewed if this Data Sheet is not signed and dated. Do not initial.

Block 18 — This date is to be provided by the office or bureau responsible for the processing of the document covered by this Data Sheet.

U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

May 14, 1993

ACTION MEMORANDUM FOR THE ACTING ASSISTANT ADMINISTRATOR FOR AFRICA

FROM: AFR/ARTS, Jerry Wolgin

SUBJECT: Project Authorization -- Equity and Growth Through Economic Research Project (698-0546)

PROBLEM

Your approval is required to authorize funding in the amount of $50 million from the Development Fund for Africa (DFA) for the Equity and Growth through Economic Research (EAGER) Project. The proposed funding level consists of $35 million in AFR/ARTS core funding and $15 million of REDSO, other regional activities, and mission funding. It is planned that $5 million of AFR/ARTS core funding will be obligated in FY 93. The PACD for the Project is September 30, 1999.

DISCUSSION

A. Summary Project Description:

The purpose of the project is to increase the use of economic and social research and analysis by decision makers in public and private sector institutions in Sub-Saharan Africa. Project clients include individual Africans and African public and private organizations, A.I.D. field officers, the Africa Bureau, and other donors. The project purpose will be achieved through the implementation of syntheses, analyses, and field-based research on priority issues and through the proactive dissemination of information to decision makers.

In order for EAGER to be successful, Africans and other project clients must perceive the project-financed research to be relevant and credible. The project will support an intensive research agenda identification process which involves key African researchers and policy makers, as well as A.I.D. field staff, donors and other African development specialists. From this process will evolve a Research Agenda that is focused on issues of direct relevance to the people involved in the economic management of African nations. Furthermore, the project will provide opportunities for African collaboration in the design and implementation of specific research and analysis activities and in the dissemination of findings. African participation in all

aspects of the project will enhance the relevance and credibility of the research while strengthening African analytical capacity.

AFR/ARTS/EA will manage the project with advice from an Advisory Committee representing the other Africa Bureau Offices. The research activities will be carried out through competitively awarded research contracts, buy-ins to R&D Bureau and PRE Bureau contracts, cooperative agreements and grants to research institutions and individual researchers, and by resident technical advisors assigned to ARTS/EA and to the REDSOs. The capacity building activities will be carried out through grants to African institutions and a buy-in to the Implementing Policy Change Project in R&D. The dissemination activity will be carried out through a Gray Amendment firm or an HBCU.

Summary Financial Plan (000)

A.I.D.-Financed Inputs	Core	Buy-In	Total
Research			
Strategic Studies	22,125	13,825	35,950
Technical Assistance	14,525	5,500	20,025
	7,600	8,325	15,925
Capacity Building	6,900	0	6,900
Dissemination	4,300	0	4,300
Contingency and Inflation	1,175	1,175	2,350
Evaluation and Audit	500	0	500
TOTAL	35,000	15,000	50,000

MAJOR ISSUES AND BUREAU DECISIONS

The Issues Meeting for the EAGER PP was held on April 13, 1993. the ECPR took place on April 19, 1993, with the A-AA/AFR presiding. The major issues raised in this review process and their resolution are described below.

Introduction. The A-AA/AFR began the meeting with the observation that the PP appears to well reflect the Bureau's concern for an enhanced level of participation by African researchers, Gray Amendment entities, and a focus on the demands of Africans for the research product. In noting that several additions to the PP proposed by the Project Committee would increase funding, Mr. Hicks requested that the project hold the line at $35 million in core funds and $15 million in buy-ins from the REDSOs, other regional activities, and Missions for a total of $50 million.

Jerry Wolgin introduced EAGER as the last of a series of three projects planned to carry out the ARTS mandate of expanding our knowledge of the development process and making effective use of foreseeable resource levels in bringing about development in Africa. He noted that the strategic plan for EAGER follows the plan used in the companion activities which have had remarkable success in getting Africans to study and initiate proposals to resolve their own problems. Jay Smith observed that EAGER is different from predecessor activities, such as the Poverty Reform and Policy Project (698-0519), in its emphasis on a greater degree of collaboration with African economists, institutions, and dedicated grant and contract services for capacity building and dissemination.

Five issues and three concerns were discussed by the ECPR.

Issue No. 1: The process for setting the analytical agenda as discussed in the PP appeared too exclusive and dominated by economists in ARTS/EA.

Discussion: In introducing the issue, Jay Smith said that the procedure outlined in the PP was driven by resource constraint concerns. He acknowledged the validity of concerns expressed in the Issues Meeting, that the use of technical advisors and other A.I.D. staff as surrogates for African views was unlikely to build the degree of "ownership" which all agree is desirable in economic research if it is to appropriately inform the policy dialogue. AFR/ARTS/EA through the EAGER project, therefore, proposes to bring selected African policy makers and research directors from appropriate institutions to the United States once a year to participate with other American researchers, Africa bureau management, representatives of interested multilateral and bilateral donors and other knowledgeable individuals from interested organizations to provide their insights and priorities for the agenda setting process. He estimated that annual agenda review conferences will result in an additional budget item for travel of selected Africans of about $50,000 to $75,000. GC/AFR cautioned that the structure of such an entity should be carefully drawn to take cognizance of the Federal Advisory Committee Act.

In responding to the question of the process for the development of the Agenda which appears in the PP, Mr. Smith noted that Annex G contains a list of over 100 persons interviewed in Dakar, Accra, Nairobi, Abidjan, and Harare by the design consultants. Included in this group are African economists and decision makers, numerous USAID Mission personnel, Africa Bureau staff, and representatives of donor agencies.

AFR/DP asked what steps will be taken to assure social scientists aside from economists will receive fair hearing concerning the analytical agenda. Mr. Smith said that social scientists are

represented both among the Washington based advisors, but also well represented among the field advisors in the project. The African social science network, CODESRIA, will be brought to Washington to participate in annual agenda review meetings. The Africa Bureau social scientists will also be welcome on the proposed Advisory Committee, if so designated by their offices. John Hicks pointed out that this is an opportunity for senior staff to interest themselves in the activities of EAGER and participate directly to be certain the Agenda fully reflects the needs of the Bureau. DP added that ARTS/EA has, in effect, a three-step process which provides opportunities to become involved and influence the Analytical Agenda; beginning with weekly Brown-Bag discussions of research results and research in progress, the Project Committee approach to reach-out to Africans, and the annual Analytical Agenda review by the Bureau--apart from EAGER -- where the consolidated Analytical Agenda of the ARTS office is aired in its entirety.

AFR/EA proposed that the Analytic Agenda was such an important issue that the authorization of the project might be tranched into two separate components, the second component subject to agreement on the Agenda and the principal research entity. John Hicks concluded that it was sufficient to task ARTS to structure the research component such that a balance is struck to achieve optimum timeliness for receipt of research results, in participation of Africans and in fostering ownership of the results by Africans in their subsequent work. It is expected that this will take place in the RFPs to be issued under the project.

Resolution: The ECPR approved the initiation of the project on the basis of the Analytical Agenda in the PP. The PP shall further detail the mechanics for scheduling and funding travel of African research directors to Washington to participate in annual meetings to assess the Agenda and suggest adjustments in line with changing African conditions.

Issue No. 2: How was the mix of core long-term advisors chosen, are there alternatives, and how can the Bureau ensure that requirements skills are available in cross-cutting areas which are consistent with the project purpose?

Discussion Jay Smith said the selection of skills was drawn, in part, from the requests of REDSOs and field missions, as well as the needs of the EAGER project. The plan is to fund five individuals in AID/W and eight in the field, but several additional personnel have been identified. He noted the issue was a bureau issue as other mechanisms, aside from EAGER, might be considered to serve the purposes of REDSOs and missions.

Bureau offices requested EAGER funding for the following: a

political economist, a donor coordination specialist, a WID specialist, and one or more evaluation specialists. In addition, one or more field missions request addition of their cross-cutting staff persons into the cadre of field advisors. As all but the Political Economist are already funded, this addition does not represent an unacceptable increase to the Bureau ceiling for Washington funded activities.

The question was raised if this increase, and a previous caution to develop a project at $30 million rather than $35 million, was discussed in the Issues meeting. Jay answered that these points were not discussed, other than to note that the additional funds would be drawn from the overall ARTS budget and that the project should be adjustable to reductions which might occur in future years.

AFR/SA asked about the reasons for funding advisory staff in AID/W and in the field. Jerry Wolgin said the advisors provide an essential link to disseminate research results so that they become incorporated in programs of Africans, other donors, and Mission. This becomes essential because of the scarcity of OE travel funds which inhibits USDH staff from serving this function.

Resolution: The EAGER project approved the funding of the technical advisors noted in the draft project paper. Technical advisors serving individual field missions shall not be added to the EAGER project. It was agreed that EAGER would also fund a political economist, a donor coordination specialist and a women in development specialist. These positions have been added in the final draft of the project paper.

Issue No. 3: Has AFR/ARTS/EA thought through all the management implications of the project?

Discussion Jay Smith said the intent of the project design was to identify the management units and define the means of management in large units. The Office is confident that this task has been accomplished in a manner which is manageable, with the addition of a Project Committee which will be fully representative of the several offices and divisions of the Africa Bureau.

AFR/CCWA, which had raised the issue at the Issues Meeting, supported the contention of ARTS/EA with the assurance that necessary support to geographic office economic analysis needs would be available when requested. This assurance was given.

Resolution: The ECPR approved the administrative organization of the project with the addition of a Project Advisory Committee. The functions of this Committee would be to advise AFR/ARTS/EA on the analytical needs of their Offices and the Missions they

represent, to provide AFR/ARTS/EA with the broad policy perspective of the DFA and the requisite analytical needs, to provide suggestions for improving collaboration with the field and with African institutions and scholars, to provide advice on dissemination activities, and to ensure that AFR/ARTS/EA has access to the broad array of skills, experiences, and points of view represented in the Bureau. The Advisory Committee should include representatives from each of the Bureau's Offices and from AFR/GC, as well as representation from key offices in the R&D Bureau.

Issue No. 4: What proportion of the LOP of EAGER is actually available for HBCU or Gray Amendment procurement?

Discussion In reference to page 48 of the PP, Jay Smith noted that there is a commitment that the Dissemination Contractor will be a Gray Amendment entity. The net affect of this commitment is to provide a base of 11 percent of the project's core funding for this purpose. It is anticipated that collaboration as part of the research component of the project will further expand the proportion of Gray Amendment participation, and the Dissemination Contractor will serve to provide an information base expanding awareness and participation of Gray Amendment entities in the project.

Jerry Wolgin affirmed that where capacity exists, it will be utilized fully and such guidance will be provided by the Project Steering Committee. AFR/SA expressed the hope that a significant and meaningful proportion of the work will be assigned to collaborators. John Hicks said that it was for those who have knowledge of Gray Amendment entity capacities to step up and advise ARTS of this capacity.

Resolution: The ECPR approved the minority procurement plan as set out in the PP.

Concern: Participants of the Issues Meeting expressed concern that the monitoring and evaluation data gathering and assessment process should include provisions for monitoring of macro economic aggregates of growth and change as a means for assessing the integration of research and the local decision-making environment. DP expressed the wish that such retrospective survey work and retrospective studies on the impact of A.I.D.'s assistance program in Africa also receive support under the Analytical Agenda. Jerry Wolgin said that this was a part of the Agenda of the other companion research activities, PARTS and HARRA. It is appropriate for EAGER as well.

Concern: Participants expressed concern that elements of the procurement plan should be more fully detailed, including a disbursement and expenditure schedule, a more detailed list of the contracts and grants to be awarded, and of the component

parts of the implementation schedule. AFR/ARTS/EA agreed, and the expanded list can be found on pages 57 and 58, and the tables on pages 59-61 of the final draft of the project paper.

Concern: The debate concerning research and related procurement arrangements to investigate the theme, "Public Strategies for Growth and Equity," was affirmed to be the appropriate topic for discussion with the Project Advisory Committee rather than the PP and authorization process. The ECPR agreed it would be inappropriate to prejudge such procurement decisions. AFR/ARTS/EA agreed to revise the PP accordingly.

Concern: Agreement was reached concerning revisions to the Goal Statement and verifiable indicators of Purpose Achievement. AFR/ARTS/EA has agreed to revise the logical framework matrix accordingly.

INITIAL ENVIRONMENTAL EXAMINATION

A categorical exclusion for this project was approved with the PID by the Bureau Environmental Officer.

JUSTIFICATION TO CONGRESS

A Congressional Notification for the EAGER Project was forwarded on May 7, 1993, and will expire on May 22, 1993.

RECOMMENDATION

It is recommended that you sign the attached project authorization to authorize the EAGER Project at a level of $50 million in DFA.

Attachments:

1. Project Authorization
2. EAGER Project Paper

Clearances:

AFR/ARTS/EA:JTSmith	Draft	Date:	5/19/93
AFR/ARTS:CBonner	Draft	Date:	5/18/93
DAA/AFR:RCobb		Date:	
GC/AFR:MAKleinjan	Draft	Date:	5/19/93
AFR/DP:MPBonner	Draft	Date:	5/19/93
AFR/SA:KBrown	Draft	Date:	5/21/93
AFR/SWA:JGilmore	Draft	Date:	5/24/93
AFR/CCWA:MGolden	Draft	Date:	5/19/93
AFR/EA:PGuedet	Draft	Date:	5/21/93
AFR/ONI:ZHahn	Draft	Date:	5/18/93

Drafter:AFR/ARTS/EA:LARoss:5/11/93:O:\ARTSPUB\EA\PROJECTS\ECPRA.1

PROJECT AUTHORIZATION

Name of Country/Entity: Africa Regional

Name of Project: Equity and Growth Through Economic Research (EAGER)

Number of Project: 698-0546

1. Pursuant to Section 496 of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Equity and Growth through Economic Research Project for the Africa Region involving planned obligations of not to exceed Fifty Million U.S. Dollars ($50,000,000) in grant funds over a seven-year period from date of initial authorization, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process, to help in financing foreign exchange and local currency costs for the project. The level of funding includes $35 million of core funds in AFR/ARTS funding and $15 million of REDSO, other region activity, and Mission funding. The Project Assistance Completion Date is September 30, 1999, except as A.I.D. may otherwise agree in writing.

2. The project will increase the use of economic and social research and analysis in the making of policy and programs in Sub-Saharan Africa. This objective will be achieved by: a) providing more and better information to Africans, primarily, and to A.I.D. Missions and other donors working in economic development and the social sciences in Africa; b) strengthening African capacity in economic and social science research; and c) more effectively disseminating the research and analysis. Project-supported research and analysis will be directly linked to specific country economic and social problems and constraints which inhibit sustainable and broad-based economic growth. Potential impact for solving these problems will be the key criteria for selecting research and analysis for project funding. The project will finance technical assistance, training, limited commodities, evaluation, and related costs.

3. The Project Agreements, which may be negotiated and executed by the officer to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority, shall be subject to the following essential terms and covenants and major

conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

a. Source and Origin of Commodities, Nationality of Services. The nationality for suppliers of services and commodities, including ocean transportation services, and the source and origin of commodities financed under the project shall be as set forth in the Africa Bureau Instructions on Implementing Special Procurement Policy Rules Governing the Development Fund for Africa (DFA) dated April 4, 1988 ("DFA Guidance"), as may be amended from time to time, except as A.I.D. may otherwise agree in writing.

Timothy J. Bork
Acting Assistant Administrator
Bureau for Africa

Date: 6/2/93

Clearances:

DAA/AFR:RCobb		Date: 6/2/93
GC/AFR:MAKleinjan	Draft	Date: 5/19/93
AFR/DP:JGovan	Draft	Date: 5/19/93
AFR/ARTS:JWolgin	Draft	Date: 5/14/93

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Acronyms

AA	Analytical Agenda
AAAS	American Association for the Advancement of Science
ABS	Annual Budget Submission
ACBF	African Capacity Building Foundation
ADS	African Development Support Project
AERC	African Economic Research Consortium
AFR	Bureau for Africa
AFR/DP	Bureau for Africa, Office of Development Planning
AFR/ARTS	Bureau for Africa, Office of Analysis, Research and Technical Support
AFR/ARTS/EA	Economic Analysis Division
A.I.D.	Agency for International Development
AID/W	AID/Washington
API	Assessments of Program Impact
CA	Cooperative Agreement
CAER	Consulting Assistance for Economic Reform
CDIE	Center for Development Information and Evaluation
CIEREA	Conference des Institutions d'Enseignment et de Rocherche Economique et en Afrique
CODESRIA	Council for the Development of Economic and Social Research in Africa
CP	Congressional Presentation
CPSP	Country Program Strategy Plan
DAA	Development Assistance Act
DFA	Development Fund for Africa
EAGER	Equity and Growth through Economic Research Project
ECA	UN Economic Commission for Africa
ECPR	Executive Committee for Project Review
EFPA	Economic and Financial Policy Analysis Project (Gambia)
EID	Office of Economic and Institutional Development, R&D
EOPS	End of Project Status
ESA	Eastern and Southern Africa
FARA	Food, Agriculture and Resources Analysis Division of AFR/ARTS
FIRM	Financial Resources Management Project
FY	Fiscal Year
GIS	Geographical Information System
GDP	Gross Domestic Product
HBCUs	Historically Black Colleges and Universities
HHRAA	Health and Human Resources Analysis for Africa Project
ICEG	International Center for Economic Growth
IDRC	International Development Research Centre
IMF	International Monetary Fund
IPA	Intergovernmental Personnel Act
IPC	Implementing Policy Change Project (R&D)
IQC	Indefinite Quantity Contract
IRM	Office of Information Resources Management
JCC	Joint Career Corps

LDC	Less Developed Country
LRJ	Legal, Regulatory and Judicial
M&E	Monitoring and Evaluation
MIEA	Macro and International Economic Analysis
MOU	Memorandum of Understanding
NGO	Non-Governmental Organization
ODA	Overseas Development Administration (UK)
OECD	Organization for Economic Cooperation and Development
OYB	Operational Year Budget
PACD	Project Assistance Completion Date
PARTS	Policy, Analysis, Research and Technical Support Project
PD&S	Project Development and Support
PID	Project Identification Document
PIO/C	Project Implementation Order/Commodities
PIO/T	Project Implementation Order/Technical Services
PIR	Project Implementation Report
PP	Project Paper
PSC	Personal Services Contract
PVO	Private Voluntary Organization
PPE	Program, Policy, Evaluation Division, CDIE
REDSO	Regional Development Support Office, A.I.D.
RFP	Request for Proposals
RFP	Request for Technical Proposals
RSSA	Resource Support Services Agreement
R&D	Bureau for Research & Development
SARSA	Systems Approach to Regional Income and Sustainable Resource Assistance
SAPEP	Southern Africa Political and Economic Studies
SSA	Sub-Saharan Africa
SSRC	Social Science Research Council
STATCAP	Statistical Capacity Building in Africa
TDY	Temporary Duty
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
USDA	United States Department of Agriculture
WCA	West and Central Africa
WDR	World Development Report
WID	Office of Women in Development

I. SUMMARY AND RECOMMENDATIONS

A. Background

Despite Africa's severe and persistent economic and social problems, countries which have been active participants in reform programs have experienced more rapid export growth, captured a rising share of world markets and attracted increased investment. There is room for hope, but because money will remain scarce for the foreseeable future, that hope will be sustained through better ideas and better performance rather than more resources.

AID's comparative advantage lies in its ability to promote the generation of new and better ideas. There is solid evidence that good research, effective dissemination and increased African research capacity can and has made a difference. EAGER's approach to finding "new ideas" is to get the best and brightest of our African colleagues in economic and social science research working together with some of the best and brightest in the United States.

B. Summary Project Description

The goal of the six year project is that **African public and private institutions adopt equitable, sustainable economic policies, growth strategies and programs that reflect local sociocultural realities.**

The project purpose is that **decision makers in public and private sector institutions of Sub-Saharan Africa increase their use of economic and social research and analysis.** Project clients include individual Africans and African public and private organizations, AID field offices, the Africa Bureau and other donors. By the end of the project:

- **Development strategies, policies, or programs supported by host countries, AID or other donors will have been designed or modified using project-generated analysis;**
- **African and donor decision makers will accord increased respect and credibility to African researchers and research units;**
- **African and AID decision makers will more frequently cite existing research and analysis and request follow-on research and analysis;**
- **There will be increased levels of public dialogue and debate concerning socio-economic issues;**

EAGER will consolidate and replace Africa Bureau centrally-funded economic and social science research projects and activities and

support high priority research and analysis not currently falling under those projects. This Project Paper organizes project outputs into three components. They are:

- **Research and analysis** conducted on economic and social topics relevant to ongoing African and A.I.D. development programs. The term research and analysis covers economic, social and cross-sectoral studies as well as impact assessments and syntheses.

- **Capacity building** through economic and social science networks, collaborative research and skills development activities.

- Timely and effective **dissemination** of research findings and information to project clients.

C. Summary Budget ($000)

COMPONENT	CORE	BUY-IN	TOTAL
Research	22,125	13,825	35,950
Capacity Building	6,900	0	6,900
Dissemination & Tech. Support	4,300	0	4,300
Contingency & Inflation	1,175	1,175	2,350
Evaluation & Audit	500		500
TOTAL	35,000	15,000	50,000

D. Outstanding Project Issues

While preparing this Project Paper, AFR/ARTS/EA has diligently examined each of the issues and concerns noted in the Project Identification Document (PID) Approval Memorandum (see Annex A). Brief comments on the disposition of the major issues and concerns are found below.

1. Project Cost

The project was approved for $50 million, including $35 million of core AFR/ARTS funding and $15 million of REDSO, other regional activity, and mission funding.

2. Purpose Statement

The project purpose and end of project status has been reformulated in accordance with the recommendations of the project committee and to hold the project accountable for having a clear and positive impact in Africa.

3. Collaborative Process

Strong collaboration from the field and substantial African participation in all aspects of the project are fundamental principals upon which the entire EAGER design were based. The mechanisms for accomplishing this collaboration and participation are described in the PP.

4. Areas of Inquiry

The process of defining an economic and social analytical agenda for the Africa Bureau is at a less advanced stage than it is for the agricultural or human resources sectors. During the PP design, ARTS/EA undertook an extensive effort to validate and prioritize research themes and specific research activities. Among other steps, this effort included on-site interviews with more than 100 Africans, Europeans and Americans representing African governments, non-governmental organizations, AID field offices, universities and research institutes, and other donors. The initial analytical agenda is discussed in the Technical Annex. Solicitation of additional field inputs, review and modification of that agenda will continue to be important activities throughout the project and specifically featured during the first two years of EAGER.

E. Summary Findings

The EAGER project conforms with and supports the priority goal and objectives of the Development Fund for Africa and is responsive to high priority concerns that Africa and AID field offices are facing today. Project analyses show that the project is technically, socially, economically and environmentally sound. Its emphasis on African dissemination, participation and capacity building appears to be the most viable approach to increasing the sustainability and impact of research and analysis.

II. BACKGROUND AND RATIONALE

A. Introduction

The litany of Africa's problems are all too familiar: low rates of economic growth, high levels of poverty, high population growth rates, severe environmental problems, an unsustainable debt burden, many small and isolated economies, dependence on a few commodities, falling terms of trade, declines in competitiveness, and so on. Africa is the only major region of the world in which the World Bank projects an increase in the number of people below the poverty line: growing from about 180 million in 1985 to 265 million in 2000. According to the 1990 World Development Report (WDR):

> "Compared with a reduction of 400 million (people) in poverty elsewhere in the developing world, in Sub-Saharan Africa slow economic growth and rapid population growth would mean an increase of nearly 100 million in the number of poor people. By the end of the century Sub-Saharan Africa will account for more than 30 percent of the developing world's poor, as against 16 percent in 1985."

The same World Bank report is clear that progress will not be easy:

> "Even to hold the number of poor at the 1985 level will require a massive effort: **GDP growth of 5.5 percent a year** (emphasis added), a radical restructuring of industry, improved incentives and technology for agriculture, and increased allocations of resources to primary education, health care, nutrition, and family planning. This cannot be achieved unless governments strengthen their reform efforts and donors increase their assistance."

And yet there is room for hope. Countries which have been active participants in reform programs and have received increased donor support have experienced more rapid export growth, a rising share of world markets and some increases in investment. It is increasingly clear that AID and other donors are going to focus their assistance on countries which show a determination to implement economic reforms, demonstrate efficiency in resource use and promote good governance.

B. The EAGER Rationale: Development in Africa and the Role of Economic and Social Science Research.

Since donors are not likely to increase their assistance to Africa in the current world economic context, a GDP growth rate of 5.5 percent a year or better will only be reached through better policies and more efficient use of available resources in

all sectors. In turn, that can be attained only through rigorous policy analysis and professional economic management. World Bank Chief Economist Larry Summers stated in his Keynote Address at the third Annual World Bank Conference on Development Economics, "To put it bluntly, **since there will not be much development money over the next decade, there had better be a lot of good ideas. . . . more bang is actually much more important for development than more bucks."**

Dr. Summers' further laments donor ignorance in making investment decisions and challenges host countries and development professionals to make tougher judgments about the social return to different types of investment. This would include accounting for externalities such as the dynamic effects of competition and trade which are often much greater than the static efficiency gains we know how to measure. The challenges he put forth include:

- Understand better how to spread risk (e.g., to keep commodity price fluctuations from playing havoc with planning) and how to attract and leverage equity flows to developing countries;

- Understand better the effect of different social sector interventions on health, education, nutrition, etc;

- Rather than spending most of our energy analyzing capital markets, we need to think about how to harness labor markets;

- Instead of just researching the determinants of population growth, we need to go farther in understanding the consequences of population growth; and

- Better define the right line between the invisible hand and government's helping hand.

Such a research agenda is vast and greatly dwarfs the ability of any one institution to carry out. But the central point is that ideas are needed because money will remain scarce. This is the motivation for the EAGER project. AID's resources for Africa are likely to remain scarce. AID's comparative advantage lies in its ability to promote the generation and practical application of new and better ideas. This is best done by getting the best and brightest of our African colleagues in economic and social science research working together with some of the best and brightest in the United States. EAGER will be a vehicle for finding "new ideas" from research which show particular potential for improving Africa's growth prospects.

C. Constraints Preventing the Development and Implementation of More Appropriate Economic Policies

Policy making in Africa is plagued by a central paradox: many states are desperately searching for new and better economic policies, yet few African policy makers set much store in the type of policy research that could help them find what they are looking for. As more fully described in the Technical Analysis, this disturbing situation is the result of two closely related phenomena: (1) the lack of indigenous policy analysis capacity and (2) the limited impact of much donor-sponsored policy research.

1. The lack of indigenous policy analysis and research capacity.

Despite the considerable efforts made by donors and African governments over the past thirty years, there has been little appreciable improvement in the ability of Africans to generate good quality policy-focused research that can be used to guide economic policy makers. This stands in sharp contrast to the situation of agricultural research, where Africans have made significant strides. The state of economic research in the continent is particularly disturbing. Universities have seen their standards drop, their budgets dry-up, and their graduate programs fall into disuse while undergraduate enrollments soar. For example, at the Université Cheikh Anta Diop (formerly the Université de Dakar), only 2 students out of 120 during the past 4 academic years have passed the qualifying examination for the second year of the Economics Department's M.A. program. Even more disturbingly, those two did not manage to pass the final M.A. examination and never received their diplomas. This "drying-up" of the pipeline, coupled with the difficulties that public policy analysis units have in retaining their staff, means that African research capacities have suffered greatly--both in government and university circles.

Because of the lack of indigenous research capacity, African policy makers have little ability to commission their own policy studies. As a consequence, too often they come to regard "economic research" as something done by and for donors, a condition which makes it difficult for them to consider useful economic research when setting policies.

African research capacities must be enhanced so that there will be more local champions of well considered and researched policies and so African policy makers can develop expertise as consumers of economic research. Before this desired improvement in research capacity can be achieved, however, the following constraints must be addressed:

- **A shortage of researchers**
- **Inadequate training of many researchers**
- **Inappropriate incentive structures**
- **The mutual distrust and lack of interaction between university researchers and government policy makers**
- **Inadequate material and administrative support**

2. The Limited Impact of Many Donor Research Studies and the Importance of African Participation.

Given the lack of African policy research capacity, one would think that government policy makers would place great value in donor-sponsored studies. However, donor-sponsored research frequently has limited impact on African policy makers. Policy-oriented research is often perceived by host governments as responding more to donor needs than to their own since the design for such studies is usually formulated in donor agencies or in developed country universities, with only minimal or pro forma input from host country sources. Much of the economic research in Africa is done to provide analytical background for donor programs and to furnish material for Ph.D. theses or scholarly publications. The resulting studies, which may be of high quality, are geared to academic or donor audiences and are rarely of immediate practical use to local governments. Too often, lag times between data collection and study completion are too long, the reports are lengthy and difficult to digest and do not respond to the immediate needs of policy makers. Finally, because of their peripheral involvement, local researchers feel little sense of "ownership" of the results--meaning that they rarely stress the importance of such studies to government officials.

In addition, economic decision making in many African countries is often based on underlying political and sociological concerns rather than on pure economic logic. Since donors and Western researchers are rarely as conversant as African policy makers in the intricacies of such considerations, their analyses seldom address these important concerns and often appear to be unworkable for reasons that may have nothing to do with the basic research design. All these failings have made governments highly dubious of the value of economic research in general and donor research in particular as an input into the policy formulation process.

EAGER seeks to augment the available research and analysis on economic and social science issues and to help address these two impediments to its use. EAGER will do critical research and do

so in ways that will strengthen African capacity for policy analysis and research and increase African ownership and utilization of research products.

D. AID Policy Framework and Experience to Date

1. The Policy Framework

As discussed above, rigorous economic and social policy analysis and good economic management are necessary if not sufficient conditions for achieving improvements in every other development sector and for attaining the Africa Bureau's DFA goal of sustainable, broad-based, and market-oriented economic growth. Such analyses and good economic management must be inextricably linked to all development programs and to projects AID undertakes or supports.

The Strategic Framework (Figure II.A.) guides the Africa Bureau's work in socio-economic research and analysis and serves as the structural basis for the EAGER project design. The specific analytical and capacity building activities to be implemented under the research themes will help achieve the "thematic targets," several of which are essential elements of good economic management. The "Thematic Targets," in turn, help achieve the following three of the four strategic objectives of the DFA Action Plan.

a. Redefine and Reduce the Role of the Public Sector and Increase its Efficiency.

b. Strengthen Competitive Markets to Provide a Healthy Environment for Private Sector-led Growth.

c. Develop the Potential for Long-Term Increases in Productivity.

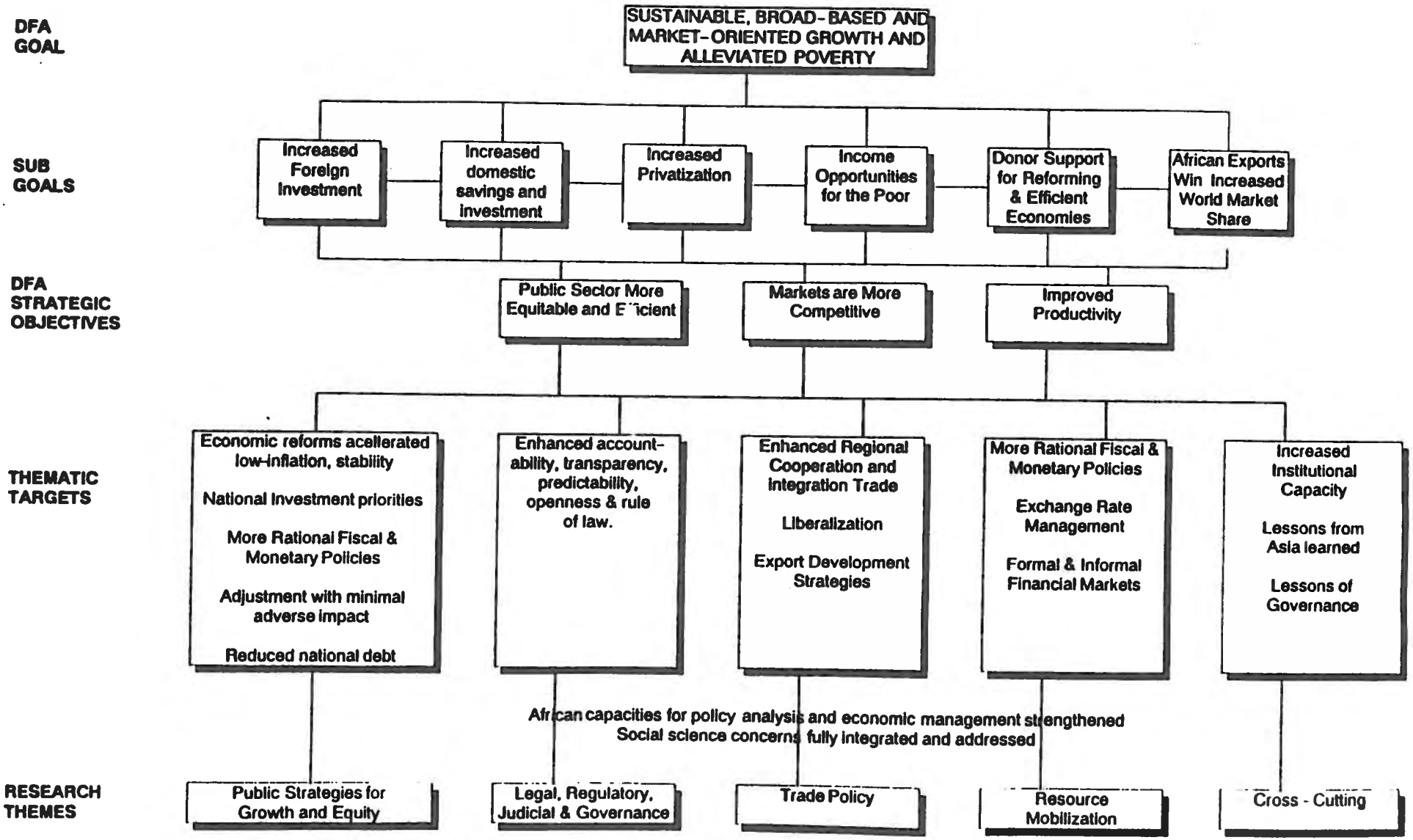
These strategic objectives sequentially contribute to the sub-goals and ultimately the goal of the DFA.

Part of AID's role is to provide both assistance to governments to help them fulfill their functions (principally those of improving the enabling environment) as well as assistance directly to the private sector. The EAGER project will provide analysis and research which will result in better program and project design, management and implementation in all development sectors. This project will assist Africans and African organizations (public and private), A.I.D. field Missions and the Bureau for Africa, by:

STRATFRM.WK1

Figure II.A.

STRATEGIC FRAMEWORK: EQUITY AND GROWTH THROUGH ECONOMIC RESEARCH



- Identifying, conducting and synthesizing research on critical economic, social, cross-sectoral and cross national issues;

- Advising host countries, field Missions, and other donors on emerging trends and rapidly changing transitions and developments within the sector;

- Helping obtain essential analytical services;

- Disseminating lessons learned in a format that will encourage its utilization in decision making in Africa and in Washington;

- Developing or expanding economic and social information bases;

- Monitoring, evaluating and helping to measure project and program impact;

- Helping establish systems to more effectively measure the impact of development programs.

According to Agency policy, Missions are to use empirical information when making decisions about project design and implementation, program planning and policy design. Participation by host country officials and researchers is essential to ensure that the resulting information is both useful and used. With this and other similar projects, the Agency is allocating resources to support this policy.

2. AID Supported Efforts to Date

Most of AID's assistance to date on improving the enabling environment has come on a country-specific basis related to macro-economic policy changes. The major thrusts of those programs have included:

- Support for private sector associations and lobbying groups

- Privatization

- Promulgation of Investment Codes

- Tax Reform

- Reform of Legal Systems and Adjudication

- Reform of Foreign Exchange Systems

The reforms of these projects and programs have all been supported by extensive (though not necessarily sufficient) social

and economic research and analysis, dissemination and capacity building. And AID already has solid evidence that activities such as those being supported under EAGER are good investments. Good research, effective dissemination and increased African research capacity can and have made a difference. As examples:

- In **The Gambia**, a request from the Minister of Finance to AID lead to the Economic and Financial Policy Analyses (EFPA) project. Started in 1985, EFPA has focussed on policy reform, institutional development and capacity improvement. With EFPA, financial and technical assistance from others in the donor community and the end of the Sahelian Drought, the economy has turned around dramatically. The exchange rate has stabilized, the government has reduced the budget deficit, inflation has declined, business confidence has revived, external arrears have been paid off and the country has accumulated approximately five months coverage of foreign reserves.

- In **Uganda**, AID helped the public and private sectors come together through a workshop to promote private investment and promote exports. The workshop introduced the concepts of strategic management to high level public and private sector participants including ministers, permanent secretaries, business leaders and even the President of Uganda. By the end of the workshop a number of critical policy changes had been agreed to and mechanisms had been put in place to provide follow-up and leadership.

- **Tanzanian** officials from the Ministry of Finance and the Central Bank, returning from a 1989 debt conversion workshop in Abidjan, initiated discussions with AID concerning technical assistance for debt conversion. With the technical assistance, Tanzania developed a program to use $800 million in debt proceeds for export-oriented projects, developed its computer data bank to identify and verify debt conversion, and identified the need for a broader financial sector reform program.

- In **Cameroon**, market woman Elizabeth Ntuchu struggled to balance her domestic responsibilities with those of a business woman. Traditional resistance to providing business credit to women restricted her inventory and prevented her from expanding her production. Through an AID supported credit union for small and micro-enterprises, she obtained credit, moved from the cramped market stall to a new, modern workshop and created employment for 22 workers who would otherwise not have full-time wage labor. Like virtually all others in the program, she has since repaid the loan. This type of experience is helping to change

attitudes and practices towards borrowers for small and micro-enterprises in the country.

- In **Kenya**, a 1991 AID sponsored study of micro-enterprise credit determined that overall improvement in the financial performance of assisted enterprises was impressive; that loans typically had a greater impact in the urban areas; and that regulatory constraints had a negative impact on clients' business operations.

- In **Mali**, as a result of liberalization and changes in the legal, regulatory and judicial environment fed by policy reform support:
  a) The number of new firms obtaining licenses in the Bamako business district increased by 26% in 1992, largely as a response to AID's support of simplified registration requirements and revisions in the Investment, Commercial and Labor codes;
  b) The number of traders participating in grain marketing increased from 30 in 1991 to 105 in 1992; and
  c) Private traders in the Haute Vallee region transported all of the cotton produced in 1991, resulting in 58% savings in transport costs over 1988.

- Extensive research conducted by Cornell University has been called "the largest body of high quality, quantitative research on African economies produced by any institution in the world." It has presented and supported empirically, a highly plausible set of hypotheses suggesting that the poor have not, in general been adversely affected by structural adjustment. If this work can now be effectively communicated to decision makers, it could encourage many more African countries to participate in structural adjustment.

AID resources are now largely programmed to 28 African countries, all with economic policy regimes which are either reforming, were reforming in the recent past, or are fully reformed. As a result, between 1988 and 1991 GDP and export volumes in those countries have both grown at rates more than double those of other African countries. In those same countries, budget deficits as a percentage of GDP are less than half those of other African countries.

As described below, EAGER will replace four existing projects. In addition, similar projects have recently been initiated within AFR/ARTS. From the experience to date with those projects as well as the conclusions of the few projects which have been formally evaluated, several commonalities have emerged:

- There is a trade off between capacity building and research production rates and few projects have focused on the capacity building aspects of research. The economic and social sciences networks of Africa will continue to need support to improve their staffing and management, the reach and diversification of their member individuals and institutions, their research methods, and the relationships between researchers and decision makers.

- Most U.S. based investigators have been able to remain in the field only a short period of time and are, therefore, not as familiar with major policy issues as Africans and on-site expatriates would be.

- Much more careful thought must be given up front to dissemination strategies which clearly lay out the target clients for the research and the most effective methodologies for reaching them, follow-up and tracking of results. Without effective dissemination little impact can be expected.

- Among the networks, other donors and AID, relatively little cross-sectoral research is being conducted and few dedicated efforts are being undertaken to increase that research.

- There are insufficient mechanisms currently in place to provide quality control in research design, standards and products.

- African participation on major research must be forcefully emphasized for it to be real and substantial.

AFR/ARTS/EA has made a concerted effort to incorporate each of those lessons into the design of EAGER and has specifically fashioned project elements underscoring capacity building, on-site presence, dissemination, cross-sectoral research and African participation.

It should be noted that AID supports capacity building primarily through its contribution to the ten year, multi-donor $100 million African Capacity Building Initiative and the African Capacity Building Foundation. EAGER provides a direct and complementary tie to that capacity building effort.

E. Relationship to Other Donor Activities

Of the large number of donors engaged in Africa, most have directed their investments at specific sectoral problems and programs. Some donors have addressed broader information needs and information systems in Africa, but few have focused specifically on information and analysis covering broad economic

and social science areas. Those other donor activities most appropriate to EAGER are briefly discussed below:

- **The World Bank:** The Bank has produced a "Plan of Action for Statistical Development in Africa" and is beginning to design a program for Statistical Capacity Building in Africa (STATCAP) which, if financed, would seek to "improve the quality of planning and economic management in Africa through better use of statistical data." At the national level, STATCAP would aim to produce three annual statistical outputs: an economic review; a review of social trends; and a review of agriculture, natural resources and the environment.

  The World Bank's Regional Studies Program is their equivalent to the ARTS Analytical Agenda. Within that part of the Program that parallels EAGER's mandate, the Bank's research interests are broadly commensurate with EAGER's focus. Such topics as regional integration, financial innovation, regulation of private sector activity, poverty, and civil service reform all figure prominently.

- **UN Agencies:** Several UN specialized agencies provide assistance and an international framework for statistical system support. Along with the sector specific information activities of several UN agencies, the UNDP (with the World Bank, the African Development Bank and the Social Dimensions of Adjustment Program) - is focusing on timely reporting of social and economic information.

- **Canada:** Through the Information Sciences Division of its International Development Research Centre (directly involved with EAGER), Canada has financed a variety of information-related projects in Africa including support for computer and communications infrastructure, training and capacity building, information networks and associations, information dissemination and research on information feedback and dissemination. These projects are implemented out of IDRC's regional offices in Addis Ababa and Ibadan.

- **The Organization for Economic Cooperation and Development:** While only a fraction of the OECD's research portfolio is allocated to Africa, topics relevant to EAGER include: the feasibility and implementation of adjustment programs, the institutional framework of informal sector development, and public expenditure management.

- **The United Kingdom:** The Overseas Development Administration (ODA) supports a broad spectrum of research activities. Its 1991-1994 Research Programme covers four themes: poverty reduction; human resources development; government, markets

and society (encompassing links between democratization and economic reform, state/society relations, the role of NGOs and public sector reform); and macroeconomic and sectoral policies for private sector development.

- **Networks:** All of the networks being supported by EAGER are also supported by a number of multilateral, bilateral and private foundation donors.

The similarities among the research agendas illustrates that there is some risk of redundancies or conflicts. Accordingly, close collaboration and coordination with these and other similar projects is essential. Besides consulting with other donors as part of the project R&A cycle, EAGER will actively solicit input from donors to allow it to modify its analytical agenda. Coordinating mechanisms are further discussed in Section V., Implementation Plan.

III. DETAILED PROJECT DESCRIPTION

A. Project Goal and Purpose

The project goal is that **African public and private institutions adopt equitable, sustainable economic policies, growth strategies and programs that reflect the local sociocultural realities.** The project goal will be met when:

- More Sub-Saharan African countries are following structural adjustment programs; and
- Public and private sector institutions are deliberately pursuing sustainable, broad-based and market-oriented economic growth strategies.
- Host country, donor and private investment resources are reoriented from poor performing sectors and interventions towards better performers;

The project purpose is that **decision makers in public and private sector institutions of Sub-Saharan Africa increase their use of economic and social research and analysis.** The link between the project goal and purpose assumes that decisions based on sound research and analyses are, in fact, better decisions: that such decision making contributes to more effective strategies, more realistic planning, better programming and use of resources, and improved implementation. It also recognizes that economic strategies, policies and institutions are influenced by many factors besides those addressed directly by this project.

Achievement of the project purpose further assumes that project funded information that reaches decision makers is relevant to their individual countries and is effective and that substantial African participation in all parts of the research and analysis process will increase the utilization of the resulting information.

Key indicators that the purpose of this project has been achieved are:

- **Development strategies, policies, or programs in at least 5 countries have been designed or modified using project-generated analysis.** The modifications may be to governmental, private sector or donor funded strategies, policies or programs. Project products and services might contribute towards any of the Thematic Targets of the Strategic Framework.
- **At least 5 African researchers or research units provide evidence that their work is being used by decision makers.**

This second indicator, not necessarily related to the first, is important because utilization and influence of economic and social research and analysis can be sustained only as indigenous analytical capacity of African institutions.

- **The citing of existing research and analysis by project clients (from African governments and USAIDs, and a range of private sector organizations and associations) in their writing and statements and will increase by 10 percent and project clients will request follow-on research and analysis.** Favorable references about material and additional demand are the best indicators that something is both used and perceived to be useful.

- **There are increased levels of public dialogue and debate concerning socio-economic issues.** Under prior systems of governance, it has been relatively easy for even the most persuasive research and analysis to be suppressed or censored. Getting the information "out there" in the popular media increases the likelihood that it will be influential.

B. Project Components

EAGER will consolidate and replace Africa Bureau centrally-funded economic and social science research projects and activities to strengthen the capacity of African institutions and individuals engaged in economic and social science research. EAGER will fully replace and provide ongoing funding for:

1. The research, economic policy analysis and formulation activities of the **Improving African Economic Analysis Project (698-0520)**, implemented through a grant to the African Economic Research Consortium in Nairobi;

2. The efforts to expand and strengthen a network of economic researchers in Francophone West and Central Africa funded under the **Industrial Policy Sector Incentives Project (698-0535)**, implemented through a grant to the International Development Research Center;

3. The efforts to extend and expand research on the consequences of macro-economic policies on lower income groups in Sub-Saharan Africa under the **Policy Reform and Poverty Project (698-0519)** which has been implemented to date by Cornell University; and

4. The assistance in economic and social science provided through the **African Development Support (ADS) Project (698-0464)**.

EAGER will also support high priority research and analysis not currently falling under one of the above projects for which funds from the African Strategic Studies project or PD&S have historically been utilized.

This Project Paper organizes project outputs into three components. They are:

- **Research and analysis** conducted on economic and social topics relevant to ongoing African and A.I.D. development programs. The term research and analysis covers economic, social and cross-sectoral studies as well as impact assessments and syntheses.

- **Capacity building** through economic and social science networks, collaborative research and limited skills development activities.

- Timely and effective **dissemination** of research findings and information to project clients.

Though these components are discussed separately below, it must be stressed that these three components are fully integrated and mutually reinforcing. The research and analysis strengthens capacity building. Capacity building strengthens research, analysis and dissemination. And dissemination will depend heavily on the networks and is critical to both research and capacity building.

1. Research and Analyses

The project will support a major research and analysis component to increase and strengthen the base of knowledge and experience regarding economic and social development in SSA. Most core-funded activities will be Africa-wide or regional in focus. Mission or REDSO-funded activities will address more specific national or sub-regional concerns. The research and analyses may be of short or long-term duration and will contribute to such products as:

- Specific "cutting-edge" analytical studies;

- Economic and social components of sectoral assessments;

- Policy dialogue and reform;

- Strategic frameworks;

- Country Program Strategy Plans (CPSPs);

- Assessment of Program Impact (API) reports;

- The Development Fund for Africa Report; and

- Designs/evaluations of innovative or broad interest.

The primary questions these analyses will endeavor to answer are:

- What are the priority economic and social trends and issues?

- What works, what doesn't and why? and,

- What are the impacts of past and current activities and how are they best measured?

The work will help to increase understanding of the economic and social development process and help inform strategic choices by various host-country entities, A.I.D. field offices, the Africa Bureau and other donors. Increased understanding of specific research questions in these areas will have immediate application to strategic and policy issues currently facing African governments and affecting mission programming. Examples of practical applications of information to be generated under EAGER are presented below:

- By better understanding the dynamics of urban poverty and the role of the informal sector, governments will be able to more effectively harness and build upon the spirited informal economy to accelerate growth.

- By better understanding the economic significance of contracts and the protection of property rights, African countries will be encouraged to make reforms to attract foreign (and domestic) investment.

- By better understanding export development, African countries and international donors should be able to determine how they should support it as a means of accelerating the transfer of technology?

- While development experts treat decentralization of government as an article of faith, before there can be confidence in recommendations to allocate resources at different levels of government, there needs to be a better understanding of what works and why.

- African governments (and USAID Missions) need to better understand the constraints to achieving economically beneficial regional integration before embarking on that course.

- Finally, we need to look systematically at African experience to determine how political liberalization affects economic policy making and growth.

The most significant of these analyses is expected to be the second phase of the policy reform and poverty studies which have been conducted through the Policy Reform and Poverty Project (698-0519). Building upon the work of the past five years, the effort would evolve from the relationship between adjustment and poverty to the relationship between alternative growth strategies and poverty. In essence, the work will concentrate upon one basic question: how can African economies foster rapid economic growth that will improve the well-being of the poor, while preserving the hard-won advances of the past decade of policy reform?

In total, specific outputs of the research component are expected to include: growth and equity research; approximately 10 additional major core-funded syntheses, studies and evaluations of regional significance; approximately 100 research projects produced through grants to organizations supporting African research networks; and 4-6 major country-specific studies. While many of the products emanating from the small grants will have value and merit, the primary objective of those grants is capacity building and that activity is further discussed below. In addition, a total of approximately 20 sub-regional and country-specific studies will be assisted by REDSO and Mission-funded resident advisors. Moreover, the research products should show improved quality and improved technical and methodological characteristics which are appropriate to the target audience.

The initial EAGER research agenda consists of five broad themes and a number of sub-themes against which the project's resources are focussed. All major research contracts and agreements, as well as the research grants for African researchers described in the capacity building section in Annex D, will fall under themes listed in the Analytical Agenda.

The design team conducted interviews with African researchers, donor, and AID Mission personnel during the team's field visits to Senegal, Côte d'Ivoire, Ghana, Kenya, and Zimbabwe. Additional donor organizations were also visited in Paris and London. U.S. researchers were consulted mainly through structured phone interviews. A total of 102 people from all these sources were interviewed as part of the design process. A complete tabulation of the design team's survey results appears in the "Options Report" prepared for ARTS/EA. A list of persons interviewed appears in Annex G.

Incorporating the input of all the above sources, the design team and ARTS/EA have selected five broad themes for the initial EAGER analytical agenda on the basis of:

- their congruence with Development Fund for Africa Strategic objectives;

- their potential to produce results that will be of practical assistance to (1) African policy makers in designing economic policy and (2) USAID officials in designing programs and country strategies; and

- the expressed interests of the African and U.S. researchers, policy makers and donors consulted during the project design.

The five themes are:

- Public Strategies for Promoting Growth and Equity;

- The Legal, Regulatory and Judicial Framework to Private Enterprise;

- Trade Regimes and Growth;

- Resource Mobilization;

- Cross-Cutting Themes.[1]

Adopting a true demand-driven approach to research necessitates setting a periodic peer review process by which the EAGER analytical agenda will be evaluated. This review process will be guided by a group of African research directors, policy analysts, and academics as well as selected other donors and American and American academics who will provide, to the Dissemination Contractor, input into the analytical agenda. This group will be composed of both economists and social scientists and it will provide the ground-truthing necessary to be sure that the analytical agenda stays focussed on issues of policy concern to Africa. The group will meet once a year in Washington.

ARTS/EA and EAGER Washington based personnel, will contribute to the definition of the analytical agenda themes by reviewing the analytic sections of CPSPs and other selected documents from A.I.D. and other organizations that address the question of research priorities and economic analysis information needs. Missions and REDSOs will be encouraged to submit well-considered reports or issues papers to Washington reflecting their thoughts on priority areas. "Well-considered" means that missions will need to demonstrate that they have consulted local decision makers and researchers and that mission priorities are also important for their African counterparts in government and the private sector. AID Mission economists will also be active

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[1]Project activities in the democracy/governance areas will only be those acceptable for DFA funding in accordance with GC guidance on the matter, absent use of Section 116e authority with State Department consultation.

participants in EAGER dissemination workshops and conferences, which will constitute another forum for integrating their input into the theme setting process. In addition, by virtue of their close links to African researchers, the two EAGER capacity building specialists in Dakar and Harare will also be counted on to communicate the interests of the Africans with whom they will be in daily contact. Even more importantly, they will help establish continuous lines of communication between these researchers and EAGER Washington-based staff.

The theme definition process will respect a certain logical sequencing of tasks. Guided by the directions set by the African and other donor interaction with the Dissemination Contractor, three steps will be involved:

Evaluation and definition of major thematic areas. EAGER and ARTS/EA staff will begin the research and analysis cycle with a systematic questioning and open-ended evaluation of the main EAGER thematic areas. Initially thus, they will consider the five themes discussed above. The goal of this reflection will be to ensure that the broad EAGER themes are relevant to practical policy-related questions as well as to evaluate other possible themes.

Development of long-term and short-term questions. As broad thematic areas become clear, EAGER and ARTS/EA staff will develop a specific set of research questions under each retained theme to guide subsequent analytical agenda review. These questions will be organized into those that can be realistically be answered in the short-term and those that can only be answered in the long-term.

Sub-theme definition. Building on the results of the previous steps, ARTS/EA personnel will take both the long and short term questions and seek to group them into logical sub-themes that can form the basis of actual research activities.

Incorporating input from the African review group into the EAGER research process on an on-going basis, will build the desired flexibility into the analytical agenda. This will be crucial in assuring that:

- especially promising new sub-themes can be added, even if they were not included in the initial analytical agenda; and
- ARTS/EA will receive vital outside feedback on EAGER research priorities so it can have independent verification of its research priorities.

Table III.A. presents an indicative list of the five themes and the initial analytical activities to be examined in each. Both the process and the Agenda itself will be revised as project implementation advances. Similarly, the results of one year's Agenda feed into the formulation of succeeding Agendas.

A more complete discussion of the Analytical Agenda is presented in the Technical Analysis, Annex D. and in the Implementation Plan (Part V.).

EAGER Analytical Themes and Initial Activities **Table III.A**

.... ANALYTICAL THEMES	ACTIVITIES
1. **Public Strategies for Growth and Equity**	± The growth and equity implications of adjustment ± Fiscal, monetary and exchange rate policies ± Strategies for increasing competitiveness ± The role of the informal sector in economic growth ± Equity and human capital investment
2. **Legal, Regulatory and Judicial**	± Determining the role of the state in providing services and regulating private sector markets ± Privatization of state owned enterprises ± Laws and legal institutions ± Decentralization
3. **Trade Regimes and Growth**	± Strategies for non-traditional export growth ± Economic integration
4. **Resource Mobilization**	± Public sector resource mobilization ± Formal financial markets ± Informal financial intermediation
5. **Cross-cutting**	± The political economy of reform ± Information utilization ± Governance and political liberalization ± Lessons to be learned from the Asian experience ± Capacity building

2. Capacity Building

Through this component, EAGER seeks to directly strengthen African capacity for identification, design, implementation and dissemination of economic and social research and analysis. Strengthening is intended to mean improvements in quantity, quality, collaboration and communication. Capacity building is viewed as a complex and long-term process essential to the sustainability and impact of research and analysis. EAGER funded activities are necessary to the process, but clearly insufficient without the complementary support of the ACBF, other donor programs and, most importantly, the commitment of African governments and institutions themselves. EAGER's contributions will take three forms: support to research networks, collaborative research and limited skills development activities.

a. Support to Research Networks

As discussed in the technical analysis, capacity building through support to the research networks has a number of particular advantages. Networks make efficient use of both financial and technical resources; link funding with performance; link dispersed researchers and create a common analytical framework; provide training in all phases of the research cycle; and reach researchers who do not usually benefit from outside funding. Rather than creating new organizations or institutions, EAGER will work with existing organizations which have already demonstrated their capability to work with research networks and/or to reach policy makers with economic and social research and analysis. EAGER will support the following organizations with network supporting activities:

1) The African Economic Research Consortium (AERC), based in Nairobi, has as its mission to strengthen the quality of macro-economic policy analysis related to reform programs in Africa. AERC's focus corresponds totally with EAGER's approach in that AERC tries to strengthen the link between economists and policy makers and also believes that research and analysis done by Africans themselves will increase the chances that such research will actually influence decisions.

2) The International Development Research Centre (IDRC), acting through networks of economic and social science researchers, covers a wide range of economic topics of interest to EAGER. IDRC is particularly strong in Francophone Africa.

3) The International Center for Economic Growth (ICEG) seeks to stimulate policy reform by strengthening its "correspondent institutions" in Sub-Saharan African countries and their ties with decision makers.

The history and existing capabilities of these organizations is discussed in the Institutional and Administrative Analysis, Section VII.C. and Annex F. The basic program to be administered through AERC and IDRC will include:

- Extension and expansion of **small grants programs** offering research grants of less than two years duration and costing $2,000 to $15,000 per award. The research grants will be for thesis research in the field or specified thematic research. The recipients may be individuals from academia, the public sector, non-governmental organizations, the for-profit private sector, associations and journalism. While grant administration will be performed by the individual networks, topics will be complementary to the EAGER Analytical Agenda and based on criteria approved by AID. The administering organizations also provide the researchers with technical support.

- **Conferences and workshops** will help strengthen systems of peer review and research methodologies, help disseminate research findings, provide a forum for the discussion of policy issues, and help to set priorities for future analytical agendas.

- The most significant research findings will be edited and prepared for **publication and dissemination** either through the networks own systems or through outside journals.

- Some funding will also finance limited support for short-term advisory services, communications and essential equipment.

b. **Collaborative Research**

The major project funded research and analysis will also leverage and affect not only the areas of research which African organizations and individuals examine, but also the way they do research. The project will mandate that American partners for all major research establish collaborative relationships with African researchers and organizations, either in the private sector or with the universities or government policy units. Further, all major contracts will require collaboration with Historically Black Colleges and Universities (HBCUs) and/or U.S. disadvantaged/minority owned firms. The contracts or cooperative agreements will also stipulate that the African researchers and organizations actually perform a significant portion of the work, at least 25 percent. This implementation approach is intended to strengthen African involvement in the research as well as the accountability and productivity of the research organizations in Africa.

In addition, on some small grants research, the African research networks will help to forge collaborative linkages with other African researchers or American researchers interested in the same research topics.

c. **Skills Development**

The AERC has helped to establish a **collaborative or joint masters of economics programs** which operates in Anglophone Africa and is developing one for Nigeria (as a special case). In Francophone Africa, the African Conference of Economic Training, Research and Management Institutions (CIEREA) is developing a similar program. The AERC and CIEREA approach builds upon the comparative advantages of a consortium of African universities to provide better degree training than would be possible through any single institution. The program assures that all students complete certain core courses from solid institutions, chose elective courses taught by teams of teachers from participating faculties and expatriate professors and have their theses supervised by faculty partners from two participating universities. The program not only results in better training for the graduate students, but also helps to upgrade the teaching, advisory and supervision skills of the participating faculty. Further, the project will support a limited number of sabbaticals for the staffs of the universities participating in AERC masters programs.

In each of these capacity building efforts, the collaborators will be required to affirmatively identify and work with women and representatives of other disadvantaged groups.

Based on the above activities, specific outputs anticipated for the capacity building component are:

- Three organizations are supporting networks of African researchers with research grants, peer review, training, technical support and communication support to African economists and social scientists.

- All project sponsored research will undergo peer review and research assessment.

- Two collaborative masters programs will be in place and will have produced approximately 100 degrees. Forty-eight or approximately half of these will have been EAGER funded.

- Collaborative U.S/African institutional arrangements will have been developed for the major project-funded research and analyses.

- African economists and social scientists perform a substantial portion of the work of major EAGER-funded research and analyses.

- Evidence of substantial African and USAID/REDSO participation in all agenda-setting cycles.

3. Dissemination

The potential audience for EAGER research and economic and social research in general is large and diverse, requiring different dissemination techniques to reach these disparate groups. Therefore, effective dissemination of project-generated information is an output critical to achieving the project purpose.

As further described in the Technical Analysis, experience to date demonstrates that effective dissemination that is understood and utilized by client decision makers usually involves: an accurate assessment of information needs; reasonable participation and awareness of the research underway; information that is presented simply and clearly, particularly for non-technical audiences; the testing of dissemination materials and approaches on small groups before they are disseminated broadly; and repeating the same message in a variety of ways. In addition to being more effective, such dissemination is also more sustainable.

The dissemination plan (involving the above elements) will be an integral part of the research design process for all major activities supported by EAGER, and not merely as something that begins once research is completed. As specific research topics are identified by EAGER and ARTS/EA staff, contractors and those responsible for implementing the research will be required to address three major questions:

- What are the potential uses of information generated through the research?

- Who is(are) the target audience(s)?

- How can they be reached most effectively?

These questions will help shape the research methodology, timing and output as well as the format and language of the products. As part of the EAGER research design process, African policy makers, EAGER staff in the field and in Washington, as well as participating AID missions, will identify groups having an interest in the results of specific EAGER research proposals. They will also attempt to delineate what dissemination activities are likely to be most successful in reaching the target audience

and tailor the research design so as to ensure that the end product will be in an appropriate form.

The project will support a variety of dissemination methods, including the following:

a. **A Dissemination and Technical Support Contract** to assist most major research collaborators and some small grant researchers with:

- Development, maintenance and utilization of targeted mailing lists;

- The dissemination of publications including books, monographs, and country studies produced by both developed and developing country researchers.

- Dissemination techniques, helping researchers tailor their research products so that they are effective in reaching policy makers.

- Workshops and conferences bringing together researchers from correspondent institutes, U.S. academics, officials from international organizations and policy makers.

- Expert/author study tours by primary investigators whose work has been supported by EAGER or by outside researchers whose message is germane to the EAGER objectives. An example of this might be experts on economic development in Asia spreading lessons learned around Africa.

- Other dissemination activities might include translations; support of focus groups to test the methodology used to disseminate major studies; visual materials such as videos, teleconferencing and films; "InterNet," "bulletin boards" or other creative computer software packages; newsletters such as ARTS Abstracts; "social marketing" techniques such as those used for the AID POPCOM and HEALTHCOM projects; and CD/Rom and other data base systems.

- Tracking dissemination and measuring its use and impact.

This contract may be undertaken in collaboration with the International Center for Economic Growth (ICEG). Through its 45 "Correspondent Institutes" in Africa and targeted mailing lists, ICEG disseminates research to both academic research centers and government policy analysis units. Under EAGER, ICEG will expand these relationships to include non-governmental organizations, other private sector organizations, interest groups and journalist and media personnel. Dissemination of the printed word is ICEG's comparative advantage. They also conduct

workshops and other dissemination related activities through their networks.

b. **A few major research activities**, such as the activities currently being carried by Cornell University, may be responsible for some of their own dissemination, perhaps in cooperation with the dissemination contractor. These major collaborators will handle target group identification, development of dissemination strategies, repackaging of results, publication, distribution, press releases, workshops, etc.

The specific outputs anticipated from the dissemination component of this project are:

- Specific dissemination strategies will be built into each major analytical activity from the outset.
- Theme or discipline specific mailing lists will be developed and used for dissemination throughout Sub-Saharan Africa.
- Approximately 30 complete studies or adaptations will appear in journals widely read by African socio-economic researchers.
- Approximately 30 studies/reports will be repackaged and distributed that conceptualize and present findings simply and concisely for African and U.S. decision makers.
- Approximately 6 author/experts will each make presentations in approximately 3 countries.
- Approximately 80-100 African journalists and legislators will attend economic fundamentals workshops.
- Approximately 15 project-funded studies will be picked up in popular media of at least 5 SSA countries.
- Approximately 5 innovative communications and dissemination techniques will be tested/utilized (e.g., mass media, consultative meetings, teleconferences, etc.).
- Approximately 10 regional workshops and 4 African-wide conferences will held to review the findings of major research and to promote information utilization.

C. Project Inputs

The needed project inputs are: 1) technical expertise in the design and conduct of research and analysis; and 2) support systems to manage the Analytical Agenda process of identifying,

conducting, reviewing and disseminating the research and analysis.

1. Technical Expertise

a. Major Research Collaborators

Most of the actual research and analysis will be carried out through competitively awarded cooperative agreements and contracts. EAGER will require that proposers include African institutions and researchers and Historically Black Colleges and Universities or minority owned U.S. firms and that these institutions and organizations actually perform a significant portion (say at least 25 percent) of the work.

b. Buy-ins or OYB Transfers to Centrally Funded Projects

A second principal source of technical expertise will be contractors and grantees working under various existing cooperative agreements and IQCs. Table III.B. identifies relevant existing projects and various IQCs which might be tapped for research in EAGER's five thematic areas. Collaborators on such buy-ins will also be required to work closely with African organizations, HBCUs and minority-owned firms.

c. Long-Term Advisors

A third source of technical expertise will be long-term advisors located in several African regional offices and in Washington. These advisors will be critical links between ART/EA or AID field offices and the project clients. The advisors will provide multiple and essential inputs for research synthesis, dissemination, monitoring and quality control, and field inputs and feedback. Initially, each advisor selected will have expertise exceptionally suitable for either one of the four economic themes or the cross-cutting and emerging social science agenda. As the Project approaches its third year of implementation, for example, the new Analytical Agenda may require a different array of technical specialists from those listed below. The core-funded Washington based advisors, who will work closely with ARTS/EA staff, will be housed in project offices with other program-funded ARTS staff from similar analytical support projects. Field based advisors funded through buy-ins or OYB transfers will be located where their jobs require. Table III.C. identifies the positions proposed for funding under EAGER with both core and field office monies.

2. Support Systems

Technical expertise will be supported through existing administrative support contracts for office space, furnishings

and equipment, operations and maintenance and secretarial services.

Table III.B.

MAJOR ANALYTICAL RESOURCES FROM THE R&D BUREAU

PROJECT NAME & NUMBER	*OBJECTIVES*	*PACD*	*CA OR CTRCT (C)*	*REMAIN G BUY-IN ($000)*
R&D - Office of Economic and Institutional Development				
Implementing Policy Change (IPC), 936-5451	*To support LDC organizations in designing management strategies for policy change, and in managing the process of implementation.*	*12/31/96*	*C*	*No real ceiling*
Systems Approach to Regional Income and Sustainable Resource Assistance (SARSA II) 936-5452	*Analyzes and promotes the integration of rural regions, including both rural and urban areas, into more efficient and equitable economic markets. It also focuses on the role of regional economics in the establishment, management and maintenance of sustainable natural resource systems.*	*12/31/95*	*CA*	*2,200*
Financial Resources Management (FIRM) 936-5450	*To increase knowledge about the role and use of financial resources and to improve the management of such resources, particularly in the rural and agricultural sectors of LDCs. Project focuses on informal financial markets; viability and operation of rural financial institutions; and policy framework and financial market regulation and supervision.*	*12/31/98*	*CA*	*3,200*
Access to Land, Water and Other Natural Resources II (ACCESS II) 936-5453	*To improve understanding of the relationships between resource tenure and sustainable growth. Focus on land markets and transactions; tenure in natural resources management and institutional and structural dimensions of tenure change. Also tenure security and impact of tenure on women.*	*12/31/98*	*CA*	*8,100*
Macro and International Economic Analysis (MIEA) IQCs	*Short-term advisory services in macroeconomics, balance of payments, international trade, international economics, public-private sector mix plus help with donor and host-country coordination in these areas*	*12/31/95*	*C x 3*	*3,000 each*

PRE - Office of Small, Micro and Informal Enterprise				
Consulting Assistance for Economic Reform (CAER)	*Provides access to a broad range of economists and other social scientists to help developing nations design, implement, monitor and evaluate economic policy reforms.*	*6/30/94*	*C*	*1,300*
Growth & Equity through Microenterprise Investments and Institutions (GEMINI) 936-5448	*Improve AID supported small and informal enterprise programs by providing expert technical services and through publications and seminars.*	*9/30/94*	*C*	*No real ceiling*
Institutional Reform and the Informal Sector (IRIS) 940-0015	*To change institutions (laws, regulations and decision-making processes) which impede economic development, and to increase the understanding of the roles of institutions in the development process.*	*9/30/95*	*C*	*15,000*

Table III.C.

LONG-TERM ADVISORS

POSITION	P.Y.	ACTIVITIES	LOCATION
Micro-Economist	5.0	State role in private markets; privatization; informal financial intermediation	DC & Africa-wide
International Trade/LRJ Economist	5.0	Competitiveness; legal systems for business; non-traditional export, economic integration	DC & Africa-wide
Labor/Informal Sector Economist	5.0	Adjustment & poverty; informal sector issues, human capital formation, information utilization	DC & Africa-wide
Macro-economist Political-economist	5.0	Adjustment & poverty; fiscal, monetary & exchange rate policies; public sector resource mobilization; formal financial markets; political economy	DC & Africa-wide
Social Scientist	4.0	Decentralization; capacity building; governance & political liberalization; lessons from Asia	DC & Africa-wide
Women in Development	4.0	Integration of women's issues in development	DC & Africa-wide
Economist	4.0	Donor Coordination, e.g., Special Program of Assis't for Africa, debt issues	DC & Africa-wide
Research/Capacity Building Specialist	3.0	Technical guidance and monitoring of capacity building activities of the African Capacity Building Foundation; African inputs on Agenda	Harare
Research/Capacity Building Specialist	5.0	Technical guidance and monitoring of capacity building activities in WCA; African inputs on Agenda	Dakar - WCA
Financial Sector Economist	5.0	Technical support and analysis for improving formal and informal financial systems in the region.	REDSO/ESA
Program Impact Advisor	5.0	Technical support and analysis regarding empirical evaluation of impact and effectiveness of development interventions.	REDSO/ESA
Regional Behavioral Science Advisor	5.0	Technical support and analysis of the socio-economic, cultural and institutional aspects of development in the region.	REDSO/ESA

POSITION	PY	ACTIVITIES	LOCATION
Social Scientist	5.0	TO BE DEVELOPED	REDSO/WCA
Macro-Economist	5.0	TO BE DEVELOPED	REDSO/WCA
Regional Transport Advisor	5.0	Provide technical support and strengthen the analytical base for decision making in Southern Africa.	Harare - SA

V. IMPLEMENTATION PLAN

A. Project Structure, Roles and Responsibilities

Successful implementation of EAGER requires that careful attention be given to a wide range of related technical areas and to activities in several African countries simultaneously. These demands and the innovative nature of the project have dictated a decentralized implementation approach using expertise from a variety of sources. At the same time, overall project management and accountability needs require central oversight, regular project reviews and strong communications and coordination.

Figure V.A. illustrates the management structure for the project. Roles and responsibilities of the major project actors are described below. These actors include ARTS/EA staff, the AID/W Project Committee, REDSOs and USAIDs; EAGER funded advisors in Washington and the field, research collaborators and networks and other project contractors. Solid lines in the figure represent primary linkages while dotted lines denote secondary linkages where less frequent or less direct contact and collaboration is expected.

1. AID Project Management

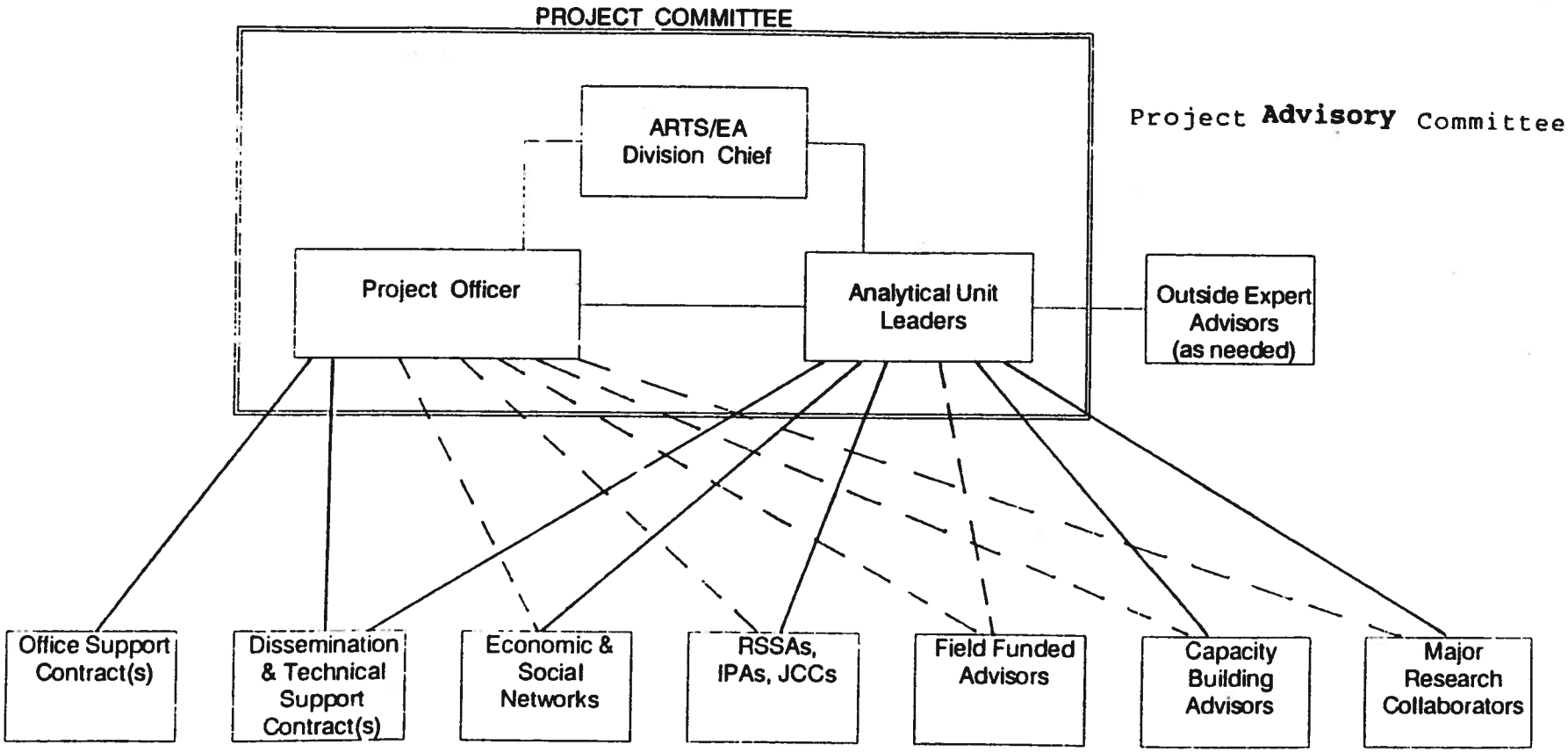
Primary responsibility for project management and technical direction will rest with the Economic Analysis Division of the Bureau for Africa, Office of Analysis, Research and Technical Support (AFR/ARTS/EA).

a. The ARTS/EA Division Chief

The ARTS/EA Division Chief will be responsible for maintaining the overall integrity of and progress towards the project's goals and objectives, coordinating cross-sectoral research with other ARTS divisions, and assigning ARTS/EA staff to appropriate research and coordination functions. The Division Chief will be responsible for the strategic management of the project. Management within this context is defined as providing vision, judgement of priorities, leadership, change management, and conflict resolution. He/she will assure that project resources are used according to project objectives. One important function of the Division Chief will be to finalize the Division's Analytical Agenda (including work plans and budgets) proposed for project funding and to negotiate it with the ARTS Director and other ARTS Division Chiefs. The Division Chief is ultimately responsible for assuring that the reports and materials managed by his/her staff are of high quality, conform to agreed upon format and content, and are timely. S/He will also be responsible for approving the monitoring and evaluation plan.

Figure V.A.

EAGER MANAGEMENT STRUCTURE



Specific responsibilities include:

- Ensuring that the Division's Analytical Agenda process adequately coordinates with and incorporates African and AID field inputs and that Africans and African institutions participate actively in all project activities;

- Providing guidance to other ARTS/EA staff as necessary on use and management of project resources;

- Calling project meetings whenever necessary (but at least twice each year) to monitor progress and to resolve implementation issues;

- Assuring that adequate importance is placed on cross-cutting themes and that reasonable progress in those areas is maintained; and

- Facilitating coordination with other divisions of ARTS, other offices of the Bureau for Africa, the R&D Bureau, other A.I.D. offices participating in EAGER analytical activities.

b. EAGER Project Officer

In assuring that the EAGER Project is on-track in meeting its objectives, the Division Chief will be assisted by a direct-hire Project Officer. The Project Officer will report directly to the Division Chief and work closely with other ARTS/EA staff in charge of EAGER's analytical theme areas. This person will have primary responsibility for operational and administrative functions necessary for assuring smooth project implementation. These functions will include:

- Ensuring proper financial management of the project, including preparation of project OYBs and allowance requests, verification of timely reporting of expenditures, review of rates of expenditure, approval of disbursement of funds for transactions, determination that services and commodities procured were actually received, verification that documentation exists to support expenditures; and administrative approval of vouchers;

- Ensuring that a project monitoring, evaluation, and reporting plan is developed and implemented to track inputs, outputs, and purpose-level indicators;

- Preparing PIO/Ts, RFPs and other documentation as necessary;

- Facilitating coordination with other donor and other AID offices as appropriate;

- Ensuring that the official project files are set up and maintained;

- Assisting the ARTS/EA Division Chief with Analytical Agenda preparation and review (including work plans and budgets), Project Committee meetings, and other responsibilities as needed;

- Overseeing the project's administrative support and dissemination and technical support contracts;

- Ensuring the timely preparation of PIRs and provide other written and oral reports on project implementation status as requested by ARTS and Bureau management;

- Consulting with project funded advisors in Washington and in Africa;

- Otherwise assisting the Division Chief as appropriate to assure attainment of the EAGER project objectives

c. Analytical Units and Unit Leaders

With the ARTS/EA Division Chief and the EAGER Project Officer providing overall coordination, management, and administrative support to the Project, the technical staff within ARTS/EA will be able to dedicate more of tneir time to the technical management of project-funded research and analysis. Each of ARTS/EA's four economists will be responsible for defining and managing one of the "thematic areas" of the research component. Depending on their mix of skills and experience, the direct hire staff may have secondary responsibilities of some activities in other analytical units.

Each research theme will be fully developed by an AFR/ARTS/EA staff member serving as theme coordinator and a Washington-based technical specialist. The Unit Leader will provide overall guidance and management, overseeing project-funded advisors and the related research and analysis of the thematic area. The EAGER-funded advisors will provide the technical direction and vision needed to integrate the activities that address each theme. Within his/her thematic area, the Unit Leaders will:

- Ensure that Africans, African institutions, AID field offices, other donors and other interested parties provide their inputs into the Agenda setting process, more fully described in the Technical Analysis;

- Ensure that Africans, African institutions, HBCUs and minority contractors participate actively in all project activities;

- Ensure the quality control of products produced within that thematic area;

- Ensure appropriate dissemination planning and execution; and

- Otherwise ensure that reasonable progress towards project objectives is made in that thematic area;

One of the unit leaders will also manage the research network and other capacity building activities. As the need arises, unit leaders may coordinate with or be assisted by other AFR/ARTS staff, other EAGER-provided technical personnel, representatives from other ARTS divisions, Africa Bureau offices, R&D, and CDIE, technical specialists from the project collaborators, or recognized experts drawn from universities and multilateral institutions (such as the World Bank, IMF, and African Development Bank). These people will be frequently called upon to play a peer review role in monitoring the planning and execution of analytical activities to ensure the integrity and quality of research products. Such roles may include participating on selection panels for major research activities, helping to refine research designs, reviewing the products of major research or commenting on the proposed analytical agenda.

d. Project Committee

The EAGER Project Committee will be composed of the ARTS/EA Division Chief, the Project Officer, and the ARTS/EA Analytical Unit Leaders. The responsibilities of the Project Committee will be to: provide overall technical coordination for project activities; assure coordination and feedback between the analytic phases; develop, refine, and elaborate on the overall and annual work plans for the project; and review the progress of the research and analysis activities funded under the project.

The dissemination and technical support contractor may assist the Committee to determine the level of effort needed over the two-year planning cycle and to develop time lines, operational guidelines, and monitoring procedures. The Committee will meet on a regular (e.g., bi-monthly) basis to review and resolve project management and implementation issues.

e. Project Advisory Committee

The Advisory Committee will be made up of representatives of the other Africa Bureau offices, AFR/GC and appropriate offices of the R&D Bureau. The Advisory Committee will provide to

AFR/ARTS/EA advice concerning the analytical needs of their offices and the Missions they represent, provide AFR/ARTS/EA with the broad policy perspective of the DFA and the requisite analytical needs, provide suggestions for improving collaboration with the field and with African institutions and scholars, provide advice on dissemination activities, and ensure that AFR/ARTS/EA has access to the broad array of skills, experiences, and points of view represented in the Bureau.

f. AID Field Offices

EAGER will address issues of high priority to African governments, private organizations and AID field Missions. Active USAID and REDSO participation and support is, therefore, crucial to project success. USAIDs and REDSOs, by virtue of their direct and ongoing contacts with African governments, private institutions and individuals, as well as their proximity and multi-country perspective, are in an excellent position to articulate research questions of regional significance that are relevant to the needs of Africans and USAIDs. This is particularly true of those field offices with economists and social scientists on the staff. In addition, they have numerous opportunities to apply the results of the research directly to host country and A.I.D. strategies and project designs -- and to observe the results.

Thus, it is expected that the USAID and REDSO staff most engaged in economics and social science will provide substantial inputs into the Analytical Agenda formulation phase of the project and may participate actively in the capacity building and dissemination phases and assist in overseeing field research. AID field offices will prepare scopes of work for, recruit, contract for and supervise their own PSCs. AFR/ARTS/EA and USAID/REDSO direct hire and project funded personnel will maintain close communications throughout the course of the project to cultivate an optimum level of field involvement.

g. The Research and Development and Private Enterprise Bureaus

Some of the project funded analysis and research (and a portion of the capacity building and dissemination) will be carried out by contractors and collaborators engaged through buy-ins or OYB transfers to R&D and PRE projects. Therefore, under EAGER, ARTS/EA will forge a stronger, more collaborative relationship with the R&D Bureau (particularly the Office of Institutional and Economic Development - R&D/EID) and with the PRE Bureau (particularly the Office of Small, Micro and Informal Enterprise).

The approach will help avoid duplication of effort, limit contractual redundancy, minimize the need for long-term resident technical advisors in Washington, provide the project with flexible contracting mechanisms to meet the changing Analytical Agenda technical focus, and lay the foundation for linking the technical expertise and capacity of the R&D and PRE Bureaus to Africa Bureau policy and program needs.

The project envisions that the two bureaus will participate in all phases of the research and analysis process:

- Participation in the issues identification and agenda-setting processes will strengthen the technical focus of the Analytical Agenda, facilitate lessons learned, decrease redundancy, and identify potential contractual mechanisms for carrying out the research. Although these processes will require time and commitment from all parties, it will provide an opportunity for R&D and PRE to bring their technical knowledge and service delivery expertise to influence policy and programming directions.

- Dissemination strategies developed in conjunction with the major service delivery contractors in R&D and PRE will be one way of getting the research and analysis messages out. As appropriate, the bureaus will be included in planning meetings that develop dissemination strategies for the project and for individual research activities.

The R&D and PRE bureaus will also:

- Ensure that each of their contractors and collaborators performs the work in conformance with the provisions of the individual scopes of work and the broader agreements with AFR/ARTS. They will further assure that Africans, African institutions, HBCUs and minority contractors are involved in the research and analysis being funded under EAGER.

- Manage contracts, grant agreements and financial reporting; and

- Co-manage an annual assessment of performance and impact of activities carried out through their contractors and grantees.

For the Policy Analysis, Research and Technical Support (PARTS) project, a Memorandum of Understanding was signed between the Africa Bureau and the R&D Bureau covering the essential elements of R&D - AFR/ARTS collaboration. A similar document for EAGER is being discussed with the R&D and PRE Bureaus.

Table III.B (Section III.C.) illustrates the R&D and PRE Bureau projects most likely to be tapped under EAGER.

h. A.I.D. Center for Development Information and Evaluation (CDIE)

CDIE will also be an important collaborating partner in project implementation. Like the R&D Bureau, CDIE is expected to participate actively in the process of setting the Analytical Agenda. In this way, CDIE, AFR/ARTS, and the R&D Bureau will be able to share lessons learned and avoid possible duplication of efforts. Specifically, CDIE/DI can provide access to selected technical databases and bibliographic materials to support research and analysis activities and Agency and regional mailing lists for dissemination purposes. Collaboration with CDIE/PPE will be useful for joint planning in the area of AID program-related impact evaluations.

2. Long-Term Technical Advisors

a. Washington-Based

The project-funded **technical advisors** will be selected on the basis of the technical expertise required to develop and carry out specific themes of the Analytical Agenda assigned to ARTS/EA. Since the Agenda will change over time, so too will the technical advisors. The Technical Advisors will provide the intellectual guidance for the identification, planning, implementation and dissemination of research and analysis associated with their respective analytical themes and serve as a critical link to the project's African-based clients. Under the guidance of the relevant direct hire employees, project technical staff will:

- Participate in and conduct research and analyses, primarily syntheses;
- Identify and maintain development links with research networks and other African institutions, AID Mission programs and other donors. In this capacity, they will be important links to project dissemination and channels for field inputs and feedback;
- Review and synthesize results and lessons learned from the various activities undertaken for each Theme; and
- Help African institutions and AID Missions apply research and analysis findings to the designs of their new policies, strategies, programs and projects.

A listing of the seven Washington based technical advisors is found in Section III.C. Guidelines for preparing scope of work for EAGER funded technical assistance and preliminary scopes of work are found in Annex H.

b. Field-Based

The technical advisors assigned to REDSOs and Missions will conduct research and analysis and perform other functions essential to capacity building and the transfer of technical knowledge into African organizations and governments and into USAIDs. They will also be an essential link in the feedback loop identifying research needs and decision-maker information demands. They may conduct workshops and other training activities, assist with sector assessments and impact evaluations, and participate in policy dialogue. Field office requests for specific technical advisors will include detailed scopes of work outlining the substantive tasks each advisor is expected to accomplish. These requests will be reviewed by the project committee in accordance with criteria to be developed and communicated to the field shortly after project authorization.

A listing of the eight field based technical advisors currently proposed is found in Section III.C. Preliminary scopes of work are found in Annex H. The two Research and Capacity Building Specialists will report to the Unit Leader in ARTS/EA responsible for "cross-cutting themes" and to the directors of their relevant networks in Africa. All other field based advisors will be under the supervision of the appropriate AID field office.

Several USAIDs and both REDSOs currently have long-term, program-funded advisors in economics and social sciences who are doing analytical work and applying information and technologies to Mission and host country strategies and projects. These advisors are currently funded under the African Development Support (ADS) project. Many of these positions will need to be continued to achieve EAGER objectives (after their present projects are terminated). In accordance with project criteria, EAGER will provide authority for continued funding of long-term advisors in the field. The USAIDs and REDSOs will identify their specific requirements and request DFA program funds for these advisors in their Annual Budget Submissions (ABS).

3. Contractors and Collaborators

a. Major Research Collaborators

Most major project funded research will be conducted by a collaboration of American universities, institutions and/or firms who have joined forces with African researchers, universities or research institutions, and HBCUs or disadvantaged/minority owned firms. These contractors/collaborators will be responsible for the research design, dissemination strategy (with outside assistance) staffing, implementation, African participation, logistics, financial management, and report preparation. Some few of these groups may also be responsible for their own report

dissemination including printing, mailing, workshops, alternative forms of dissemination, etc. Most of these universities, non-profit and for-profit organizations have an established track record for conducting similar or related research in or about Africa and most have well developed contacts and relationships with African individuals and organizations. Depending on the contracting instrument involved, the contractors/collaborators will either carry out services as directed in a specific scope of work or propose research activities which link their grant/cooperative agreement objectives with the Bureau's Analytical Agenda. As noted above, the contractors and collaborators will be held accountable for African and minority U.S. participation in all aspects of the research work.

b. Associated Capacity Building Organizations

All aspects of the small research grants and the other research activities associated with the networks will be completely managed by the key capacity building organizations, e.g. AERC, IDRC, CODESRIA and ICEG. Whether supporting individuals or networks, the elements include: finalizing the criteria, advertizing, peer review and selection of the grantees; monitoring, follow-up, technical support and review of the research product; and dissemination including printing, mailing, workshops, etc. In addition, the networks will be a principal vehicle for obtaining critical African inputs to the next analytical agenda.

As parts of their own programs, these organizations will also design and carry out all facets of the capacity building component including the collaborative research and technical support associated with the grants programs, and a wide variety of training and supervision activities.

Finally, many of the dissemination and information exchange elements of the project build upon the existing contacts and networks of these organizations.

c. Dissemination and Technical Support Contractor

A single dissemination and technical support contractor will carry out dissemination responsibilities including all aspect of: assisting with dissemination strategies; organizing conferences, workshops and expert/author tours; exploring innovative ways to improve the flow of information to African researchers and decision makers; newsletter publication; and disseminating the printed word. Other roles will include: developing ongoing systems to monitor and help report on all levels of project progress (especially output and purpose levels); providing independent expertise as needed to assist with review of major research proposals, research design and research validity; and

providing short-term technical assistance as may be needed in such areas as support to the networks, project monitoring and evaluation, and promoting African participation.

d. Office Support Contract(s)

EAGER will buy-in to three existing contracts for office space and administrative support. Specifically, these support contracts will:

- Assist in providing administrative backstopping for analytical and research efforts included in the project analytical agenda;
- Upgrade and help maintain the project computers and identify or adapt appropriate software as necessary;
- Provide appropriate office space (including maintenance and utilities) for the Washington based technical advisors and support contract personnel;
- Provide equipment maintenance and service including the local area network (LAN) and other essential office equipment; and
- Provide essential secretarial support.

In addition to the above tasks, all contractors and grantees will be responsible for providing timely reports and documents required under the project. The reports will include life of activity and (as appropriate) annual work plans, monthly financial statements and semi-annual progress reports. The progress reports will lay out the progress to date, compare that progress to the planned achievements during the period, discuss problems encountered and the proposal for dealing with them and highlight actions planned over the next reporting period. Specific guidance regarding the nature, frequency, format, content, and preparation and distribution of reports will be provided in the specific RFP or RFTP.

B. Mechanisms to Ensure African Participation

Elsewhere in the Project Paper, it has been stated that achievement of project objectives requires substantial African participation. Accordingly, a number of mechanisms have been built into the project design to facilitate and ensure participation and to hold all project actors directly accountable for achieving a high level of participation. These mechanisms include:

- **Involvement of Africans in the Setting the Analytical Agenda.** The Dissemination contractor will organize each year a meeting of representatives from African research institutions, academic institutions, policy units and donor agencies involved in economic and social research on African development. Representatives will be provided travel and per diem to assist them in attendance as needed. Members will lend their experience to the Dissemination Contractor for the purpose of providing a relevant focus to the research and dissemination program and avoiding duplication of research effort.

- **Continued use of contractors and collaborators that have already well established linkages with African governmental organizations, NGOs and individuals.** Project agreements and contracts will be with those groups that have established linkages with African institutions and government organizations that can participate in the design and implementation of the research and analysis. The project will have a variety of subcontract relationships with African institutions and researchers for development of proposals, carrying out specific research and analysis, and development and implementation of dissemination strategies.

- **Encouragement of linkages through research networks.** Continued support to selected research networks such as those identified in the Technical Annex will afford a natural entree for feedback and participation.

- **Continued use of workshops and conferences in Africa.** EAGER will sponsor several workshops (and occasional conferences) in Africa to disseminate research findings and listen to local researchers and decision makers. African attendance and participation will be actively pursued during the planning and implementation of all of these workshops and conferences.

- **Activity budgets will include funds for travel, incentives and other expenses of Africans.** All field studies will include participation of African researchers. Additional funds will be included for African travel to participate in workshops and conferences. Moreover, travel funds will be made available for African participation in research networks.

- **A constant and direct review of African participation through the project's monitoring and evaluation plan.** A system to assure this will be built into the M&E plan. The satisfactory performance of ARTS/EA staff, technical advisors, and project-funded contractors and collaborators will, in part, be tied to their success in promoting African

participation. This expected performance will be explicit in scopes of work with collaborators and contractors and the evaluation reports for the Technical Advisors and direct-hire personnel in ARTS/EA.

C. Procurement Plan

Project procurement will be conducted according to procurement guidelines for activities financed under the DFA and general AID procurement regulations. The primary procurement actions planned for the project are: 1) cooperative agreements or contracts for many of the major items on the research agenda; 2) buy-ins to existing contracts and cooperative agreements for other specific research; 3) PSCs for the technical advisors in REDSOs and Missions (perhaps institutional contracts for selected field advisors); 4) private sector contracts, Resource Service Support Agreements (RSSAs), Joint Career Corps (JCCs), Intergovernmental Personnel Agreements (IPAs), or American Academy for the Advancement of Science (AAAS) fellows for Washington-based and selected field advisors; and 5) Minority set-asides or cooperative agreements for the office support and the dissemination and technical support contracts. In specific cases it may be necessary and reasonable to negotiate with a particular organization and justify less than full and open competition.

Each contract and PSC agreement will contain language which excludes designated types of work from being performed. Specifically excluded will be supervisory, internal management or administrative functions, voucher approval, and making final decisions regarding the expenditure of U.S. Government funds. The contractors will make no decisions regarding program direction, priorities, or other activities which are properly the function of AID direct-hire staff.

Activities funded under the project will not be such as to provide direct assistance to countries which are prohibited from receiving Development Assistance, i.e., Brooke, 6209 and 513. Questions will be resolved on a case by case basis in consultation with the RLA or the GC.

Technical services will be procured using the following mechanisms.

1. **Major Research Contracts or Cooperative Agreements.** Most of these will be openly competed utilizing criteria appropriate to the specific research being obtained. Proposals will be sought from U.S. and African universities, research institutions, other non-governmental organizations, private consulting firms, or combinations thereof. In other cases, an existing cooperative agreement may be extended or awarded on a non-competitive basis.

Cooperative Agreements will permit limited substantive involvement from AID.

2. **Buy-ins to Existing AID Contracts or Agreements.** Opportunities to use existing contracts or cooperative agreements have been identified during the process of setting the Analytical Agenda and during project preparation. Several of these mechanisms have already been successfully used by predecessor projects. The research proposals for individual research and analysis activities will confirm the use of specific contracts/agreements and the dollar amounts to be transferred. In most cases, PIO/Ts for buy-ins will include detailed scopes of work and budgets. Should OYB transfers be used, they will be supported by a more general memorandum of understanding. The project is expected to use IQCs. These would be for project evaluations and for short-term research and analysis activities for which there is not an appropriate long-term contractor.

3. **Dissemination and Technical Support Contract.** This contract will be competitively let among the full range of organizations and firms covered by Gray Amendment authority including Historically Black Colleges and Universities (HBCUs) and disadvantaged or minority owned firms. The contractor may sub-contract certain dissemination tasks to the ICEG or other organizations as appropriate. Proposals will be drawn from institutions and firms providing services in quality management, research support, communications and social marketing. For some of the short-term expert advisors, it may be necessary to obtain waivers of AID daily rate ceilings. These would be considered on a case by case basis.

4. **Office Support Contract.** The office space for the Washington-based advisors will be leased through the General Services Administration. Office furnishings, equipment, maintenance and secretarial support will be provided through the existing administrative support contract with AMEX. Phone procurement, maintenance and operation will be obtained separately through the U.S. Department of Agriculture. Upon project approval, a PIO/T with a revised scope of work will be developed for the services that ARTS/EA requires to supplement those currently provided the other offices of ARTS.

5. **Washington-Based Technical Advisors.** Technical Advisors assigned to ARTS/EA will be procured through appropriate mechanisms such as competitive contracts, Resources Support Service Agreements (RSSAs), the American Academy for the Advancement of Science (AAAS) Fellows Program, and IPAs. If specialized technical assistance and analytical work are identified that cannot be provided by the other project-funded mechanisms, RSSA positions will be negotiated. Use of RSSAs is subject to Office of Management and Budget Circular A-76

certification in the corresponding PIO/T. Section III.C. contains an initial list of advisors to be funded under the Project. If ARTS/EA proposes to fund any positions not on this list, a description of the positions and justification will be forwarded to the ARTS Office Director for approval. For the RSSAs, U.S. Government agencies identified as possible sources include the Department of Labor and the Small Business Administration.

6. **REDSO/Mission-Based Technical Advisors.** REDSOs and USAIDs will contract directly for resident technical advisors that are approved by ARTS for funding through buy-ins to EAGER. The Project Committee will develop criteria for the REDSO and Mission technical advisors and review scopes of work submitted by the field. The ARTS Director will have authority to approve positions for REDSO/Mission technical advisors based on the recommendation of the Committee and the concurrence of the Director of the corresponding Geographic Office. It is expected that these services will be procured through PSCs negotiated by the regional contracting officers in the REDSOs and Missions. Guidelines for the use of technical assistance are provided in Annex H.

7. **Research and Capacity Building Specialists.** Options for contracting for and supporting these two specialists are still under discussion. The preferred mode is for the USAIDs in Dakar and Harare to conclude PSCs using project funding. Should that not be possible, they would have to be contracted and supported through joint or separate institutional contracts.

D. Gray Amendment Considerations

In accordance with Agency and Africa Bureau policy, the project will make every possible effort to maximize the use of Gray Amendment firms in providing project technical and implementation support assistance. This will be done in three ways. First, proposers competing for cooperative agreements and/or contracts for major research will be required to have truly collaborative relationships with Africans, African institutions, HBCUs and minority owned U.S. firms. They will further have to assure that a substantial portion of the work (say 25% is carried out by these organizations). Second, since much of the project-funded research and analysis will be undertaken through R&D or PRE Bureau projects, the Africa Bureau will identify and maximize the use of Gray Amendment firms in ongoing grants and contracts. Also, the Africa Bureau will work with the two bureaus to encourage maximum use of disadvantaged or minority firms and/or HBCUs in any new grants or contracts that are developed. Third both the Office Support contract and the Dissemination and

TABLE V.B.

EAGER LOP ACTIVITIES BY QUARTER

Activity	FY 93		FY 94				FY 95				FY 96				FY 97				FY 98				FY 99			
	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Project Authorization			X																							
RFP for Cap. Bldg. Advisors & Dissem. & Tech. Support Conts.**			X																							
**Contracts Awarded				X																						
**Contracts Mobilized					X	X																				
Office Support Contract Amended		X																								
DC-Based Advisors Recruited	X	X	X	X																						
DC-Based Advisors Mobilized		X	X	X	X																					
REDSO/Mission PSCs SOWs Approved	X																									
REDSO/Mission PSCs Recruited		X																								
REDSO/Mission PSCs Mobilized			X																							

Activity	FY 93		FY 94				FY 95				FY 96				FY 97				FY 98				FY 99			
	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
ANALYTICAL AGENDA ACTIVITIES																										
Research Collaborators Grants/CAs Signed		X																								
Mid-Term Review of Analytical Agenda				X				X				X				X				X						
Planning & Inputs for Analytical Agenda			X	X			X	X			X	X			X	X			X	X			X	X		
Modified Agenda Approved					X				X				X				X				X				X	
Implementation of Analytical Agenda		X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	
CAPACITY BUILDING ACTIVITIES																										
Network Support Agreements Signed or Amended		X																								
Work Plans & Budgets Finalized or Revised			X																							
Network research, training & other CB Activities			X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Other?																										

Activity	FY 93		FY 94				FY 95				FY 96				FY 97				FY 98				FY 99			
	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
DISSEMINATION ACTIVITIES																										
Dissemination Program Finalized					X																					
Dissemination						X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
Monitoring and Evaluation Plan Established					X																					
Mid-Term Evaluation												X														
Final Evaluation																								X		
PACD																										X

VI. MONITORING AND EVALUATION PLAN

A. Objectives

Monitoring and evaluation will be conducted over the life of the EAGER project to assure the cooperating implementors conduct their operations within Federal Regulations in an efficient and effective manner and achieve the project purpose. Elements of this plan include;

-- the technical oversight of the economic and social science research,

-- assessment of the procedural and environmental circumstances of program interventions (quality management),

-- contractor and grantee operations, (financial and management tracking),

-- AFR/ARTS and collaborating office operations,

-- project achievements and lessons learned.

B. Responsibility

The AFR/ARTS/EA Project Officer has the primary responsibility for monitoring the progress of this project. Periodically he/she will seek services acquired from independent sources to carry out assessments of the several components of the plan. The Project Officer will be assisted by the Project Committee, which is chaired by the Project Director, and the Dissemination Contractor. As leader of the Project Committee, the Project Director assures that periodic and special technical, administrative and financial reviews of progress and direction of the project are conducted in a timely manner.

The Dissemination Support Contractor is responsible for establishing plans for monitoring the procedural and environmental circumstances of each major research activity. The Contractor designs and maintains the Evaluation Information System (EIS), a data base established to measure and record events associated with the project purpose as the events occur over the life of the project. The Dissemination Contractor shall inform the Project Officer on a continuing basis of circumstances which have a bearing on achievement of the purpose of the project. Based on assessments made by the Contractor, recommendations for appropriate actions bearing on the future of the project will be prepared and sent to the Project Director and Project Committee for consideration.

As appropriate, but at least semiannually, the Project Director will convene a meeting of the EAGER Project Committee to review oversight of the project.

C. Monitoring Baselines

The Technical Support Contractor, under the direction of the AFR/ARTS Project Officer and with participation of each cooperating implementor, will prepare a Project Work Plan at the time of project start-up. The Initial Project Work Plan will integrate the work plans of the major research entities and other contractors and grantees, including Washington-based and AID/W reporting field-based technical advisors. The Contractor will enumerate the objectives of the overall project, short-term and longer term objectives, the planned milestones and means for reaching the objectives. This strategic plan will provide the basis for internal monitoring and scheduling external reviews of the performance of the several cooperating implementors in the project.

The Technical Support Contractor will update the Project Work Plan each year, in response to instructions provided by the Project Director and Project Officer following formal review by the Project Committee of Work Plan Amendments submitted by cooperating implementors of the project.

D. Reporting Requirements

EAGER will have three forms of reports which the Project Committee and the Project Director will use to monitor the project. These cover the technical, administrative and financial issues.

> Quarterly Action Reports: Each cooperating implementor will be responsible for preparation and delivery of biannual action reports that review the past three-months achievements and present plans for the next three months. The report to be issued immediately prior to the tenth calendar month shall be designated the Annual Report and shall, in addition, summarize the events of the past 12 months and all of the preceding periods of the several contract/grants. Individual reports of the cooperators will be submitted directly to AFR/ARTS with copy to the Technical Support Contractor who shall prepare a consolidated Project Report.
>
> The individual and consolidated reports shall summarize the activities, accomplishments and problems experienced in the reporting period, presenting country-specific activities separately according to the work plan strategies selected for their work. Each report will provide information according to a standard funding/expenditure format and distinguish the anticipated and achieved progress in expenditures, pipeline, and vouchered costs. These measurers shall be linked to the planned substantive tasks and planned and expended level of effort.

The Technical Support Contractor's report will address cross-cutting themes of the project purpose, dissemination and capacity building, together the achievement of benchmarks, assessment of events external to the project and any recommendations for adjustments in the Project Work Plan. Quarterly and the Annual Report will summarize staff replacements and changes in duties. Trip reports following a standard format will be appended to Action Reports.

Annual Work Plans: In addition to the fourth-quarter Action Report, each cooperating implementor will prepare a brief Annual Work Plan Amendment. The Annual Plan Amendment will affirm or adjust the anticipated planned achievements under the project agreement according to a standard format, together with a justification and planned annual budget of expenditures. Work Plan Amendments will discuss the scope and magnitude of proposed research and support activities in a manner adequate to permit an experienced specialized research monitor to provide to AFR/ARTS/EA a recommendation concerning the appropriateness of any plan adjustment.

Report On Indicators: At the end of the first full operating year, and each year thereafter, the Dissemination Contractor will prepare a report on the quality management indicators captured in surveys and the sentinel surveillance program established for the EIS. This report will address the following:

-- performance-proficiency in the conduct of services, including capacity-building and dissemination services;

-- the context of the research, including the social and intellectual environment, the availability of resources and prevailing attitudes of clients/beneficiaries to the significance of the work;

-- the perceived utility of the research or services product in the client(s) terms of relevance, including timeliness;

-- the format of the research or services in terms of intelligibility, communication modes and presentation;

-- the perception of quality and completeness.

E. Evaluation Information System (EIS)

During the first six months following the awarding of the Dissemination Contract, the Project Officer, working with the Dissemination Contractor and the Project Committee, will develop a detailed monitoring and evaluation data system to track progress towards achievement of the project purpose and outputs. This system will consist of indicators -- quantitative wherever

possible -- and data collection procedures and responsibilities. An illustrative list of indicators is presented below:

Research and Analysis

Number of research activities conducted in collaboration with (or by) Africans or African institutions.

The character and number of African institutions providing input into the issues identification phase.

The number of research and analysis activities with significant African participation in the design, implementation and dissemination of findings.

The character and number of country/region-specific themes and cross-sectoral themes analyzed, synthesized and assessed for accuracy and relevance of analyses.

The number and character of collaborative African institutional arrangements developed for designing and implementing research and analysis activities.

Capacity Building

The number of collaborating institutions and/or researchers involved in networking activities.

The number of research proposals approved for funding.

The number of senior US researchers collaborating with African researchers.

The number of research activities being refereed by independent mechanisms.

Dissemination

Specific modifications to current information system.

The percent of research proposals identifying specific countries and specific likely information users and containing dissemination strategies.

The number and quality of reports, bulletins, research syntheses which were disseminated. The response to this dissemination.

The number of communications and dissemination techniques utilized (e.g., conferences, workshops mass media, consultative meetings, etc.), and the response to the media strategy in terms of the planned response.

The number of focus groups or other trial audiences used to test techniques, and the predictive quality of testing.

The delay between information request and receipt of appropriate response or study results.

Examples where two-way communication linkages between data collectors, analysts and decision makers have been established and maintained.

The number of requests for EAGER products or research services in which local funds contributions were added to AID resources.

F. Methodology

Overall responsibility for collecting data and interpreting the data into recommendations for practical action will rest with the EAGER Dissemination Contractor. The Project Officer, together with the Project Director and the Project Committee will approve the EIS plan. The final plan will call for a flexible mix of methodologies, including formal periodic evaluations but relying heavily on routine data surveillance and ad hoc assessments. Routine methods of data collection may include; making use of sentinel surveillance volunteers and contractors, mailing questionnaires, aggregating the input of progress reports from grantees and contractors, surveying African scientists and making use of media monitoring institutions in the U.S. and overseas.

The Dissemination Contractor will perform ad hoc country assessments throughout the life of the project to further investigate and possibly develop case studies on information use. These assessments may be assisted by the technical advisors, ARTS/EA, USAIDs, REDSO staff, or external consultants. To the maximum extent possible, they will also involve African personnel.

G. Evaluation Baselines

Beginning in the third year of implementation, and after the fifth year, the Project Committee and the Project Officer will award one or more contracts for the purpose of conducting an evaluation and impact assessment. A.I.D. staff will not participate on the evaluation team. The interim evaluation will assess both the management of project processes and the quality of research and dissemination strategies, and will determine whether the project strategy is working. The interim evaluation will determine whether the principles of prudent project implementation are being followed and whether project objectives are likely to be achieved. This evaluation will be coupled with a non-federal audit of financial review conducted by a CPA firm under Agency IQC arrangements.

Key Questions: Some illustrative questions which may be addressed are the following:

Input Level. Have the support contractors, the collaborating implementors on analysis and research and other implementing entities performed their duties as specified, and are project inputs provided as planned? Have African researchers and institutions played a significant role in implementing the project, including conduct of research and analysis activities? Have inputs from Africans, USAIDs, and other clients been fully incorporated into the agenda-setting and implementation process? Has the design and implementation of field-based research and analysis activities included significant African participation?

Output Level. Has the analytical process and the project activities achieved the planned benchmarks in a timely, professional and effective manner? Is the work relevant, of evident high quality, and are the perceptions of Africans and others appropriate to this achievement? What other areas might be more appropriate? Have end users of the analyses been fully and effectively reached with the information? Are the tools and methods of research understandable and useful to Africans? Are they being tested appropriately in an African context? Does the project approach need to be modified?

Purpose Level. Have the information and products generated through the project been meaningfully used or referenced by African countries as well as USAID and other project clients? Do resident advisors facilitate technology transfer and the utilization of project generated knowledge? Have project outputs contributed to improved economic policies, programs and strategies at the country and regional levels? Is there evidence of African research units (or individual researchers) taking on greater roles in influencing government economic policies and development strategies? How effective have the regional African research institutions been in bringing about the project purpose relative to the investment made in them?

In addition, the following specific cross-cutting themes may be addressed.

Relevance: How can we determine if the project has identified issues that are responsive to the needs of Africans primarily, and other clients, including A.I.D. Missions and Bureau management? Is the skills mix of technical advisors appropriate for assuring relevance?

Participation: Has the project succeeded in involving Africans (particularly women and representatives of diverse ethnic groups) in the issues identification process? Have collaborative linkages formed with African institutions? Is there a system in place (or taking shape) to engage Africans in the research and dissemination phases?

Research and Analysis: Are the research and analysis methods and technologies consistent with the criteria specified in the project paper? Do clients specifically assess the quality and utility of the project's initial research products?

Dissemination: Have a variety of dissemination strategies been identified or implemented? Do the dissemination strategies identify specific clients in Africa who have a need for and are likely to use the research findings?

Management: Has the project developed an information system for tracking project inputs, outputs and impacts? Has AFR/ARTS been able to manage satisfactorily the level of resources provided under the project to date? Has the participation of contractors and other A.I.D. offices in the identification, design and conduct of research activities contributed positively to the quality of project outputs and the efficiency of project implementation?

Impact: Is a favorable climate towards science and African participation in science being engendered? What evidence exists of initial and potential use of project-generated information to mobilize public action and contribute to policy and program decision-making?

Collection of this information will also facilitate a reassessment of priority technical areas. The focus of the plan is on routine and ad hoc information collection provided by project clients rather than intensive periodic evaluations.

The timing of this interim evaluation (year 3) will allow for project revisions as deemed appropriate, including the approval of additional funding, for years four and five of the project. The final evaluation, to take place in the sixth year, will also include managerial and technical assessments and will be used to determine whether a project extension or follow-on is warranted.

H. Project Audits

Procurement and acquisition files will contain copies of a current audit issued by a cognizant auditing agency. An audit or financial assessment will be undertaken under normal contracting and procurement guidelines and procedures by a qualified certified public accounting firm in the third year of the project in conjunction with an interim project evaluation. A decision regarding the requirement and scope of audit services for a close-out audit will be made in the fourth year of project implementation. Approximately $ 150,000 has been budgeted.

I. Peer Review

Peer review is an important mechanism for the qualitative review and management of the research supported by this project. It is intended to: improve the quality of project funded research and ensure objectivity in selecting research entities. For the major research activities, peer review may take place at the time that contract or cooperative agreement proposals are reviewed or it may take the form of expert advisors helping to refine the research design of research entities already selected. Experts may also be called upon to review research projects. Outside experts may be selected from a variety of sources including African and other international authorities at the World Bank or embassies in Washington, university professors or independent research institutions. The dissemination and technical support contractor will handle the logistics of obtaining peer review assistance, but decisions regarding when such assistance is required to supplement the expertise of the direct hire staff and Washington based advisors will rest with the leaders of each analytical unit. Peer review functions for the network support activities will be managed entirely by the implementing entities for capacity building.

VII. SUMMARY PROJECT ANALYSES

A. Technical

The Technical Analysis presented in Annex D covers EAGER activities in the three main project areas: Research and Analysis, Capacity Building and Dissemination. The project's fundamental goal is to produce more and better policy-oriented research that will assist African and USAID policy makers in designing and implementing more equitable growth-oriented economic policies. Improving the quality of African economic policies is crucial since there is little likelihood that the volume of official development assistance flowing to the continent will increase over the next decade. Therefore, "getting more bang for the buck" is essential. EAGER will be the Africa Bureau's main vehicle for generating the new ideas that are vital inputs into this process and for ensuring that these ideas are brought to the attention of the policy makers who can put them to profitable use.

Section I of the Technical Analysis describes the process through which the initial EAGER research agenda was developed, identifies the five major areas it will address, discusses the importance of each theme and lists sub-topics that will form the basis of EAGER research procurement. The five broad themes retained in this initial Analytical Agenda are:

- public strategies for promoting growth and equity;
- the legal, regulatory and judicial (LRJ) framework of private sector activity;
- trade regimes and growth;
- resource mobilization; and
- cross-cutting themes that affect all of the above.

Section I includes a discussion of the EAGER Research and Analysis Cycle--a two year process through which the Analytical Agenda will be submitted to peer review, analyzed by EAGER and ARTS/EA staff, and modified as need be. This cycle is important in building in a desired level of flexibility into the EAGER analytical agenda so that it can respond to changing research priorities which are sure to arise over the project's six year life--thereby assuring that EAGER research remains relevant to the needs of policy makers. It is important to emphasize that continuous input from Africans and USAID Missions will be given during each phase of the Research and Analysis Cycle. This input will come from African and USAID Mission participation in the formal vetting of the Analytical Agenda that will take place during the Program Economist Workshop every two years, as well as from ad hoc consultations with ARTS/EA and EAGER staff. EAGER field personnel, particularly the two Capacity Building Specialists (who will remain in constant daily contact with

African researchers and policy makers), will also serve as important conduits for ensuring that African perspectives are incorporated into EAGER research.

Section II of Annex D explains EAGER's strategy for addressing some of the important constraints to building indigenous policy research capacity. This is an issue of crucial importance to the project since it is necessary to ensure effective "ownership" of research results, which, in turn is a critical factor in bringing EAGER research results to the attention of African policy makers. EAGER's capacity building strategy relies on supporting institutions whose programs have proven to be effective in reinforcing the skills of individual African researchers. EAGER capacity building activities fall into two broad categories: (1) strengthening research networks of African researchers working on themes of relevance to the EAGER analytical agenda, and (2) supporting training activities directed both at policy analysts and other key groups. Specific training activities will include support for:

- the program development of the three regional M.A. programs in economics being developed by the African Economic research Consortium (AERC) and the Conférence des Institutions d'Enseignement et de Recherche Economiques et de Gestion en Afrique (CIEREA);

- research and skills development sabbatical program for African faculty members slated to teach in these three M.A. programs; and

- thesis grants to support doctoral research in Africa by African and American students enrolled in U.S. universities.

Rather than seek to create new capacity building initiatives, EAGER relies on a strategy that seeks to provide resources to existing providers wherever possible. This has the advantage of putting more resources in the hands of the people with the most expertise in fostering the type of collaborative demand-driven research that the EAGER is seeking to support and in minimizing the costs associated with starting new programs from scratch.

The third section of the Technical Analysis delineates EAGER's approach to dissemination. The different audiences for EAGER research are described here, along with some general guidelines for implementing EAGER dissemination activities. EAGER research results will be disseminated in two ways: (1) they will be blended into research contracts so that the original researchers assume responsibility for designing and implementing their own dissemination strategy; or (2) they will be allocated to a separate Dissemination and Technical Support Contractor. A constant theme of this section is the necessity of integrating dissemination planning into the research design of major EAGER research contracts. Innovative and original dissemination activities, no matter how well conceived, will not compensate for

a research design that has given no attention to policy makers' demand for the research.

B. Economic and Financial Analysis

The EAGER Project is focussed on research and capacity-building activities which ultimately are expected to lead to sounder economic policy which in turn will increase GDP growth, improve equity and reduce (or alleviate) poverty. Although the activities may not immediately result in policy changes or reallocation of donor and host country resources to more efficient uses, the ultimate benefits will derive from gains in equity and growth in African countries.

Project impact depends heavily on the use of research findings which are directly produced by Project activities or generated by African researchers and institutions as a result of the capacity-building efforts. Hence, there is a critical assumption that the economic research will be used by policy makers to redesign policies and reallocate donor and host country resources. While there is abundant evidence that policy makers and the policymaking process is influenced by multiple considerations, there is also considerable anecdotal evidence that the availability of relevant, high-quality economic research has been effectively marshalled to support policy reforms in many countries. Moreover, in the course of policy dialogue, key economic findings have been highly influential and instrumental in changing the views of the policy makers and the public. In the section on "AID Supported Efforts to Date," several examples of cases where research and capacity building "made a difference" are cited. (pg.11)

Additionally, there is ample evidence that A.I.D. and the donor community are highly responsive and will utilize economic research findings support changes to adjust donor funding allocations, types of projects funded, and implementation of projects and programs. Thus, it is reasonable to expect that the EAGER Project will be successful in promoting equity and growth through research via policy changes and resource reallocation.

1. Benefits

The bulk of the benefits for the EAGER Project will accrue to Africans in countries which adopt policy changes as a result of economic research activities. These benefits are most likely to occur in countries targeted in the research activities. For illustrative purposes, targeted countries could include Ghana, Kenya, Madagascar, Mozambique, and Tanzania. Additional benefits will derive from the research conducted through Mission buy-ins, capacity-building and dissemination activities, and use of research findings by A.I.D., other donors for an even larger number of Africans across the continent. Finally, direct benefits will accrue to African collaborators in research

activities and participants in the training and capacity-building undertaken in the Project.

Quantifying and estimating the magnitude of the expected benefits are difficult. To the extent that the research leads to increased GDP growth rates in the five countries listed above for illustrative purposes, the benefits will be substantial. Even if the project results in only a modest gain in the GDP growth rate of three-one-hundredths of one percent (.03%) and this gain is sustained for only five years, the present discounted value of the estimated benefits (discounted at a ten percent rate) exceeds $63 million.

At the same time, if the research improves equity and reduces poverty, a large share of the benefits will accrue to the poor and a high proportion of the beneficiaries will be poor people. Although there is no simple way to translate improvements in equity or reduction in poverty into dollar values, it is clear that most societies and African countries place considerable value on achieving equitable growth if only to maintain political stability. One might view acceptance of progressive taxes or commitment to expenditures on programs for the poor as a reflection of this societal value--assuming that the policies derive from a relatively democratic or representative process. Thus, although valuation is difficult, improved equity and poverty reduction resulting from EAGER will also confer additional benefits on Africans by improving the lot of the poor, by meeting a societal "demand" for equity and perhaps by fostering political or social stability.

2. Costs

Costs for EAGER include direct project costs, indirect costs not borne by the project and opportunity costs to resources used in the project. The direct costs are $50 million. These costs will be incurred over a period of six years and the present discounted value amounts to approximately $40 million. (This calculation assumes equal disbursements over the six years and a discount rate of ten percent.) Indirect costs may be experienced by mission involved in buy-ins and by researchers and participants in capacity building activities. For example, the AERC contract will cover only a portion of AERC's total costs. The remaining costs will be funded by other donor organizations. Other indirect costs may be incurred as a result of policy changes or resource shifts. However, any estimate of these costs is highly speculative since it is not possible to forecast the policy changes that may result from the project. Nonetheless, a figure of $5 million can be entered into the calculation purely to recognize that these costs may exist and may not be insignificant.

Finally, the opportunity costs resulting from the project may occur when African researchers, research subjects and policy makers discontinue other activities to contribute time to the research effort or conversion of the research into policy

changes. While the market value of time or going-wage rate is extremely low in African economies, the actual economic opportunity costs are not negligible. There are multiple demands on the time of policy makers and potential research subjects. Again, one can only conjecture as to the magnitude of the actual costs that will be incurred. A figure of $2 million is submitted to recognize that the costs are not unimportant.

Summing up the three categories of costs (direct, indirect and opportunity), the total cost estimate is $47 million. Admittedly, this estimate is highly speculative. There is considerable uncertainty surrounding the indirect and opportunity costs of the actual research undertaken and the resulting policy changes. Unfortunately, the costs of collecting that type of information are likely to be high. Therefore, for the purposes at hand, the above figures are deemed adequate to suggest that some costs in addition to the direct costs will occur.

3. Conclusions

Based on the preceding discussion, it seems likely that the benefits of EAGER will outweigh the costs. Even if the EAGER Project only produces a .03% increase in only five countries, the benefits will exceed $63 million, easily outweighing the direct costs. The project is expected to contribute additional benefits in improved equity and reduced poverty and to stimulate growth in other SSA countries as well.

Finally, it should be mentioned that economic policy reforms have been credited with contributing to growth in many countries. Although there is still debate over the extent of the contribution or the particular types of reforms that are needed, there is a broad consensus both that research can help guide the policy agenda and that policy reforms can improve economic performance. Policy reforms adopted under structural programs have been credited with improving GDP growth performance in many countries. Some estimates for the gains in growth rate range over two percent. While the expectations for impact of EAGER are more modest, it is reasonable to anticipate that benefits will be far greater than costs and that the impact will extend to a large numbers of Africans, particularly the poor.

C. Institutional and Administrative

This Annex profiles the main institutional entities that will be called on to implement project activities. These include ARTS/EA, who will be responsible for overall project management and the four associated capacity building organizations that play key roles in the EAGER capacity building strategy. The roles that each of these institutions will play is briefly detailed below:

- **ARTS/EA.** ARTS/EA staff will be responsible for providing overall project guidance. ARTS/EA provides macroeconomic, microeconomic and financial analyses to support Africa Bureau and mission strategies, impact evaluations and program design. ARTS/EA currently has four direct hire economists, a project officer and a program funded advisor. Under EAGER, ARTS/EA program funded advisors will increase to five as its responsibilities for managing the analytical agenda increase. Due to the moderate start-up pace planned for EAGER, which will allow these newly added advisors to be come familiar with the EAGER project and AID procedures, there should be no institutional impediments to ARTS/EA's ability to implement the project.

- **AERC.** The AERC has amassed significant institutional experience in developing research networks of African researchers since its founding in 1988. The AERC has developed a research cycle incorporating peer review by African and Western economists, continued interaction with outside resource persons and technical support by its Research Coordinator. The AERC maintains a network of contacts with over 40 agencies, universities and research institutes located throughout the continent.

- **IDRC.** Out of its two regional offices in Dakar and Nairobi, the IDRC sponsors networks of African researchers by channeling support through individual African research institutes or scientific organizations. Unlike the AERC, its main purpose is not to deliver small grants itself, but to strengthen the capacity of African institutions to sponsor their own research and administer their own networks. IDRC personnel work with these institutions to help them develop peer review processes and research agendas, while also providing technical support to individual researchers.

- **CODESRIA.** CODESRIA is a Pan-African NGO, operating out of Dakar, which sponsors, provides technical support for and publishes the research of African economists and social scientists. Because of its prestige on the continent as a sponsor of social science research, CODESRIA may be a particularly appropriate candidate to administer an EAGER funded social science research network.

- **ICEG.** The ICEG provides research grants and institutional support to a network of 45 "correspondent institutes" in 22 African countries. ICEG's network is somewhat different from those of the AERC and IDRC. Unlike those institutions, ICEG does not provide extensive on-site technical guidance. Rather, it relies on a committee of international experts to provide written comments on drafts of work that it is sponsoring.

D. Social

As with other regional support projects, a conventional social soundness analysis is generally inappropriate for EAGER, since social, cultural and economic conditions vary widely across the continent. The decisions influenced by the project may have different social or cultural consequences in different countries, regions and groups in those regions. The effects of project-supported information and analysis on individual policies, programs and projects and on specific social groups within those regions, will be examined within the context of the particular activities or studies involved. Analytic guidance and support will be available from the project for examining a variety of socio-cultural questions, especially the "people-level" repercussions. One of the objectives of the project is to support cross-national and cross-sectoral research and analysis. This will enable particular countries and regions to better understand their circumstances and conditions within the setting of the lessons and experience of other countries and regions.

The project design considers the fact that a variety of social factors will both influence project implementation and impact and be affected by project activities. The complete analysis (see Annex E) discusses project beneficiaries and the project's expected impact on them. It briefly describes the process of decision making and emphasizes the importance of end users participating in the project sponsored analytical activities including agenda identification, priority setting, implementation of the research and analysis, and dissemination. Specific concerns of women and other undeserved populations are addressed.

A project-funded full-time social science advisor will work with the social science and Women in Development advisors in AID/W, the REDSOs and the USAIDs to assess the need to address gender in their technical areas and will provide or facilitate assistance on such social science issues as:

- The socio-cultural constraints and potential people-level impact of research activities;
- Improved information dissemination to and communications with women and other disadvantaged groups; and
- Promoting the participation of targeted information users;

E. Environmental

A Categorical Exclusion exempting the EAGER project from the requirements of an Initial Environmental Examination was signed by the Director of AFR/ARTS and by the Bureau Environmental Officer on January 25, 1992.

ANNEX A

PID APPROVAL MEMORANDUM

U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

December 8, 1992

ACTION MEMORANDUM FOR THE DEPUTY ASSISTANT ADMINISTRATOR FOR AFRICA

FROM: AFR/ARTS, for Jerry Wolgin

SUBJECT: Minutes of the Executive Committee Project Review (ECPR) for the Equity and Growth through Economic Research project (698-0546)

Problem: Your approval is required of the minutes recorded herein of the subject meeting as a final condition of approval for the Project Identification Document (PID) for the Equity and Growth through Economic Research project (698-0546). This memorandum will be appended to the PID and serve as a record of the decisions made by the Executive Committee for development of the Project Paper.

Discussion: The closing directive by the Deputy Assistant Administrator (DAA) provided the charge for the next phase of the design, i.e., more explicitly state what the project proposes to do, what it will accomplish in terms of its impact, and what it will cost. With respect to cost, the DAA stated that the original budget level of $30 million is the budget cap for which the project is to be designed. If ARTS wants to establish a level above $30 million for EAGER, ARTS should provide a strong justification for such a level. * (SEE PAGE 6)

Jerry Wolgin began the meeting by discussing the role of the Analysis, Research and Technical Support Office (ARTS) within the Africa Bureau and specifically ARTS' role in pursuing four categories of research: strategic, evaluative, operational, and adaptive. He explained these categories using examples of research which ARTS and its predecessors had sponsored. Strategic research or research which shifts the fundamental paradigm by which we understand phenomena: Research by Cornell University on Adjustment and Poverty shifted our understanding of which groups bore the short-term costs of adjustment policies. Contrary to conventional wisdom, it is not the poorest groups in Africa which bear these costs. Research on food security issues by Michigan State University shifts the paradigm by which we address food issues from a food-crop centered paradigm to one of stability and level of income from multiple sources.

Evaluative research or research which helps us understand what is working and what is not. Jerry cited the review of basic education and the review of rates of return to investment in agricultural research.

Operations research or research which helps us understand how to structure and implement programs. One example is the examination of problems of integrating HIV/AIDS programs and population programs. Another example is the review of monetary management in Africa which influenced or informed the design of the Central Bank portion of Madagascar's country program strategy.

Adaptive research or research which seeks to adapt the lessons of development elsewhere to strategy development in Africa. One example is the review of the use of local currency to establish foundations. A second example is examination of Asia's development success with an eye to how the Asian model might be applied in Africa.

Jerry then introduced the Equity and Growth through Economic Research project (EAGER) as the third in a series of ARTS' research projects which would continue to carry out the four types of research described in his introduction. Jay Smith, AFR/ARTS/EA, provided a brief overview of the project, stressing the importance of the growth and poverty alleviation theme, the puzzle of a weak private investment response to macroeconomic reform, the need to understand the enabling environment issues and, in particular the legal, regulatory and judicial reforms which are needed to improve the enabling environment, and the strong interest expressed by Missions and Geographic Offices in questions of regional economic integration. He went on to point out the capacity building components of the project and describe their link to past efforts.

Jerry Wolgin reminded the ECPR that the primary role of EAGER, as of all ARTS projects, is research. Collaboration with African scholars and institutions is absolutely necessary if that research is to be directed at the right problems and if the results are to influence policy makers. However, except for networks and regional institutions, the proper locus for capacity building is the bilateral programs, and capacity building is a secondary not a primary objective of EAGER.

AFR/DP asked why the African Capacity Building Initiative project (698-0536) had not been integrated into EAGER along with all the other capacity building projects and activities. Jay Smith responded that the African Capacity Building Foundation's (ACBF) work program had just been approved recently by the Executive Board, that none of the $5 million already obligated (out of $10 million authorized for the life of the project) had yet been disbursed due to the ACBF's slow start, and that the size of the

project could overwhelm EAGER. It had been decided to take ACBF's activities into account in ARTS/EA, but not by integrating the project into EAGER.

The ECPR then turned to the issues which had been submitted by the Project Committee for consideration by the ECPR. The Issues Paper for the ECPR, an addendum to the Issues Paper and a reconfigured Project Budget handed out at the meeting are attached to this Action Memorandum. The following records the guidance given for each of the issues and concerns raised during the ECPR.

A. Additional ECPR Guidance on Issues and Concerns Resolved by the Project Committee

The ECPR provided additional guidance with respect to issues which had been considered resolved by the Project Committee.

First, the purpose statement should be rewritten as suggested by the Project Committee, but it must also reflect the legislative mandate that the project have a clear and positive impact in Africa.

Second, given the emphasis placed on the collaborative process by Missions and Geographic offices, the PP should set forth clearly the process and mechanisms which will be used to ensure collaboration. On many occasions in the ensuing discussion, the point was made that the research agenda should be African-based and driven by the expressed needs of African policy makers and researchers.

With respect to this second point, Tim Bork, AFR/SWA, and others questioned the assertion in the PID that the U.S. has a comparative advantage in delivering messages to Africans. Tim asked that ARTS define carefully what it hopes to accomplish and how this is going to be accomplished. He stressed the importance of intellectual honesty in describing what we would achieve and how we intend to do so. He stated that we are attempting to develop and communicate knowledge and that there is much to be gained by making this process African-based. He said that ideally we should be employing Africans to carry this out.

Marge Bonner, AFR/DP, said the Project Paper (PP) should describe the mechanisms we see to try to collaborate effectively with Africans and explain the methodology to accomplish this collaboration. The PP design team should write about how we can attempt to develop a comparative advantage. The PP should also clarify the link between the capacity building activities and the research activities. Finally, the PP should describe the steps required to bring about the desired linkages.

At this point, there was general agreement that the process should be collaborative, but there were differing viewpoints about the capacity of African research institutes to conduct the research independently. Jerry Wolgin stressed that African research capacity was stretched thin in attempting to respond to all the demands placed upon it by donors, particularly the drawing away of researchers into more lucrative consultancies.

In summary, ARTS should describe the model by which it plans to carry out the research collaboratively and deliver the message(s) of the research results to African users of the information. AFR/SWA suggested revising the statement about comparative advantage in the PID. ARTS argued that other donors are not looking critically at these issues as we will do. Marge Bonner, AFR/DP added that the PP should describe our record in analysis and research.

Referring back to the first point, Pauline Johnson, GC, repeated the need to demonstrate the project's developmental impact. On a separate point, she also reminded the Project Committee of the distinction which must be clearly maintained between OE and programmatic expenditures. The ECPR noted the need to define the roles of resident technical advisors such that their advisory role to African governments and organizations and USAID Missions in their areas of expertise be unmistakable and that their contribution to administration of the DFA be de minimis and solely an unavoidable aspect of playing their advisory roles effectively.

B. ECPR Guidance on Issues Unresolved by the Project Committee

With respect to the issues considered unresolved by the Project Committee and sent to the ECPR, the following guidance was given. The issues are repeated here for convenience.

Issue Number 1. Scope of the Project -- The proposed research themes omit several areas of inquiry which are important to both the Bureau and Missions which will not be covered under other Bureau or Mission projects. Additional topics should be included in the research and analysis to be conducted through EAGER.

The ECPR agreed that the thematic areas for research defined in the PID were part of a menu within which priorities will be defined during PP development. The objective of the prioritization exercise will be to clearly define what is important to get done, what difference doing it is going to make in Africa, and what it will cost.

The ECPR restated Bureau policy that all research conducted by AFR/W be managed by AFR/ARTS with the exception of the already agreed upon democracy/governance research to be managed by ONI.

Therefore, priority private sector research issues must be included within EAGER. For the same reason, EAGER will also include social science research as it contributes to understanding of the themes identified for further research.

Issue Number 2: Research Methodology -- Economic Research conducted without the benefit of other disciplines' insights will yield incomplete and potentially erroneous, or at least impractical, policy advice.

With respect to issue number 2, the ECPR stated that EAGER should be designed collaboratively and that the best approach to investigating the research themes should be decided on the merits of the approaches in a collegial manner. Since EAGER will include social science research, this is not an either-or issue. It is a technical issue and not one for which ECPR guidance should be sought.

Issue Number 3: Funding Level -- Allocation of $50 million dollars ($35 million core and $15 million in buy-ins) over 6 years is not warranted by the expressed demand for economic policy research and leads to an excessively large level of regional project funding.

The issue of funding level remains unresolved and will be revisited at the PP review.

Geographic offices argued that the level was too high and the number of resident technical advisors be cut back. DP argued we should first establish what the priorities are, what it will cost to accomplish them, and then set the funding level. ARTS argued that it should determine the allocation of research funds within its own office among its three major research projects: PARTS, HHRAA, and EAGER. DAA/AFR said "the level should be $30 million as described in the outgoing cable last Spring. If ARTS wants to establish the level of $50 million for EAGER, ARTS should describe why that level is justified."

DP reminded us that a mid-year start may not require the $5 million planned first-year obligation.

C. Other ECPR Guidance

The ECPR suggested that EAGER is appropriately more than a six-year project if the intention is to obligate $6 million/year through 1998 given the time required to initiate and complete research. The PP design should suggest an appropriate PACD.

Leticia Diaz, AFR/MRP, reminded the designers that the budget should include money for audits.

Richard Cobb, DAA/AFR, suggested that the ECPR be reconvened prior to the final PP design, when the analytical agenda and budget are established. This reconvened ECPR will provide a forum for discussion of where EAGER is headed prior to completion of the design without a formal requirement for concurrence or non-concurrence from the participants of the ECPR.

Last, but not least, the ECPR agreed that additional design assistance would be needed to complete the PP in a timely manner and instructed ARTS to write the scope of work for the project development work required. Additional funds can be requested from PD&S.

Recommendation: That you approve the PID and the minutes as recorded in this Action Memorandum which will be appended to the PID and serve as a record of ECPR guidance for the Project Paper.

Approved: Richard H. Cobb

Disapproved: _____

Date: 12/22/92

Attachments:
1. Issues Paper
2. Addendum to Issues Paper
3. Project Budget

* TO CLARIFY THE SENTENCE ON PAGE 1 — IF ARTS WISHES TO PROPOSE A FUNDING LEVEL FOR EAGER ABOVE $30 M, THE ADDITIONAL MONEY WILL HAVE TO COME FROM THE ARTS O/B, THAT IS ANOTHER EXISTING ARTS PROJECT —

RH Cobb
12/22/92

Clearances:

JHicks, DAA/AFR		Date:
MBonner, AFR/DP	(draft)	Date: 11/18/92
GLewis, AFR/EA	(draft)	Date: 11/17/92
MScovill, AFR/SA	(draft)	Date: 12/02/92
PTuebner, AFR/CCWA	(draft)	Date: 12/04/92
TBork, AFR/SWA	(draft)	Date: 11/19/92
JVermillion, AFR/ONI	(draft)	Date: 12/01/92
LDiaz, AFR/MRP	(subs)	Date:
ESpriggs, GC/AFR		Date: 12/17/92

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ANNEX B

LOG FRAME

Project name : Equity and Growth Through Economic Resch
Est. Completion : 1999
Date of Revision: 4/21/93
Design Team :

ANNEX B

Narrative Summary (NS)	Measureable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Goal: 1 African public and private institutions adopt equitable, sustainable economic policies, growth strategies and programs that reflect the local socio cultural realities.	1.1 Public and private institutions deliberately pursue sustainable, broadbased and market-oriented economic growth strategies. 1.2 More SSA countries follow structural adjustment pograms. 1.3 Host country, donor and private investment resources are reoriented from poor perfrmers towards good performers.	1.1 Project reports, publications, information and evaluations. 1.2 Natrional planning documents and budgets 1.3 Household consumption surveys 1.4 World Bank reports 1.5 Interviews with project clients and target audiences	(Goal to Supergoal) 1 Project generated information and analysis contribute to more effective strategies, programs and projects and a better allocation of resources and are not overwhelmed by competing political considerations. 2 Economic strategies, policies and institutions are influenced by many factors besides those addressed directly by this project. 3 AID and other donors continue to support economic and social science research. 4 Project clients/users may include public and private sector African orgaizations, social scientists, the general public, students, USAIDs, REDSOs, AID/W and other donors.
Purpose: 1 Decision makers in public and private sector institutions of Sub-Saharan Africa increase their use of economic and social research and analysis.	1.1 Host country or donor supported development strategies, policies, or programs in at . ast 5 countries have been designed or modified using project generated analysis. 1.2 At least 5 African researchers or research units provide evidence that their work is being used by decision makers. 1.3 The citing of research and analysis by project clients will increase by 10 percent and project clients will request follow-on research and analysis. 1.4 Increased level of public and professional dialogue and debate concerning socio-economic issues	1.1 Project reports, publications, information and evaluations, USAID CPSPs, APIs. 1.2 "Meta-Analysis" of citations, and survey reports from public media assessment services. 1.3 Base-line and follow-up reviewsof local media. 1.4 Review of country development plans and budgets. 1.5 Assessment of evolution of policy dialogue and of African policy research and capacity from CDIE and others. 1.6 Interviews with project clients and others.	(Purpose to Goal) 1 Project funded information that reaches decision makers is relevant and timely to individual countries and is formatted in an effective context. 2 African participation increases a sense of local ownership of the methodologies and research results, and therefore increases research utilization and influence. 3 The value of long-term capacity building is maintained into effective balance with needs for prompt information generation. 4 Work conducted by the research networks are effectively focussed on project analytical agenda topics to reinforce and compliment the major research support program and coordinate with the wider capacity building and dissemination program.

Narrative Summary (NS)	Measureable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Outputs: 1 Knowledge of socio-economic issues in Africa is increased and strengthened.	1.1 Eight to 10 major strategic studies on country/region significant themes will be completed. 1.2 15 dissertations, sabbatical studies, and evaluation related to the project analytical agenda and of significance to African network participants will be completed. 1.3 4-6 country-specific studies receive buy-in support linked to on-going bilateral projects.	1.1 Project reports, publications and evaluations.	(Output to Purpose) 1 Project components (research, capacity building and dissemination) are mutually reinforcng. 2 Participation by African collaborators and Gray Amendment entities serves to identify and provide proper weight to socio-cultural context and illuminates sustainability opportunities in the research results. 3 Coordination and close identity of objectives with the approved analytical agenda, as amended, is achieved. 4 A strong demand for project products and services is sustained. 5 Capacity building programs serve to effectively transfer technology and judgements for effective research opportunities. 6 Success is identified early in the program to provide insight toward and necessary subsequent adjustments and sustain interest in project objectives.
2 African capacity for research design, research implementation and effective dissemination is strengthened.	2.1 100 masters theses, research projects, synthesis and methodological studies will be completed in connection with capacity building programs. 2.2 Research products exhibit improved quality and improved methodological sophistication appropriate to research resources and the topic. 2.3 African economists and Grey Amendment entities in the U.S. perform at least 25 percent of the professional level of effort of work undertaken in the project analytical agenda. 2.4 The level of participation and other support received from the African membership strengthens 3 African research networks.	2.1 Reports of contractors and collaborating institutions. 2.2 Expert and peer review reports.	
3 The dissemination media is widely used, both the public and professional media, to target influential audiences and effectively present economic research results for consideration in the policy and strategy dialogue.	3.1 30 studies/reports are formatted to be distributed widely among decision makers in Africa and donor agencies. 3.2 5 project studies are featured in the public media leading to a wider public debate. 3.3 80- 100 journalists and legislators complete economics fundamentals workshops. 3.4 10 research workshops, 4 conferences and 6 author/expert tours will be held on major research findings and information utilization.	3.1 Base-line and follow-up reviews of local media. 3.2 Interviews with client groups, surveys of public media service organizations.	

Narrative Summary (NS)	Measureable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
Activities: 1.1 Major strategic research in --Public strategies for growth and equity -- Legal regulatory and judicial systems -- Trade regimes and growth -- Resource mobilization -- Cross-cutting issues of information access, political liberalization, etc. 1.2 Analytical agenda development and independent peer review 2.1 Training and education programs in support of academic and public media institution strengthening, masters and PhD. dissertation, collateral research in support of network strengthening. 3.1 Research demand analysis, dissemination technology and format analysis. 3.2 Impact evaluation information system development, sentinal survey design, interpretation and analysis system design. 3.3 Editing and publishing, translation, media package design, advertising, theme and discipline specific mailing-list development, teleconferencing and innovative media site testing in Africa.	Inputs/Resources: The project budget contains propriatary or source selection information which is restricted by law (41 U.S.C. 423). It is contained in protected references only for limited and controlled disclosure.	1.1 Project Implementation Reports, procurement vouchers, procurement quarterly reports and annual work plans of the contractors/grantees, controller records, and evaluation reports. 2.1 3.1	(Activity to Output) 1 AIW/W commitment to the project remains high and resources available to the Agency permit timely and full funding of the implementation plan. 2 Mission demand is evidenced by buy-ins and demand for related but independent studies. 3 Qualified staff are engaged and they encounter fertile working conditions by which to undertake their tasks.

ANNEX C

STATUTORY CHECKLIST

APPENDIX C ASSISTANCE CHECKLIST

1. **Host Country Development Efforts** (FAA Sec. 601(a)): Information and conclusions on whether assistance will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture, and commerce; and (f) strengthen free labor unions.	Yes -- Project designed to facilitate development of (a) through (f).
2. **U.S. Private Trade and Investment** (FAA Sec. 601(b)): Information and conclusions on how assistance will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).	US private enterprise will participate as suppliers of services. Project seeks to create conditions for a better business climate for private enterprise. This will be hospitable to US trade and investment.
3. **Congressional Notification**	
a. **General requirement** (FY 1993 Appropriations Act Sec. 522; FAA Sec. 634A): If money is to be obligated for an activity not previously justified to Congress, or for an amount in excess of amount previously justified to Congress, has Congress been properly notified (unless the Appropriations Act notification requirement has been waived because of substantial risk to human health or welfare)?	CN was submitted on May 7, 1993 and expired without objection on May 22, 1993.
b. **Notice of new account obligation** (FY 1993 Appropriations Act Sec. 514): If funds are being obligated under an appropriation account to which they were not appropriated, has the President consulted with and provided a written justification to the House and Senate Appropriations Committees and has such obligation been subject to regular notification procedures?	N/A
c. **Cash transfers and nonproject sector assistance** (FY 1993 Appropriations Act Sec. 571(b)(3)): If funds are to be made available in the form	N/A

of cash transfer or nonproject sector assistance, has the Congressional notice included a detailed description of how the funds will be used, with a discussion of U.S. interests to be served and a description of any economic policy reforms to be promoted?

4. **Engineering and Financial Plans** (FAA Sec. 611(a)): Prior to an obligation in excess of $500,000, will there be: (a) engineering, financial or other plans necessary to carry out the assistance; and (b) a reasonably firm estimate of the cost to the U.S. of the assistance? **Yes.**

5. **Legislative Action** (FAA Sec. 611(a)(2)): If legislative action is required within recipient country with respect to an obligation in excess of $500,000, what is the basis for a reasonable expectation that such action will be completed in time to permit orderly accomplishment of the purpose of the assistance? **N/A**

6. **Water Resources** (FAA Sec. 611(b); FY 1993 Appropriations Act Sec. 501): If project is for water or water-related land resource construction, have benefits and costs been computed to the extent practicable in accordance with the principles, standards, and procedures established pursuant to the Water Resources Planning Act (42 U.S.C. 1962, et seq.)? (See A.I.D. Handbook 3 for guidelines.) **N/A**

7. **Cash Transfer and Sector Assistance** (FY 1993 Appropriations Act Sec. 571(b)): Will cash transfer or nonproject sector assistance be maintained in a separate account and not commingled with other funds (unless such requirements are waived by Congressional notice for nonproject sector assistance)? **N/A**

8. **Capital Assistance** (FAA Sec. 611(e)): If project is capital assistance (e.g., construction), and total U.S. assistance for it will exceed $1 million, has Mission Director certified and Regional Assistant Administrator taken into consideration the country's capability to maintain and utilize the **N/A**

project effectively?

9. **Multiple Country Objectives** (FAA Sec. 601(a)): Information and conclusions on whether projects will encourage efforts of the country to: (a) increase the flow of international trade; (b) foster private initiative and competition; (c) encourage development and use of cooperatives, credit unions, and savings and loan associations; (d) discourage monopolistic practices; (e) improve technical efficiency of industry, agriculture and commerce; and (f) strengthen free labor unions.

Research objectives seek to balance economic growth with equity. This can best be achieved through free and open outward-oriented trade, and worker/consumer oriented support institutions such as coops, credit unions, free labor unions, and savings and loan associations.

10. **U.S. Private Trade** (FAA Sec. 601(b)): Information and conclusions on how project will encourage U.S. private trade and investment abroad and encourage private U.S. participation in foreign assistance programs (including use of private trade channels and the services of U.S. private enterprise).

By providing an improved business climate which will be amendable to US private trade and investment. US private enterprise will supply services.

11. **Local Currencies**

a. **Recipient Contributions** (FAA Secs. 612(b), 636(h)): Describe steps taken to assure that, to the maximum extent possible, the country is contributing local currencies to meet the cost of contractual and other services, and foreign currencies owned by the U.S. are utilized in lieu of dollars.

N/A

b. **U.S.-Owned Currency** (FAA Sec. 612(d)): Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?

N/A

c. **Separate Account** (FY 1993 Appropriations Act Sec. 571). If assistance is furnished to a foreign government under arrangements which result in the generation of local currencies:

N/A

(1) Has A.I.D. (a) required that local currencies be deposited in a separate account established by the recipient government, (b) entered into an agreement with that government providing the amount of local currencies to be generated and the terms

N/A

and conditions under which the currencies so deposited may be utilized, and (c) established by agreement the responsibilities of A.I.D. and that government to monitor and account for deposits into and disbursements from the separate account?

(2) Will such local currencies, or an equivalent amount of local currencies, be used only to carry out the purposes of the DA or ESF chapters of the FAA (depending on which chapter is the source of the assistance) or for the administrative requirements of the United States Government? N/A

(3) Has A.I.D. taken all appropriate steps to ensure that the equivalent of local currencies disbursed from the separate account are used for the agreed purposes? N/A

(4) If assistance is terminated to a country, will any unencumbered balances of funds remaining in a separate account be disposed of for purposes agreed to by the recipient government and the United States Government? N/A

12. **Trade Restrictions**

a. **Surplus Commodities** (FY 1993 Appropriations Act Sec. 520(a)): If assistance is for the production of any commodity for export, is the commodity likely to be in surplus on world markets at the time the resulting productive capacity becomes operative, and is such assistance likely to cause substantial injury to U.S. producers of the same, similar or competing commodity? N/A

b. **Textiles (Lautenberg Amendment)** (FY 1993 Appropriations Act Sec. 520(c)): Will the assistance (except for programs in Caribbean Basin Initiative countries under U.S. Tariff Schedule "Section 807," which allows reduced tariffs on articles assembled abroad from U.S.-made components) be used directly to procure feasibility studies, prefeasibility studies, or project profiles of potential investment in, or to assist the establishment of No

facilities specifically designed for, the manufacture for export to the United States or to third country markets in direct competition with U.S. exports, of textiles, apparel, footwear, handbags, flat goods (such as wallets or coin purses worn on the person), work gloves or leather wearing apparel?

13. **Tropical Forests** (FY 1991 Appropriations Act Sec. 533(c)(3)(as referenced in section 532(d) of the FY 1993 Appropriations Act): Will funds be used for any program, project or activity which would (a) result in any significant loss of tropical forests, or (b) involve industrial timber extraction in primary tropical forest areas?

No. Project does not relate to tropical forests.

14. **PVO Assistance**

a. **Auditing and registration** (FY 1993 Appropriations Act Sec. 536): If assistance is being made available to a PVO, has that organization provided upon timely request any document, file, or record necessary to the auditing requirements of A.I.D., and is the PVO registered with A.I.D.?

N/A

b. **Funding sources** (FY 1993 Appropriations Act, Title II, under heading "Private and Voluntary Organizations"): If assistance is to be made to a United States PVO (other than a cooperative development organization), does it obtain at least 20 percent of its total annual funding for international activities from sources other than the United States Government?

N/A

15. **Project Agreement Documentation** (State Authorization Sec. 139 (as interpreted by conference report)): Has confirmation of the date of signing of the project agreement, including the amount involved, been cabled to State L/T and A.I.D. LEG within 60 days of the agreement's entry into force with respect to the United States, and has the full text of the agreement been pouched to those same offices? (See Handbook 3, Appendix 6G for agreements covered by this provision).

N/A

16. **Metric System** (Omnibus Trade and Competitiveness Act of 1988 Sec. 5164, as

interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance activity use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?

N/A

17. **Women in Development** (FY 1993 Appropriations Act, Title II, under heading "Women in Development"): Will assistance be designed so that the percentage of women participants will be demonstrably increased?

Yes, especially through informal sector studies where women predominate.

18. **Regional and Multilateral Assistance** (FAA Sec. 209): Is assistance more efficiently and effectively provided through regional or multilateral organizations? If so, why is a sistance not so provided? Information and conclusions on whether assistance will encourage developing countries to cooperate in regional development programs.

No. But we will make use of regional organizations which will encourage regional cooperation.

19. **Abortions** (FY 1993 Appropriations Act, Title II, under heading "Population, DA," and Sec. 524):

a. Will assistance be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization?

No.

b. Will any funds be used to lobby for abortion?

No.

20. **Cooperatives** (FAA Sec. 111): Will assistance help develop cooperatives,

especially by technical assistance, to assist rural and urban poor to help themselves toward a better life?	Yes.
21. **U.S.-Owned Foreign Currencies**	
a. **Use of currencies** (FAA Secs. 612(b), 636(h); FY 1993 Appropriations Act Secs. 507, 509): Are steps being taken to assure that, to the maximum extent possible, foreign currencies owned by the U.S. are utilized in lieu of dollars to meet the cost of contractual and other services.	N/A
b. **Release of currencies** (FAA Sec. 612(d)): Does the U.S. own excess foreign currency of the country and, if so, what arrangements have been made for its release?	No.
22. **Procurement**	
a. **Small business** (FAA Sec. 602(a)): Are there arrangements to permit U.S. small business to participate equitably in the furnishing of commodities and services financed?	Yes.
b. **U.S. procurement** (FAA Sec. 604(a) as amended by section 597 of the FY 1993 Appropriations Act): Will all procurement be from the U.S., the recipient country, or developing countries except as otherwise determined in accordance with the criteria of this section?	Yes.
c. **Marine insurance** (FAA Sec. 604(d)): If the cooperating country discriminates against marine insurance companies authorized to do business in the U.S., will commodities be insured in the United States against marine risk with such a company?	N/A. No commodity shipments are anticipated under this project.
d. **Non-U.S. agricultural procurement** (FAA Sec. 604(e)): If non-U.S. procurement of agricultural commodity or product thereof is to be financed, is there provision against such procurement when the domestic price of such commodity is less than parity? (Exception where commodity financed could not reasonably be procured in U.S.)	N/A. No procurement of Ag commodities is anticipated under this project.
e. **Construction or engineering**	

services (FAA Sec. 604(g)): Will construction or engineering services be procured from firms of advanced developing countries which are otherwise eligible under Code 941 and which have attained a competitive capability in international markets in one of these areas? (Exception for those countries which receive direct economic assistance under the FAA and permit United States firms to compete for construction or engineering services financed from assistance programs of these countries.)	N/A
f. **Cargo preference shipping** (FAA Sec. 603)): Is the shipping excluded from compliance with the requirement in section 901(b) of the Merchant Marine Act of 1936, as amended, that at least 50 percent of the gross tonnage of commodities (computed separately for dry bulk carriers, dry cargo liners, and tankers) financed shall be transported on privately owned U.S. flag commercial vessels to the extent such vessels are available at fair and reasonable rates?	N/A. No shipment of commodities is anticipated under this project.
g. **Technical assistance** (FAA Sec. 621(a)): If technical assistance is financed, will such assistance be furnished by private enterprise on a contract basis to the fullest extent practicable? Will the facilities and resources of other Federal agencies be utilized, when they are particularly suitable, not competitive with private enterprise, and made available without undue interference with domestic programs?	Yes.
h. **U.S. air carriers** (International Air Transportation Fair Competitive Practices Act, 1974): If air transportation of persons or property is financed on grant basis, will U.S. carriers be used to the extent such service is available?	Yes.
i. **Termination for convenience of U.S. Government** (FY 1993 Appropriations Act Sec. 504): If the U.S. Government is a party to a contract for procurement, does the contract contain a provision authorizing termination of such contract for the convenience of the United States?	Yes.

j. **Consulting services** (FY 1993 Appropriations Act Sec. 523): If assistance is for consulting service through procurement contract pursuant to 5 U.S.C. 3109, are contract expenditures a matter of public record and available for public inspection (unless otherwise provided by law or Executive order)?	Yes.
k. **Metric conversion** (Omnibus Trade and Competitiveness Act of 1988, as interpreted by conference report, amending Metric Conversion Act of 1975 Sec. 2, and as implemented through A.I.D. policy): Does the assistance program use the metric system of measurement in its procurements, grants, and other business-related activities, except to the extent that such use is impractical or is likely to cause significant inefficiencies or loss of markets to United States firms? Are bulk purchases usually to be made in metric, and are components, subassemblies, and semi-fabricated materials to be specified in metric units when economically available and technically adequate? Will A.I.D. specifications use metric units of measure from the earliest programmatic stages, and from the earliest documentation of the assistance processes (for example, project papers) involving quantifiable measurements (length, area, volume, capacity, mass and weight), through the implementation stage?	N/A. Project is primarily research studies and capacity building activities.
l. **Competitive Selection Procedures** (FAA Sec. 601(e)): Will the assistance utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?	Yes.
23. **Construction**	
a. **Capital project** (FAA Sec. 601(d)): If capital (e.g., construction) project, will U.S. engineering and professional services be used?	N/A
b. **Construction contract** (FAA Sec. 611(c)): If contracts for construction are to be financed, will they be let on a competitive basis to maximum extent practicable?	No construction will be financed.

c. **Large projects, Congressional approval** (FAA Sec. 620(k)): If for construction of productive enterprise, will aggregate value of assistance to be furnished by the U.S. not exceed $100 million (except for productive enterprises in Egypt that were described in the Congressional Presentation), or does assistance have the express approval of Congress?	N/A
24. **U.S. Audit Rights** (FAA Sec. 301(d)): If fund is established solely by U.S. contributions and administered by an international organization, does Comptroller General have audit rights?	Yes.
25. **Communist Assistance** (FAA Sec. 620(h). Do arrangements exist to insure that United States foreign aid is not used in a manner which, contrary to the best interests of the United States, promotes or assists the foreign aid projects or activities of the Communist-bloc countries?	Yes.
26. **Narcotics**	
a. **Cash reimbursements** (FAA Sec. 483): Will arrangements preclude use of financing to make reimbursements, in the form of cash payments, to persons whose illicit drug crops are eradicated?	N/A. Project is not related to any type of illicit drug eradication activity.
b. **Assistance to narcotics traffickers** (FAA Sec. 487): Will arrangements take "all reasonable steps" to preclude use of financing to or through individuals or entities which we know or have reason to believe have either: (1) been convicted of a violation of any law or regulation of the United States or a foreign country relating to narcotics (or other controlled substances); or (2) been an illicit trafficker in, or otherwise involved in the illicit trafficking of, any such controlled substance?	Yes.
27. **Expropriation and Land Reform** (FAA Sec. 620(g)): Will assistance preclude use of financing to compensate owners for expropriated or nationalized property, except to compensate foreign nationals in accordance with a land reform program certified by the President?	Yes.

28. **Police and Prisons** (FAA Sec. 660): Will assistance preclude use of financing to provide training, advice, or any financial support for police, prisons, or other law enforcement forces, except for narcotics programs?	Yes.
29. **CIA Activities** (FAA Sec. 662): Will assistance preclude use of financing for CIA activities?	Yes.
30. **Motor Vehicles** (FAA Sec. 636(i)): Will assistance preclude use of financing for purchase, sale, long-term lease, exchange or guaranty of the sale of motor vehicles manufactured outside U.S., unless a waiver is obtained?	DFA Procurement procedures apply.
31. **Military Personnel** (FY 1993 Appropriations Act Sec. 503): Will assistance preclude use of financing to pay pensions, annuities, retirement pay, or adjusted service compensation for prior or current military personnel?	Yes.
32. **Payment of U.N. Assessments** (FY 1993 Appropriations Act Sec. 505): Will assistance preclude use of financing to pay U.N. assessments, arrearages or dues?	Yes.
33. **Multilateral Organization Lending** (FY 1993 Appropriations Act Sec. 506): Will assistance preclude use of financing to carry out provisions of FAA section 209(d) (transfer of FAA funds to multilateral organizations for lending)?	Yes.
34. **Export of Nuclear Resources** (FY 1993 Appropriations Act Sec. 510): Will assistance preclude use of financing to finance the export of nuclear equipment, fuel, or technology?	Yes.
35. **Repression of Population** (FY 1993 Appropriations Act Sec. 511): Will assistance preclude use of financing for the purpose of aiding the efforts of the government of such country to repress the legitimate rights of the population of such country contrary to the Universal Declaration of Human Rights?	Yes.
36. **Publicity or Propaganda** (FY 1993 Appropriations Act Sec. 516): Will assistance be used for publicity or	No.

propaganda purposes designed to support or defeat legislation pending before Congress, to influence in any way the outcome of a political election in the United States, or for any publicity or propaganda purposes not authorized by Congress?

37. **Marine Insurance** (FY 1993 Appropriations Act Sec. 560): Will any A.I.D. contract and solicitation, and subcontract entered into under such contract, include a clause requiring that U.S. marine insurance companies have a fair opportunity to bid for marine insurance when such insurance is necessary or appropriate? **Yes.**

38. **Exchange for Prohibited Act** (FY 1993 Appropriations Act Sec. 565): Will any assistance be provided to any foreign government (including any instrumentality or agency thereof), foreign person, or United States person in exchange for that foreign government or person undertaking any action which is, if carried out by the United States Government, a United States official or employee, expressly prohibited by a provision of United States law? **No.**

39. **Commitment of Funds** (FAA Sec. 635(h)): Does a contract or agreement entail a commitment for the expenditure of funds during a period in excess of 5 years from the date of the contract or agreement? **Yes.**

40. **Impact on U.S. Jobs** (FY 1993 Appropriations Act, Sec. 599):

(a) Will any financial incentive be provided to a business located in the U.S. for the purpose of inducing that business to relocate outside the U.S. in a manner that would likely reduce the number of U.S. employees of that business? **No.**

(b) Will assistance be provided for the purpose of establishing or developing an export processing zone or designated area in which the country's tax, tariff, labor, environment, and safety laws do not apply? If so, has the President determined and certified that such assistance is not likely to cause a loss of jobs within the U.S.? **No.**

(c) Will assistance be provided **No.**

for a project or activity that contributes to the violation of internationally recognized workers rights, as defined in section 502(a)(4) of the Trade Act of 1974, of workers in the recipient country?	No.
B. CRITERIA APPLICABLE TO DEVELOPMENT ASSISTANCE ONLY	
1. **Agricultural Exports (Bumpers Amendment)** (FY 1993 Appropriations Act Sec. 521(b), as interpreted by conference report for original enactment): If assistance is for agricultural development activities (specifically, any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference, or training), are such activities: (1) specifically and principally designed to increase agricultural exports by the host country to a country other than the United States, where the export would lead to direct competition in that third country with exports of a similar commodity grown or produced in the United States, and can the activities reasonably be expected to cause substantial injury to U.S. exporters of a similar agricultural commodity; or (2) in support of research that is intended primarily to benefit U.S. producers?	No.
2. **Tied Aid Credits** (FY 1993 Appropriations Act, Title II, under heading "Economic Support Fund"): Will DA funds be used for tied aid credits?	No.
3. **Appropriate Technology** (FAA Sec. 107): Is special emphasis placed on use of appropriate technology (defined as relatively smaller, cost-saving, labor-using technologies that are generally most appropriate for the small farms, small businesses, and small incomes of the poor)?	Yes.
4. **Indigenous Needs and Resources** (FAA Sec. 281(b)): Describe extent to which the activity recognizes the particular needs, desires, and capacities of the people of the country; utilizes the country's intellectual resources to encourage institutional development; and supports civic education and training in skills required for	A significant part of the funds under the project will be used for capacity building activities.

effective participation in governmental and political processes essential to self-government.

5. **Economic Development** (FAA Sec. 101(a)): Does the activity give reasonable promise of contributing to the development of economic resources, or to the increase of productive capacities and self-sustaining economic growth?

Yes.

6. **Special Development Emphases** (FAA Secs. 102(b), 113, 281(a)): Describe extent to which activity will: (a) effectively involve the poor in development by extending access to economy at local level, increasing labor-intensive production and the use of appropriate technology, dispersing investment from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using appropriate U.S. institutions; (b) encourage democratic private and local governmental institutions; (c) support the self-help efforts of developing countries; (d) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (e) utilize and encourage regional cooperation by developing countries.

(a) Major studies will be conducted on poverty and growth. (b) thru (e): These goals will be met under the capacity building and dissemination parts of the projects.

7. **Recipient Country Contribution** (FAA Secs. 110, 124(d)): Will the recipient country provide at least 25 percent of the costs of the program, project, or activity with respect to which the assistance is to be furnished (or is the latter cost-sharing requirement being waived for a "relatively least developed" country)?

N/A

8. **Benefit to Poor Majority** (FAA Sec. 128(b)): If the activity attempts to increase the institutional capabilities of private organizations or the government of the country, or if it attempts to stimulate scientific and technological research, has it been designed and will it be monitored to ensure that the ultimate beneficiaries are the poor majority?

Yes.

9. **Abortions** (FAA Sec. 104(f); FY 1993 Appropriations Act, Title II, under heading "Population, DA," and Sec. 534):

a. Are any of the funds to be used for the performance of abortions as a method of family planning or to motivate or coerce any person to practice abortions?	No.	
b. Are any of the funds to be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any person to undergo sterilizations?	No.	
c. Are any of the funds to be made available to any organization or program which, as determined by the President, supports or participates in the management of a program of coercive abortion or involuntary sterilization?	No.	
d. Will funds be made available only to voluntary family planning projects which offer, either directly or through referral to, or information about access to, a broad range of family planning methods and services?	No.	
e. In awarding grants for natural family planning, will any applicant be discriminated against because of such applicant's religious or conscientious commitment to offer only natural family planning?	No.	
f. Are any of the funds to be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilization as a means of family planning?	No.	
g. Are any of the funds to be made available to any organization if the President certifies that the use of these funds by such organization would violate any of the above provisions related to abortions and involuntary sterilization?	No.	
10. **Contract Awards** (FAA Sec. 601(e)): Will the project utilize competitive selection procedures for the awarding of contracts, except where applicable procurement rules allow otherwise?	Yes.	
11. **Disadvantaged Enterprises** (FY 1993 Appropriations Act Sec. 563): What portion	Yes.	Selection

of the funds will be available only for activities of economically and socially disadvantaged enterprises, historically black colleges and universities, colleges and universities having a student body in which more than 40 percent of the students are Hispanic Americans, and private and voluntary organizations which are controlled by individuals who are black Americans, Hispanic Americans, or Native Americans, or who are economically or socially disadvantaged (including women)?

process will encourage disadvantaged groups participation in a meaningful way.

12. **Biological Diversity** (FAA Sec. 119(g): Will the assistance: (a) support training and education efforts which improve the capacity of recipient countries to prevent loss of biological diversity; (b) be provided under a long-term agreement in which the recipient country agrees to protect ecosystems or other wildlife habitats; (c) support efforts to identify and survey ecosystems in recipient countries worthy of protection; or (d) by any direct or indirect means significantly degrade national parks or similar protected areas or introduce exotic plants or animals into such areas?

N/A

13. **Tropical Forests** (FAA Sec. 118; FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act):

N/A. Project does not relate to tropical forests.

a. **A.I.D. Regulation 16:** Does the assistance comply with the environmental procedures set forth in A.I.D. Regulation 16?

Project does not relate to tropical forests.

b. **Conservation:** Does the assistance place a high priority on conservation and sustainable management of tropical forests? Specifically, does the assistance, to the fullest extent feasible: (1) stress the importance of conserving and sustainably managing forest resources; (2) support activities which offer employment and income alternatives to those who otherwise would cause destrution and loss of forests, and help countries identify and implement alternatives to colonizing forested areas; (3) support training programs, educational efforts, and the establishment or strengthening of institutions to improve forest management;

(4) help end destructive slash-and-burn agriculture by supporting stable and productive farming practices; (5) help conserve forests which have not yet been degraded by helping to increase production on lands already cleared or degraded; (6) conserve forested watersheds and rehabilitate those which have been deforested; (7) support training, research, and other actions which lead to sustainable and more environmentally sound practices for timber harvesting, removal, and processing; (8) support research to expand knowledge of tropical forests and identify alternatives which will prevent forest destruction, loss, or degradation; (9) conserve biological diversity in forest areas by supporting efforts to identify, establish, and maintain a representative network of protected tropical forest ecosystems on a worldwide basis, by making the establishment of protected areas a condition of support for activities involving forest clearance or degradation,and by helping to identify tropical forest ecosystems and species in need of protection and establish and maintain appropriate protected areas; (10) seek to increase the awareness of U.S. Government agencies and other donors of the immediate and long-term value of tropical forests; (11) utilize the resources and abilities of all relevant U.S. government agencies; (12) be based upon careful analysis of the alternatives available to achieve the best sustainable use of the land; and (13) take full account of the environmental impacts of the proposed activities on biological diversity?

c. **Forest degradation:** Will assistance be used for: (1) the procurement or use of logging equipment, unless an environmental assessment indicates that all timber harvesting operations involved will be conducted in an environmentally sound manner and that the proposed activity will produce positive economic benefits and sustainable forest management systems; (2) actions which will significantly degrade national parks or similar protected areas which contain tropical forests, or introduce exotic plants or animals into such areas; (3) activities which would result in the conversion of forest lands to the rearing of

N/A

livestock; (4) the construction, upgrading, or maintenance of roads (including temporary haul roads for logging or other extractive industries) which pass through relatively undergraded forest lands; (5) the colonization of forest lands; or (6) the construction of dams or other water control structures which flood relatively undergraded forest lands, unless with respect to each such activity an environmental assessment indicates that the activity will contribute significantly and directly to improving the livelihood of the rural poor and will be conducted in an environmentally sound manner which supports sustainable development?

d. **Sustainable forestry:** If assistance relates to tropical forests, will project assist countries in developing a systematic analysis of the appropriate use of their total tropical forest resources, with the goal of developing a national program for sustainable forestry?

N/A

e. **Environmental impact statements:** Will funds be made available in accordance with provisions of FAA Section 117(c) and applicable A.I.D. regulations requiring an environmental impact statement for activities significantly affecting the environment?

N/A

14. **Energy** (FY 1991 Appropriations Act Sec. 533(c) as referenced in section 532(d) of the FY 1993 Appropriations Act): If assistance relates to energy, will such assistance focus on: (a) end-use energy efficiency, least-cost energy planning, and renewable energy resources, and (b) the key countries where assistance would have the greatest impact on reducing emissions from greenhouse gases?

N/A. Project does not relate to energy.

15. **Debt-for-Nature Exchange** (FAA Sec. 463): If project will finance a debt-for-nature exchange, describe how the exchange will support protection of: (a) the world's oceans and atmosphere, (b) animal and plant species, and (c) parks and reserves; or describe how the exchange will promote: (d) natural resource management, (e) local conservation programs, (f) conservation training programs, (g) public commitment to

N/A

conservation, (h) land and ecosystem management, and (i) regenerative approaches in farming, forestry, fishing, and watershed management.	
16. **Deobligation/Reobligation** (FY 1993 Appropriations Act Sec. 515): If deob/reob authority is sought to be exercised in the provision of DA assistance, are the funds being obligated for the same general purpose, and for countries within the same region as originally obligated, and have the House and Senate Appropriations Committees been properly notified?	N/A
17. **Loans**	
a. **Repayment capacity** (FAA Sec. 122(b)): Information and conclusion on capacity of the country to repay the loan at a reasonable rate of interest.	N/A
b. **Long-range plans** (FAA Sec. 122(b)): Does the activity give reasonable promise of assisting long-range plans and programs designed to develop economic resources and increase productive capacities?	Yes.
c. **Interest rate** (FAA Sec. 122(b)): If development loan is repayable in dollars, is interest rate at least 2 percent per annum during a grace period which is not to exceed ten years, and at least 3 percent per annum thereafter?	N/A
d. **Exports to United States** (FAA Sec. 620(d)): If assistance is for any productive enterprise which will compete with U.S. enterprises, is there an agreement by the recipient country to prevent export to the U.S. of more than 20 percent of the enterprise's annual production during the life of the loan, or has the requirement to enter into such an agreement been waived by the President because of a national security interest?	Project will not cover assistance to productive enterprises which will compete with US firms.
18. **Development Objectives** (FAA Secs. 102(a), 111, 113, 281(a)): Extent to which activity will: (1) effectively involve the poor in development, by expanding access to economy at local level, increasing labor-intensive production and the use of appropriate technology, spreading investment	(1) thru (5) The three parts of the project: research, capacity building, and dissemination has been designed to foster

out from cities to small towns and rural areas, and insuring wide participation of the poor in the benefits of development on a sustained basis, using the appropriate U.S. institutions; (2) help develop cooperatives, especially by technical assistance, to assist rural and urban poor to help themselves toward better life, and otherwise encourage democratic private and local governmental institutions; (3) support the self-help efforts of developing countries; (4) promote the participation of women in the national economies of developing countries and the improvement of women's status; and (5) utilize and encourage regional cooperation by developing countries?

these goals through research scholarships and dissemination activities to raise public awareness and participation.

19. **Agriculture, Rural Development and Nutrition,** and **Agricultural Research** (FAA Secs. 103 and 103A):

a. **Rural poor and small farmers:** If assistance is being made available for agriculture, rural development or nutrition, describe extent to which activity is specifically designed to increase productivity and income of rural poor; or if assistance is being made available for agricultural research, has account been taken of the needs of small farmers, and extensive use of field testing to adapt basic research to local conditions shall be made.

N/A. Project has not been designed to cover this activity.

b. **Nutrition:** Describe extent to which assistance is used in coordination with efforts carried out under FAA Section 104 (Population and Health) to help improve nutrition of the people of developing countries through encouragement of increased production of crops with greater nutritional value; improvement of planning, research, and education with respect to nutrition, particularly with reference to improvement and expanded use of indigenously produced foodstuffs; and the undertaking of pilot or demonstration programs explicitly addressing the problem of malnutrition of poor and vulnerable people.

N/A

c. **Food security:** Describe extent to which activity increases national

N/A

food security by improving food policies and management and by strengthening national food reserves, with particular concern for the needs of the poor, through measures encouraging domestic production, building national food reserves, expanding available storage facilities, reducing post harvest food losses, and improving food distribution.

20. **Population and Health** (FAA Secs. 104(b) and (c)): If assistance is being made available for population or health activities, describe extent to which activity emphasizes low-cost, integrated delivery systems for health, nutrition and family planning for the poorest people, with particular attention to the needs of mothers and young children, using paramedical and auxiliary medical personnel, clinics and health posts, commercial distribution systems, and other modes of community outreach.

N/A

21. **Education and Human Resources Development** (FAA Sec. 105): If assistance is being made available for education, public administration, or human resource development, describe (a) extent to which activity strengthens nonformal education, makes formal education more relevant, especially for rural families and urban poor, and strengthens management capability of institutions enabling the poor to participate in development; and (b) extent to which assistance provides advanced education and training of people of developing countries in such disciplines as are required for planning and implementation of public and private development activities.

(a) Scholarships will be open to all. (b) Capacity building covers scholarships for higher education in Africa and to provide sabbaticals to strengthen African faculty.

22. **Energy, Private Voluntary Organizations, and Selected Development Activities** (FAA Sec. 106): If assistance is being made available for energy, private voluntary organizations, and selected development problems, describe extent to which activity is:

a. concerned with data collection and analysis, the training of skilled personnel, research on and development of suitable energy sources, and pilot projects to test new methods of energy production;

N/A

and facilitative of research on and development and use of small-scale, decentralized, renewable energy sources for rural areas, emphasizing development of energy resources which are environmentally acceptable and require minimum capital investment;	
b. concerned with technical cooperation and development, especially with U.S. private and voluntary, or regional and international development, organizations;	Regional NGO's will be used to administer scholarships grants.
c. research into, and evaluation of, economic development processes and techniques;	Project research will be used to evaluate development strategies.
d. reconstruction after natural or manmade disaster and programs of disaster preparedness;	N/A
e. for special development problems, and to enable proper utilization of infrastructure and related projects funded with earlier U.S. assistance;	N/A
f. for urban development, especially small, labor-intensive enterprises, marketing systems for small producers, and financial or other institutions to help urban poor participate in economic and social development.	Studies of the informal markets will be undertaken with the intention of funding ways to encourage growth of this sector.
23. **Capital Projects** (Jobs Through Export Act of 1992, Secs. 303 and 306(d)): If assistance is being provided for a capital project, is the project developmentally sound and will the project measurably alleviate the worst manifestations of poverty or directly promote environmental safety and sustainability at the community level?	N/A

Annex D

Technical Analysis

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TECHNICAL ANALYSIS

This annex is divided into three parts. Section I identifies how AFR/ARTS/EA will set its research agenda, stressing a demand-driven approach to ensure that A.I.D. field mission staff, African decision-makers, and other recognized experts in African economic development have adequate input into this process. The major thematic areas and initial activities for EAGER research are then discussed. The second section presents constraints to developing economic research and analysis capacity in Africa and identifies promising capacity building initiatives that EAGER will support. The final section discusses the problems of disseminating research findings to decision-makers in Africa, identifies potential target audiences for EAGER-generated information, and presents strategies that EAGER will pursue so that research results get to decision-makers in a timely fashion and in forms that they can readily use.

I. SETTING RESEARCH PRIORITIES

A. Introduction: The EAGER Research Clientele

Several assumptions underlie the setting of research priorities in the EAGER project. First, the project is intended to meet diverse needs for more and better research. Five main sets of clients can be distinguished:

1. Policy-makers in Afri an governments and the private sector usually have too little access to good information and analysis, and tend to use too little the information at hand. This is one important reason for poor policy-making, which is a major contributor to slow, low-quality growth.

2. African researchers themselves can make good use of economic research. All too often, they work in isolation from their Western colleagues and do not have access to standard setting research studies in their fields of interest.

3. Key opinion forming groups in Africa could also benefit from increased exposure and understanding of quality research on policy issues that are of relevance to them and to the general public. Journalists, trade unions, private business associations could all make good use of solid policy analyses if they were provided in easily digestible forms.

4. The Congress and executive agencies (OMB for example) often ask A.I.D. to provide program-related information. Concern on the Hill about the impact of structural adjustment on the poor, for example, creates a need for A.I.D. to have reliable and recent analyses of this question at hand.

5. A.I.D. staff in Washington and in the field, and others in the USG concerned with African poverty and development come face-to-face with gaps in knowledge -- empirical as well as analytical -- that cloud their understanding and reduce program effectiveness. They need a vehicle that allows these gaps to be addressed.

Secondly, the substance of this project is not research as such, but practical policy-related research. This does not rule out support for theoretical inquiries at high levels of abstraction, such as explorations into new theories of growth, or for the building of complex economic models. But policy-focussed research has by far the highest general priority -- the production of solid research on policy problems, presented in forms understandable by policy-makers.

B. Setting and Managing the EAGER Analytical Agenda

The "process" whereby one sets a research agenda may be as important as picking the "right" topics at any given point in time. This is because research priorities change over time, vary by country and by circumstances and must also be able to respond to the information needs of the different audiences enumerated above. All this argues for building in a certain amount of flexibility into the EAGER research agenda so that it can respond to changing circumstances over the life of the project. However, some focus is needed to make sure that EAGER research is responsive to the goals of the DFA and does not get lost in the forest of possible subjects.

Responding to both these constraints requires striking a delicate balance between flexibility and specificity. The design team and ARTS/EA have elaborated a two-pronged strategy to ensure that EAGER maintains the right degree of flexibility and is truly demand driven while keeping its research focused solidly on Africa Bureau and DFA goals. The first component of this strategy is a two year research and analysis cycle in which the EAGER analytical agenda will be reviewed and modified as needed. The second component of this strategy is the organization of the initial EAGER analytical agenda into five thematic areas that are both reflective of AID Mission and African interests and DFA goals. The first of these components is described below in Section B-1. Sections B-2 and B-3 describe, respectively, the process used to define the initial EAGER analytical agenda and its composition in terms of themes and sub-themes.

1. Building Flexibility into the EAGER Analytical Agenda: the Research and Analysis Cycle

The analytical research agenda described below in Section B-3 is not set in stone for the life of the project. It is meant to offer an initial prioritization of EAGER research activities to

facilitate a timely and smooth flowing implementation of research procurement early in the project life cycle. It is the means by which EAGER will "hit the ground running."

Adopting a true demand-driven approach to research necessitates setting a periodic peer review process by which the EAGER analytical agenda will be evaluated with input from Africans, AID Missions, other donors and outside experts. Incorporating input from these sources into the EAGER research process on an on-going basis, through the adoption of a definite research and analysis cycle, will build the desired flexibility into the analytical agenda. This will be crucial in assuring that:

- especially promising new sub-themes can be added, even if they were not included in the initial analytical agenda; and
- ARTS/EA will receive vital outside feedback on EAGER research priorities so it can have independent verification of its research priorities.

EAGER will achieve this flexibility by adopting a two-year research and analysis cycle as illustrated in Figure D-1. This cycle will consist of three distinct steps:

- Definition of Research Themes and Sub-Themes;
- Research Activity Development & Validation
- Redefinition/Modification of Analytical Agenda

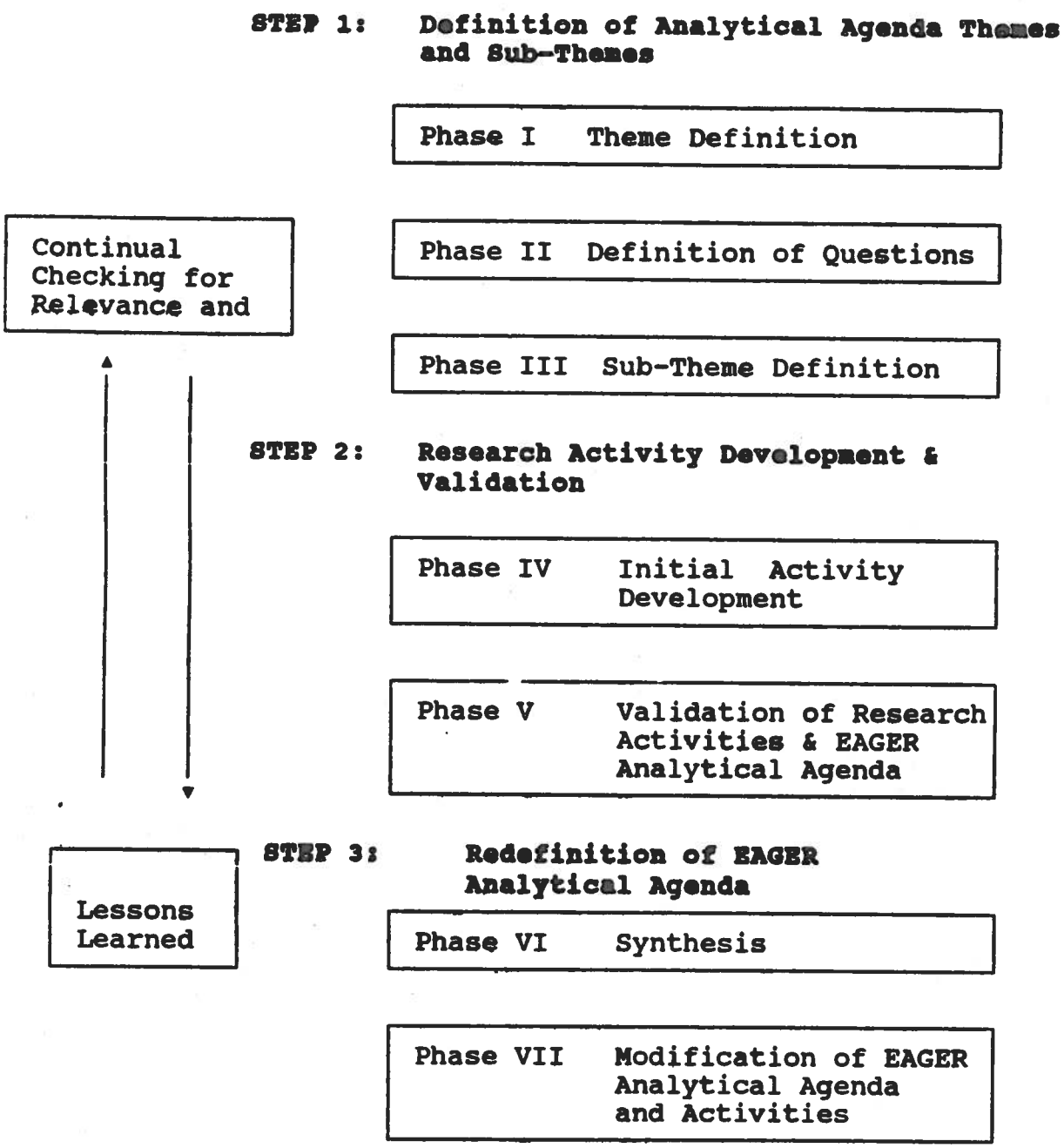
Each of these steps is described in detail below.

Definition of Analytical Agenda Themes and Sub-Themes. This task will be guided by a group of African research directors, policy analysts, and academics, as well as selected other donors and American academics who will provide the Dissemination Contractor with input into the Analytical Agenda. This group will be composed of both economists and social scientists and it will provide the ground-truthing necessary to be sure that the Analytical Agenda stays focussed on issues of policy concern to Africa. The group will meet once a year in Washington.

ARTS/EA and EAGER Washington-based personnel, will contribute to the definition of the Analytical Agenda themes by reviewing the analytic sections of CPSPs and other selected documents from A.I.D. and other organizations that address the question of research priorities and economic analysis information needs. Missions and REDSOs will be encouraged to submit well-considered reports or issues papers to Washington reflecting their thoughts on priority areas. "Well-considered" means that missions will need to demonstrate that they have consulted local decision

FIGURE D-1

RESEARCH AND ANALYSIS CYCLE



makers and researchers and that mission priorities are also important for their African counterparts in government and the private sector. AID Mission economists will also be active participants in EAGER dissemination workshops and conferences, which will constitute another forum for integrating their input into the theme setting process. In addition, by virtue of their close links to African researchers, the two EAGER capacity building specialists in Dakar and Harare will also be counted on to communicate the interests of the Africans with whom they will be in daily contact. Even more importantly, they will help establish continuous lines of communication between these researchers and EAGER Washington-based staff.

It is crucial that the Washington-based EAGER staff consult with other donors on the implementation of their respective research agendas. This is especially important, given the fact that a number of current A.I.D. research priority areas are also being studied by other international organizations (governance, the political economy of policy reform, legal, judicial and regulatory framework, economic integration, financial sector reform, etc.).

The theme definition process will respect a certain logical sequencing of tasks. Guided by the directions set by the African and other donor interaction with the Dissemination Contractor, three steps will be involved:

Evaluation and definition of major thematic areas. EAGER and ARTS/EA staff will begin the research and analysis cycle with a systematic questioning and open-ended evaluation of the main EAGER thematic areas. Initially thus, they will consider the five themes discussed above. The goal of this reflection will be to ensure that the broad EAGER themes are relevant to practical policy-related questions as well as to evaluate other possible themes.

Development of long-term and short-term questions. As broad thematic areas become clear, EAGER and ARTS/EA staff will develop a specific set of research questions under each retained theme to guide subsequent analytical agenda review. These questions will be organized into those that can be realistically answered in the short-term and those that can only be answered in the long-term.

Sub-theme definition. Building on the results of the previous steps, ARTS/EA personnel will take both the long and short term questions and seek to group them into logical sub-themes that can form the basis of actual research activities.

Research Activity Development and Validation. This stage of the research and analysis cycle will fall primarily to EAGER Washington-based staff who will seek to begin do define actual research activities building on the sub-themes defined in the previous stage. This stage has two distinct phases:

> **Initial activity development.** Here EAGER staff will call upon their technical expertise to conduct desk studies and literature reviews to begin the actual design of research activities. They will also communicate directly with Missions, EAGER field personnel and the EAGER dissemination contractor to assure that their design efforts are truly demand driven, incorporate realistic strategies for involving Africans and give adequate attention to dissemination issues.
>
> **Validation of research activities and EAGER analytical agenda.** In this phase, research activities and the entire EAGER analytical agenda will be vetted with the Dissemination Contractor and its group of African research directors and policy makers and with REDSOs and Missions.

Redefinition of the EAGER Analytical Agenda. This final step in the research and analysis cycle will once again be undertaken in close collaboration between ARTS/EA and EAGER Washington-based staff. It is here that the final synthesis of all the previous steps is made and that the responses to the criticisms of Missions, other donors and Africans received during the program economist workshop are formulated. This step involves two phases:

> **A synthesis of lessons learned.** Here ARTS/EA and EAGER personnel go over the whole EAGER analytical agenda and planned research activities to arrive at a synthesis of the various viewpoints expressed during the process and to evaluate their relative merits.
>
> **A redefinition of the EAGER Analytical agenda.** Based on their final review conducted in the previous phase, ARTS/EA an EAGER Staff will redefine and modify the EAGER analytical agenda to produce a final document that will be submitted to the ARTS Director and to the Africa Bureau for approval.

2. Information Sources and Criteria used in Setting the Initial EAGER Analytical Agenda

The initial EAGER research agenda consists of five broad themes and a number of sub-themes against which the project's resources

are focussed. All major research contracts and agreements, as well as the research grants for African researchers described in the capacity building section of this annex, will fall under themes listed in the Analytical Agenda.

These initial analytical themes were developed during the project design process with input from several sources:

- **The ARTS Analytical Agenda for Fiscal Year 1992-1993.** Many of the themes to be addressed by EAGER flow directly from the Analytical Agenda developed by AFRICA/ARTS. This agenda has been set to ensure that AFRICA/ARTS research responds to the specific goals of the DFA.

- **AID African Field Missions.** As part of the design process, Missions were asked to respond to a preliminary version of the analytical agenda. Several Missions made useful arguments for the inclusion of topics (such as regional integration in Southern & Eastern Africa) that had not been a part of early versions of the draft analytical agenda. Further AID field input was collected in interviews conducted by the design team during its mission.

- **African Researchers.** The design team made a concerted effort during its field visits to solicit input from leading African researchers in each country on what they viewed as the crucial research topics that deserve to be addressed over the next six years. Most of those interviewed were from university-based research institutes. This input was crucial in ensuring that the EAGER analytical agenda incorporates African concerns and perspectives.

- **Other Donors.** The design team conducted interviews and collected syntheses of the research agendas of several other donors to check their congruence with EAGER's focus. Donors consulted include: the World Bank, the Overseas Development Authority (United Kingdom), and the OECD Development Centre.

- **U.S. Researchers.** Interviews were conducted with prominent U.S. academics possessing significant research experience in Africa to assess their interests and views on the major research issues to be addressed over the EAGER life-cycle.

The design team conducted interviews with African researchers, donor, and AID Mission personnel during the team's field visits to Senegal, Côte d'Ivoire, Ghana, Kenya, and Zimbabwe. Additional donor organizations were also visited in Paris and London. U.S. researchers were consulted mainly through structured phone interviews. A total of 102 people from all these sources were interviewed as part of the design process. A complete tabulation of the design team's survey results appears

in the "Options Report" prepared for ARTS/EA. A list of persons interviewed appears in Annex G.

Incorporating the input of all the above sources, the design team and ARTS/EA have selected five broad themes for the initial EAGER analytical agenda on the basis of:

- their congruence with Development Fund for Africa Strategic objectives;
- their potential to produce results that will be of practical assistance to (1) African policy makers in designing economic policy and (2) USAID officials in designing programs and country strategies; and
- the expressed interests of the African and U.S. researchers, policy makers and donors consulted during the project design.

The five themes are:

- Public Strategies for Promoting Growth and Equity;
- The Legal, Regulatory and Judicial Framework to Private Enterprise;
- Trade Regimes and Growth;
- Resource Mobilization;
- Cross-Cutting Themes.

Under each of these themes there are a number of possible sub-themes that are potential candidates for receiving attention under EAGER. Taken together, the sub-themes (which are mapped out below) comprise quite a broad and extensive list of research activities. Given its fixed level of resources, there is no way that EAGER can fund in-depth research on the whole range of potential sub-themes falling under each of the five themes.

During project implementation ARTS/EA, with substantial input from Africans and the field, will identify, prioritize and refine the actual research topics to be addressed within the framework of the five EAGER analytical agenda themes. To help assure that various possibilities are compared and prioritized fairly, the ARTS/EA analytic units will utilize a set of common criteria. These criteria will be finalized by ARTS/EA during the early stages of project implementation. An illustrative list of what such criteria might look like is outlined below.

Illustrative Criteria for Identifying and Prioritizing EAGER Research Topics

Strategic - Importance of Activity to Development in Africa

- Why is the proposed research important to/for Africa? How will it:
  - Improve program performance?
  - Increase understanding of key issues and problems related to economic development?
  - Identify emerging sectoral/cross-sectoral issues?
  - Increase ability to assess/measure program impact (including API system)?
  - Synthesize cross-national experience?

- What is the demand for the proposed activity? Number of countries/regions potentially affected? How will the results be applied?

- Is there evidence of substantial African participation in all phases of the research?

- How does the proposed analysis contribute to DFA strategic objectives? To existing programs, budgets and priorities?

- How will the proposed research build on or complement other related research?

- Would the research have been done in the absence of EAGER?

Operational - Feasibility and Reasonableness of Required Resources

- Are the objectives of the analyses clear and specific?

- Likelihood that objectives of analysis will be realized? Is the proposed approach reasonable?

- What is the time frame for the proposed work? Will that satisfy the identified needs?

- What is the anticipated host country (private and/or public) support and participation in defining and executing the activity?

- Are the end users clearly identified? Can feasible and effective dissemination strategies be designed to reach them?

- Is there an appropriate implementor for the proposed activity? Is the implementor available?

- What are the financial resources required? Are they reasonable? Have funds been reserved to finance African participation? Have funds been allocated to assure effective dissemination? Is there a more cost-effective approach to resolving the problem?

- What are the management implications? Can the proposed activity be effectively managed by available staff?

On the basis of these criteria, a tentative list of research sub-themes slated for implementation during the project's first year has been developed. These sub-themes are denoted below in Section B-3 with an asterisk (*).

3. The Initial EAGER Analytical Agenda

a. Public Strategies for Promoting Growth and Equity

Research in this area is needed to provide more information on the proper role of government in the economy with respect to providing public goods, creating a macroeconomic enabling environment conducive to private sector development, and affordable and development-oriented social safety nets (as opposed to relief). Economic theory suggests that growth is driven by increasing factor inputs such as capital stock, which is driven by increased flows of investment. Almost two decades of investments by donors did not produce this result in Africa.

More research is needed to investigate the reasons for this failure. Specific sub-themes that EAGER will target for study under this theme include:

The growth and equity implications of adjustment (*). Building on the first phase of the project, which demonstrated that macroeconomic adjustment has not systematically hurt the poor (especially in rural areas) in countries undergoing adjustment, the second phase will focus on identifying specific microeconomic and institutional factors that need to accompany adjustment to ensure broad-based equitable growth. The research agenda will focus on six critical areas:

- the nature and level of public and private investment required for growth and poverty alleviation;

- the promotion of domestic savings and its role in providing capital for investment and in reducing food insecurity and producer risk;

- the emergence of efficient commodity markets and the role of the state;

- the participation of the poor in wage labor and the role and efficiency of private sector labor markets in rural and urban areas;

- the natural resource constraints to growth and poverty alleviation and the consequences of population pressures for sustainable development; and

- the role of the state when markets fail to alleviate poverty and provide adequate levels of health and education to alleviate the human resource constraints on growth.

The role of the informal sector in economic growth and equity (*). An important question that has received little attention until now is the extent to which the informal sector may be an efficient and equitable vehicle for stimulating broad-based growth. In nearly all SSA countries, it is the informal sector that provides the bulk of employment and apprenticeship opportunities. To the extent that SSA has seen employment growth in recent years, it has been in the informal sector. Yet we know little about the role of the informal sector in generating both urban and rural off-farm employment, nor about the complex interplay that takes place between the formal and informal sectors during adjustment when the formal sector is down-sized in the short-run. Are there cost-effective interventions that the state can make to further stimulate the growth of informal sector productive employment? How have the urban poor participated in the informal economy? Are there ways that informal sector participants can be attracted into the formal sector through legal, regulatory and judicial reform, and can the benefits of entry into the formal sector be quantified?[1]

Fiscal, monetary and exchange rate policies. EAGER will be the Africa Bureau's principal vehicle for funding research on the design of sound fiscal, monetary and exchange rate policies. Under the CAER project, HIID has been studying exchange rate management issues in a number of countries. Issues relating to the overvaluation of the CFA franc, which is an important constraint on the development of Franc Zone countries, may warrant further study under EAGER. In any case, investigation of exchange rate and macroeconomic policies will continue under

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[1] The flip-side of this question is equally important for AID programming in SSA countries: are there conditions under which it is not worth trying to formalize the informal? This is because the costs associated with becoming formal are immediate (e.g. taxes) while potential benefits are longer-term in nature and less certain to be realized (economies of scale, lower transactions costs from operating openly, access to formal credit).

EAGER since there is clearly a demand for it as judged by survey results during the project design.

Comparative case studies across countries will be the most common type of centrally-funded research endeavor in these areas. Small grants to individual researchers and doctoral candidates will also help build country-specific knowledge on appropriate macroeconomic policies. Such analysis is currently being done through the AERC's small grants network and will continue with support from EAGER.

Strategies for Increasing Competitiveness. Reinvigorating African manufacturing sectors is a particular focus for additional research. As Stewart et al. (1992)[2] write:

> "Industrialization is an essential aspect of long-run development. Every country which has achieved sustained growth has also seen structural transformation from primary production towards industry... For many Sub-Saharan countries, however, the 1980s were years of industrial stagnation, and even de-industrialization."

Under EAGER, a primary research issue will be identification of strategies to stimulate industrial (or semi-industrial) growth that is internationally competitive and sustainable. This is a topic that elicits particular interest on the part of African academics and policy makers. In particular, productivity growth and unit labor cost, and their relationship to effective exchange rates are among the issues to be examined. Industry or activity-specific domestic resource cost (DRC) studies may be conducted to assess competitiveness. This has been the central research area for the Francophone economic research network under the IDRC grant and will continue under EAGER.

Equity and human capital investment. The Asian experience suggests basic education skills were important in keeping the income differentials between the highest and lowest paid workers from expanding during a period of sustained, accelerated growth. Likewise, current thinking suggests investing in primary health care has long-run payoffs in terms of higher productivity and fewer health-related problems later in life. Indeed, the two are inter-related to the extent that basic literacy leads to greater awareness of basic health and sanitary issues. Significant long-run cost savings may be achieved if such policies are pursued. While a great deal of research has already been done that

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[2] Frances Stewart, Sanjaya Lall, and Samuel Wangwe (ed.). Alternative Development Strategies in Sub-Saharan Africa. St. Martin's Press. New York. 1992.

suggests that returns to education are high, most of these are based on data from the 1970s and early 1980s. Because there is widespread evidence that the quality of education has seriously deteriorated in recent years in many African countries, there is a need to recalculate average and marginal rates of return in light of these developments.[3] Close coordination with the HHRAA project is necessary to avoid duplication of efforts.

b. Legal, Regulatory and Judicial (LRJ) Framework

Although much research has been focused on how economic policies affect growth and equity through their actions on relative prices ("getting the prices right") little attention has been given to the LRJ framework in which these policies are embedded. EAGER will, therefore, place a high priority on researching issues related to creating an "enabling environment" in which policy reform can lead to broad-based private sector growth.

Those aspects of the LRJ framework of most direct relevance to EAGER are those which govern private sector transactions. While we all recognize the value of a comprehensive framework such as exists in developed countries, we do not have well-grounded advice to offer about which aspects of LRJ frameworks to strengthen to achieve the greatest impact on growth in developing country contexts. This research will address the issue of which aspects of the admittedly imperfect LRJ frameworks in African countries pose the greatest impediments to productive business activity and investment (both foreign and domestic). All research under EAGER in the LRJ area will be closely coordinated with ONI, to avoid overlap and assure relevance to A.I.D. information needs. Specific sub-themes are as follows:

Laws and regulation of private business activity (*). Those laws and legal institutions that define property and contractual rights and employment policies will be examined under EAGER. Achieving a better understanding of how these work (and do not work), and what is appropriate, given the low stage of development in most African countries is important for encouraging critically needed increases in direct foreign investment, additional private domestic investment, and designing labor and employment policies that strike the right balance between protecting workers' rights and remaining competitive. Specifically, how does a country "level the playing field" in order to attract investment and stem capital flight?

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[3] World Bank, "Education in Sub-Saharan Africa: Policies for Adjustment, Revitalization, and Expansion." 1988.

Determining the Role of the State in Providing Services and Regulating Private Sector Markets. Research will largely be limited to areas where market failures are most likely to occur. Among the set of issues to be addressed are: (a) how to handle negative externalities; (b) cost recovery and pricing policy; (c) maintenance and new investments in infrastructure; (d) privatization; and (e) accountability. Much work remains to be done in each of these areas. Specific subjects of research might include: internalizing externalities (on which interesting work is already underway); cost recovery for public goods (including basic education and health care); pricing policies for public (and private) utilities, etc.

Privatization of State Owned Enterprises. Given the slow pace of privatization in Africa, this topic will remain a major area of study for some time. Questions to be answered include: what accounts for the slow pace of privatization in Africa, even though candidates have been identified? Do we have a sequencing problem since capital markets are virtually non-existent? What can we do to promote broad based ownership? Should natural monopolies (e.g., public utilities such as the telephone system and electricity generation) be privatized? What are proper roles for regulatory authorities for these types of utilities, regardless of whether they are privatized or not?

Decentralization. A key area of study under the LRJ framework will be decentralization. In some cases, this will be linked to the user cost question for financing social services. In others, case studies of organizations that increase local participation in decision-making and mobilizing resources for local development will be carried out. In all cases, designing institutions so as to empower those who are affected by them will be an major theme.

c. Trade Regimes and Growth

During the design team's mission African policy-makers, academics and various donor officials expressed a desire for more research in two areas related to international trade: (1) strategies for promoting non-traditional exports and (2) economic integration. The reasons for this interest are clear. In the case of non-traditional export development, the current range of traditional exports may have reached market saturation. While they will continue to occupy an important place in the export market, they are not at present promising candidates for accelerating growth. Therefore, EAGER research should focus on adding value to traditional exports and improving non-traditional export performance -- currently a small fraction of total SSA exports. As for economic integration, there has been a longstanding interest in this topic in West Africa where strong sub-regional informal trade flows fuel a great deal of economic activity.

However, surprisingly little systematic analyses of these trade patterns, and the regulatory environments in which they occur, have been done until present. These issues are currently being addressed by Club du Sahel/CILSS, but much more remains to be done. In Eastern & Southern Africa the emergence of South Africa as a strong regional pole for development has sparked renewed interest in the economics of regional integration.

Specific sub-themes that EAGER might fund in these two areas are described below.

Strategies for non-traditional export growth (*). It is clear that many countries in SSA export similar types of cash crops and will also face tough competition from other developing countries, most notably in Asia. Increasingly, therefore, export promotion efforts may have to focus on niche markets with higher value-added, with greater emphasis on quality and marketing. More research is needed to investigate ways to promote quality control and stimulate interest in export production. The viability of alternative strategies such as: exposing products to international competition by liberalizing imports and let the market "take care of itself," or establishing product standards (to be monitored and enforced by a peer group) need to be investigated. A national level bureau of standards is another alternative.

One important area of enquiry here will be to identify current institutional constraints to the expansion of export growth. Research currently underway by Associates for International Research on Development on non-tariff barriers to trade will be continued under EAGER. This work will seek to quantify the impact of institutional constraints on non-traditional exports in a cross section of countries by extending the domestic resource cost (DRC) methodology to include the direct costs associated with institutional barriers (e.g. fees, bribes, labor compensation), imputed costs (e.g. higher administrative costs, excess inventory), and the cost of shifting activities to the informal sector (e.g. cost of capital, foregone economies of scale, labor quality). Once the magnitude of the distortions arising from institutional constraints are known, individual industry supply functions will be estimated so that some idea of the aggregate costs of the constraints--both in terms of foregone exports and GDP--can be calculated.

Economic integration. An issue of growing concern to Africans, Missions, and Geographic Offices is the relationship of regional economic integration to economic growth in Africa. As more countries adopt market-based economic policies, administrative barriers to movements of goods and people in Africa are falling--thereby giving new impetus to studies of economic integration. EAGER will support research looking into questions such as: what

types of regional cooperation and policies to promote integration will result in greater trade among countries of a region? What policy recommendations are most appropriate at this stage of development in Africa? How will regional integration in other parts of the world and the potential creation of trade blocs affect the policy response most appropriate for Africa? Research in this area will focus on both the microeconomic aspects of integration--primarily by funding studies looking at the economics of important sub-regional trade flows--and on macroeconomic implications of emerging regional economies.

d. Resource Mobilization

Two developments have brought issues related to resource mobilization to the forefront of discussions on economic policy in Africa. The first of these is the pressure that adjustment measures have put on public budgets--which have focussed African policy makers and donors on the necessity of mobilizing funds to support public programs. Secondly, the collapse of many financial institutions (especially in Franc Zone countries) in the late 1980s has disrupted financial markets, leaving private sector business with only minimal access to credit and equity capital. EAGER Research in this area will, thus, consider both public and private resource issues. It will often complement research efforts under the LRJ framework. Specific sub-themes on the agenda include:

Informal financial intermediation (*). At the informal level, we know little about credit markets. Formal financial institutions have operated successfully, lending small amounts profitably with little risk of default and no c llateral (e.g., Grameen Bank, Bangladesh; Smallholder Agricultural Credit Administration, Malawi). The principle is to lend to borrower groups that collectively ensure repayment. At the informal level, curb markets and savings clubs exist (e.g., Rotating Savings & Credit Associations [RSCAs] in Cameroon, as documented in a recent Cornell paper) but we know little about them. As they offer great potential for resource mobilization and easing access to credit at the grassroots level, they need further investigation.

Public sector resource mobilization. With regard to government revenue, areas for improvement do not only include increasing revenue but overhauling the tax system in ways more conducive to economic growth. This refers to both investment and consumption decisions. Consumption taxes that tax all forms of non-essential consumption and spare savings could improve savings and contribute to resource mobilization. The references here are to ideas such as flat income taxes and particularly value-added taxes. Current IMF policy prescriptions are limited to lowering tax rates, broadening the tax base and improving collections. In

our view, this does not go far enough in changing the incentive structure to save, invest and spur long-term growth. How feasible are such fundamental changes to tax systems, what are the revenue consequences, and what is the experience of countries that have adopted some of these measures?

The issue of user fees for social services is also important. Specifically, should governments impose user fees on long-term development objectives such as improved primary education and primary health care, in addition to other services? What are the economic consequences of such moves?

Formal Financial Markets. In general terms, identifying strategies for financial deepening are key here. Among the questions that must be answered are: (a) what are necessary and sufficient conditions for retaining flight capital and attracting worker remittances (where applicable)? (b) what would compel citizens to switch from non-financial to financial assets, and from cash to financial assets? and, (e) is there a connection between rent-seeking behavior and resource mobilization? If so, what is the cost to the country?

Targeting EAGER research on such issues as the regulation of banking activity is one promising option. The implications of the Franc Zone central banks exercising monetary control through interest rates rather than through direct credit limits needs to be explored and is of particular interest to the Zone's monetary authorities. More research is also needed on the effect of laws governing payments defaults. Analyses of the supply and demand for commercial credit would also be useful, since African entrepreneurs often complain of their lack of access to credit.

e. Cross-Cutting Themes

A fifth category of research to be undertaken through EAGER will look at important cross-cutting themes. Topics addressed in this category deal with issues that have widespread implications that cannot be sufficiently addressed within the framework of the four major themes listed above. They may also include topics co-funded and co-managed with other ARTS offices. Specific cross-cutting themes that will be researched under EAGER include:

The Political Economy of Reform (*). One of the clear lessons of the design team's mission was the interest of USAID Missions in gaining a deeper understanding of the political and social context of policy reform. During its visit to Senegal, for instance, Mission personnel stressed to the design team that the economics of such issues as the liberalization of agricultural markets have been extensively studied and are now fairly well understood. However, USAID's knowledge of the micro-level socio-

political consequences of reforming agricultural markets is embryonic at best. More research needs to be done on the dynamics of interest groups and their ability to influence policy reform at all levels. A buy-in to the R&D Implementing Policy Change project during EAGER's first year will be the main initial vehicle for project research on this sub-theme.

Multi-disciplinary studies that identify how to address political economy concerns prior to launching reform programs (ex ante analysis) to raise the chances of their political sustainability will be especially valuable. Regarding ex post analysis, detailed examination of the roles of different interest groups during the reform process will be useful, especially in light of the fact that political liberalization means that more groups will have a voice in the policy process than was the case in the past. The placement of a Political Scientist and Anthropologist with REDSO/EA is reflective of the strong Mission demand for more research in this area.

Lessons to be learned from the Asian experience (*). The rapid advance of a new category of Asian countries has not gone unnoticed by African researchers. Many U.S. and African scholars note, in particular, that these Asian countries have achieved impressive levels of development without always following perfectly market-based development strategies; whereas similarly interventionist policies in Africa have in no case led to economic growth. Research on this topic is already being conducted by H.I.I.D. for ARTS/EA and will be continued under EAGER during the project's first year.

Information Utilization. Another area where research effort could be put to good use is in the identification of constraints on the flow of information relevant to African policy makers and researchers and the elaboration of strategies to overcome these obstacles. Given the great needs of these groups for greater access to data and analysis there is a temptation to move too quickly in designing programs to supply them with journal subscriptions, books, CD-ROM data bases, fax machines, and computers. Before such programs can be envisioned, needs must be assessed in a systematic fashion and more attention must be given to the serious problem of sustainability.[4] EAGER will fund, therefore studies looking at the utilization of policy-relevant information in university and government circles in order to come up with viable strategies for improving its overall effect.

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[4] Before embarking on a program to supply African research institutes with CD-ROM data bases, for instance, it should be realized that there are currently only about 50 CD-ROM players in all of Sub-Saharan Africa. (Estimate from the American Association for the Advancement of Science.)

Governance and Political Liberalization. This topic sparks strong interest among both Africans and donors. The advent of multi-party states across the continent and the opening up of the political process has important implications for economic policy, which is being determined by a wider circle of actors. Such important issues as the relationship between political liberalization and economic growth will be investigated under this theme. EAGER will also fund establishment of a social science network of African scholars who will study political economy and governance issues. This will be done through CODESRIA and assisted by the EAGER capacity building specialist based in Dakar.

Capacity Building. Numerous donor capacity building programs have been initiated in the past several years. Important issues such as how to resolve the serious shortage of trained policy analysts given a serious "leakage" problem with overseas training programs and the current lack of training capacity in Africa present real dilemmas. EAGER will consider sponsoring research which seeks answers to such questions as: how can overseas training programs be designed to encourage participants to return to their home countries? How can incentive systems be structured in universities to encourage faculty to conduct their own research? In what disciplines are shortages of trained African researchers most critical?

A major portion of the EAGER research effort in this area will be undertaken by the Capacity Building Specialist in Harare, who will provide technical support to the research department of the Africa Capacity Building Foundation (ACBF). This person will conduct research investigating the costs and benefits of different capacity building activities and advise both EAGER staff and the ACBF on strategies for reinforcing African research capacity. Rather than focusing on "doing" capacity building (which will be the role of the Dakar-based Capacity Building Specialist), this person will conduct research and review new developments in the field of capacity building.

C. Assuring the Quality of EAGER Research

Once broad research themes have been identified, mechanisms must be in place for assuring that specific research projects are designed with the requisite level of rigor. For work that is contracted to institutional contractors under IQCs and cooperative agreements, AFR/ARTS/EA and EAGER funded personnel will jointly draft detailed workplans and scopes of work for research in their respective thematic areas. Research design "soundness" will largely be assured by recruiting EAGER personnel who have extensive experience conducting research in their

specialty areas. As needed, the project will also draw on recognized outside experts to assist in the drafting of research proposals and in periodic reviews of research implementation. Provisions for this will be included in the Dissemination and Technical Support Contract. Proposals will also be vetted with field missions that have been identified as potentially interested candidates for buy-ins. This will be done to: 1) assure that the questions to be addressed are of importance to the missions, 2) solicit their opinions on the feasibility of carrying out the research in light of data availability, probability of finding qualified local collaborators, and other practical concerns, and 3) get a sense of potential demand across countries for the research services being offered.

A major role of EAGER personnel will be to provide technical oversight to research activities. In addition, the Dissemination and Technical Support Contractor, under the supervision of the Project Officer, will set up an Evaluation Information System (EIS) to provide input for the project's quarterly tracking system. Two formal evaluations of the overall EAGER project will be conducted (an interim evaluation early in the third year of the project and a final evaluation late in Year 5 or early in Year 6). Larger EAGER sub-components may receive discrete evaluations. A primary issue during all evaluations will be the extent to which information generated under EAGER is being used by decision-makers and other potential beneficiaries. Evaluation methodology is described in more detail in Chapter VI.

Research on the range of topics proposed above should prove instrumental in helping African policy makers grapple with the practical policy dilemmas that they face every day. The resources that EAGER will mobilize to address these questions, drawing from the U.S. research community, includes some of the world's leading figures in the fields of economics and social science. By combining these persons' technical expertise with the intimate knowledge and contextual understanding of African researchers, EAGER will be able to make a significant contribution, not only in terms of producing better ideas, but also in making sure that these ideas reach the policy makers who can put them to use.

II. CAPACITY BUILDING

This section outlines EAGER's role in building economic and social science research capacity in Africa. Part A gives an overview of the state of economic and social science research in the continent. Part B enumerates the many obstacles confronting African researchers. Part C lists the specific criteria used to guide EAGER's capacity building strategy, which is described in detail in Part D.

A. The State of Economic and Social Science Research in Africa

There is widespread agreement that indigenous policy research in Africa (with the notable exception of agricultural research) has not made great strides over the past thirty years--despite the considerable efforts made by both donors and African governments. This observation is all the more disturbing when one realizes that, on paper, there are more Africans with advanced economics degrees and more university graduates than ever before. The number of trained African research scientists and engineers rose, for example, from 243,000 in 1980 to 469,000 in 1985. The growth in the numbers of Africans with undergraduate degrees has been even more spectacular--rising from a mere 1,200 at independence to over 70,000 in 1983 (and, no doubt, even further since then).[5]

Yet, despite this numeric growth, real economic research capacity has declined in most countries. Universities in Senegal, Ghana, Kenya, Uganda and Nigeria, which at independence were among the finest institutions in the developing world, have seen their standards drop, recurrent and investment budgets dry-up, and graduate programs fall into disuse for a lack of qualified students and teachers. To give two examples from what used to be the flagship university for Francophone West Africa: over the past 4 academic years at the Université Cheikh Anta Diop (formerly the Université de Dakar) in Senegal, only 2 students out of 120 have passed the qualifying examination which sanctions entry into the second year of the Economics Department's M.A.

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[5] Although these figures include people in many other disciplines than economics, assuming a proportional growth across different fields, they do give some indication of a rapid growth in the numbers of trained economists and other social science researchers. The figures given for "engineers and scientists" is from the IDRC, "Strategic Choices for Sub-Saharan Africa," April 1991. The figures for university graduates come from The World Bank, "The Africa Capacity Building Initiative: Towards Improved Policy Analysis and Development Management in Sub-Saharan Africa," 1991.

program--and those two never passed their final year examination.[6] Also, the regular graduate/faculty seminar in macroeconomics has fallen by the wayside for want of qualified graduate students and interested faculty. Journals, which were once recognized for their high quality, such as the University of Ghana's Economic Bulletin of Ghana, have been abandoned. Public sector research units face similar problems: budget cuts and civil service wage scales have made the recruitment and retention of competent staff extremely difficult. The narrow compression of wages between senior and junior staff hinders, in particular, the retention of high-level government research staff. The output of such centers is often oriented around a few standard short term tasks of low analytical value and of questionable relevance to important policy issues.

Donor efforts to spur indigenous policy analysis and research capacity have not contributed to African institutions' capacity to carry out and sustain coherent programs of economic research and policy analysis. Invariably, once support for particular programs is removed what ever "success" has been achieved rapidly evaporates. AID, along with other donors, has employed legions of expatriate consultants and resident advisors (currently over 100,000 at an approximate annual cost of over $4 billion according to the World Bank[7]) with little lasting impact on local researchers and institutions. While some attention is given to building research capacity through collaboration with African "counterparts," often this means employing the most competent local researchers to collect data for studies responding to external agendas that are subsequently completed overseas. While this approach has undeniably produced a plethora of high quality research, much of the benefits in terms of human capital formation have accrued to U.S. and European experts. (As a multi-lateral donor representative in Senegal said to the EAGER design team, "the people with the deepest understanding of this country's economy are all in the United States.")

The collapse of African policy research capacity is linked to the general decline in real per capita GDP, which has generally reduced government support for economic and social research programs. This drying-up of public support has had especially serious consequences because of the lack of alternative sources

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[6] These figures are based on enrollments from the 1988/89, 1989/90, 1990/91 and 1991/92 school years. See: Germain Ndjieunde and Tony Hodges, "Etude d'un Projet Pour la Formation de Hauts Cadres dans un Programme de Troisième Cycle Interuniversitaire (PTCI)," CIEREA, April 1992.

[7] To be fair, it should be noted that many of these technical assistants are employed in areas having little to do with economic research per se.

of funding. (According to the World Bank, in most countries, governments are responsible for over 90% of national research and university expenditures.)

B. Constraints on Policy Oriented Research

The general scarcity of research funding throughout Africa is symptomatic of a deeper crisis in the African economic and social science research community. Researchers and research institutions are finding that their ability to perform is constrained by a host of problems, which even a substantial increase in funding would be unlikely to overcome. These include:

A shortage of competent researchers. This constraint is universally acknowledged to be one of the primary obstacles to doing more and better research in Africa. In Universities, the most skilled researchers are habitually overburdened with consulting assignments and have little time to do their own research. They also spend a great deal of time teaching courses as visiting professors at other universities. Similarly, the best government researchers often rise so quickly that they soon leave research behind for management or political positions. One of the reasons for this lack of good researchers is that the rapid increases in undergraduate enrollments across the continent have, in most cases, led to a significant deterioration in educational quality--which has probably diminished the supply of competent graduate students. This is particularly worrisome, since graduate students are both important inputs into the research process and comprise the core of future researchers.[8] Another reason for the shortage of good researchers is the understandable preference that many have for employment with international agencies or foreign research institutions--all of which offer salaries beyond the means of most African governments and universities.

Inadequate or inappropriate methodological preparation of research staff. This is also a major problem hindering the development of research in Africa. Many researchers lack experience and training in research design and quantitative methods necessary to do policy-oriented research. This lacuna is particularly prevalent in Francophone Africa, where the Anglo-American tradition of empirical economics is not deeply implanted. Another facet of this problem is the lack of coherent

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[8] An exception to this common pattern of rising undergraduate enrollments is the university of Dar-es-Salaam, in Tanzania, where the restrained growth in the undergraduate population may be one reason why its graduate program is relatively strong.

manpower planning in many university departments, where key subfields are left uncovered for want of qualified personnel. Compounding these difficulties is the unfortunate mismatch between the theoretical training that many researchers receive overseas and the reality they face upon return. France, for instance, has a long tradition of training African economic statisticians at its national statistics institute (INSEE). These students receive world-class instruction on economic modeling only to find, upon returning, that none of the requisite data for such models exists in their home countries. Similar examples could also be told of graduates from US Ph.D. programs.

A lack of demand for economic policy research. Economic research has a very tarnished image in many African countries. Generally, governments have little interest in sponsoring economic research or in using its results for policy making purposes. Rightly or wrongly, policy-oriented research is often perceived by host governments as responding more to donor needs than to their own. This is hardly surprising, since the research design for such studies is usually formulated in donor agencies or in developed country universities, with only minimal or pro forma input from host country sources. Consequently, most economic research in Africa is done to provide analytic background for donor programs and to furnish material for Ph.D. theses or scholarly publications. The resulting studies, although they are often of high quality, are geared to academic or donor audiences and are rarely of immediate practical use to local governments. Lag times between data collection and study completion are too long, reports are produced in lengthy tomes full of eloquent theoretical constructions which may help the author's academic reputation, but are of little relevance to policy makers. Finally, because of their peripheral involvement, local researchers feel little sense of "ownership" of the results--meaning that they rarely stress the importance of such studies to government officials. All these failings have made governments highly dubious of the value of economic research as an input into the policy setting process.

Inappropriate incentive structures. Without exception, African researchers complain that they have few incentives to produce their own research. Research output plays little or no role in determining remuneration levels in African universities--teaching loads and seniority count much more heavily. Furthermore, African researchers generally favor consulting assignments on donor-sponsored projects as opposed to their own research. This is understandable since they are generously supported by the former, whereas they have virtually no financial rewards contingent upon the latter. In government research units, low civil service pay rates are hardly conducive to energetic research output. If this were not enough, there are also institutional factors that diminish government researchers'

incentives to conduct quality work. These include: the appropriation of junior researchers' work by their more senior colleagues--who often have fewer technical qualifications, lack of bonuses for high-quality work or penalties for sub-standard performance and patterns of promotion based on patronage rather than on merit.

The lack of interaction between university researchers and government policy makers. One well known problem, whose existence was confirmed by the design team, was the low level of contact between African university researchers and government officials responsible for the formulation of policy in their respective areas of expertise. Although present nearly everywhere, this phenomenon is particularly notable in Francophone countries, where mistrust between academics and government researchers seems to be particularly strong. University researchers often expressed the opinion that their government counterparts are on a lower theoretical plane and lack the training to participate in a meaningful dialogue. Conversely, government officials criticize academics for being too theoretical and not oriented towards the short-term problems with which they are principally concerned. In any case, the psychological and methodological distance between the two spheres is great and shows little sign of diminishing. With a few notable exceptions such as CIRES in the Côte d'Ivoire, the difficulties that university research institutes have had in securing funding has not induced them to increase their "marketing" activities towards governments.

Inadequate material and administrative support. This is the most obvious constraint facing African research institutions--be they university or government based. Walking into some research institutions provides a good tonic of reality to much of the discussion on capacity building. Some do without desks, telephones, light bulbs or chairs--let alone computers or fax machines. With non-wage budgets stretched extremely thin, most universities cannot afford to maintain basic infrastructure. Consequently, such vital research inputs as journal subscriptions, libraries, computers, are left to deteriorate. Very few African universities maintain up-to date libraries. The Université Cheikh Anta Diop, for example, spends 20 times more on student meals than it does on library acquisitions. Revenues generated by donor consulting assignments accrue to individual researchers, leaving nothing left over for supporting necessary overhead. In addition to the material constraints, qualified support staff are virtually non-existent. Computer systems specialists, program administrators, librarians, are all extremely scarce. This lack of support personnel means research staff, who are already spread thin between their consulting and teaching duties, must handle the more prosaic administrative tasks of any research they generate by themselves.

Bureaucratic and institutional constraints. Many African university-based research centers lack both the administrative and financial autonomy to function as semi-independent units along the lines of their US counterparts. They are financially dependent on universities for their basic operating expenses and subject to university guidelines on such matters as personnel policy and teaching loads. Furthermore, most universities require that any income generated by these centers be placed in the general university budget--where most of it is lost to the center. This gives researchers even more incentive to find their own individual consulting contracts, which are not usually subject to university scrutiny.

The lack of national "research systems." Many African researchers cite the absence of a planned coherent framework for sponsoring, supporting and disseminating economic research to key government policy makers as an important factor limiting both the quality and quantity of policy research. The existence of just such a system in the area of agricultural research, where many countries do have defined procedures for assessing training and research needs, drawing up budgets, and disseminating results to a target population, explains why agricultural research is more healthy than economic research. The relative success of such countries as Indonesia in designing and implementing an economic reform program, can, in large part, be attributed to the existence of an integrated economic management and research system. In this Indonesian model, senior policy makers identify promising junior candidates for overseas M.A. and Ph.D. training, work with donors to secure funding and serve as mentors upon the students return--thereby facilitating their incorporation into the government policy making apparatus. Because of this system, Indonesia is able to integrate a high percentage of its overseas Ph.D.s directly into public policy positions--where they have the opportunity to make substantive contributions on policy issues. Thus, although proportionately it has no more economists than most African countries, Indonesia is able to use them much more effectively.

C. The EAGER Capacity Building Strategy

Given the general lack of research capacity in Africa, there is a great need for almost any type of capacity building activity. However, EAGER is primarily a research project and cannot devote resources to capacity building on a scale that would permit it, by itself, to make an appreciable impact on most of the constraints listed above. What EAGER can do, though, is support existing providers of capacity building services to enhance their abilities to address these constraints. Thus, EAGER will utilize the solid institutional experience of such capacity building organizations as the International Development Research Centre

(IDRC), African Economic Research Consortium (AERC), International Center for Economic Growth (ICEG) and the Council for the Development of Economic and Social Research in Africa (CODESRIA) to provide additional support to programs that have already demonstrated their effectiveness. (The specific programs and areas of organizational expertise of these associated capacity building institutions are described more fully in annex F.)

These four organizations, in particular, have developed substantial expertise in creating, administering, supporting and monitoring networks of African researchers--which will form the core of EAGER's research capacity building strategy. In addition to supporting African researchers through networks designed to award small research grants, EAGER will also support the training of African economists within the framework of a series of new inter-university M.A. training programs that are being developed under the aegis of the AERC and a sister Francophone organization, the Conférence des Institutions d'Enseignement et de Recherche Economiques et de Gestion en Afrique (CIEREA).

The activities of another capacity building institution, the African Capacity Building Foundation (ACBF), will also have some bearing on EAGER--even though the project will not be directly supporting ACBF programs. The EAGER Capacity Building Specialist in Harare will be based at the research department of the ACBF to provide it with technical guidance on questions relating to the design of capacity building strategies. This person will not be involved in the actual capacity building activities described below, but will still influence the environment in which the EAGER capacity building component works, by advising the ACBF on potential uses for its four-year budget of $100 million. Thus, the Harare-based Capacity Building Specialist will play a key role in coordinating EAGER capacity building activities with those of the ACBF.

In deciding which capacity building activities to support from the whole range of possibilities represented in the portfolios of the four cooperating institutions identified above, the design team has used a set of criteria to guide its selection. These are:

- **The existence of existing providers in need of additional funding.** As mentioned above, rather than seek to create new capacity building programs, EAGER should support existing initiatives where there is scope for expanding their activities without saturating absorptive capacity.

- **The existence of a proven track record of success.** Preference should be given to activities that have achieved good results.

- **Complementarity with EAGER research activities.** Many activities can be combined with research in a mutually reinforcing way.

- **Management intensity.** What demands do they place on ARTS/EA and EAGER staff member's time?

- **Cost effectiveness.** Priority should be given to activities that reach a large number of individuals for relatively low sums.

D. EAGER Capacity Building Activities

The main EAGER capacity building activities are presented in Table D-1. They fall into two main categories: strengthening research networks and supporting training programs. These are described below.

1. Strengthening Research Networks

Small grants research networks are an important element of any capacity building strategy. They provide a useful mechanism for mobilizing individual researchers and offering them technical support to develop their professional research skills. Small grants awards are also a flexible type of support that can be easily tailored to particular target audiences and modified to fit into different delivery mechanisms. Rather than creating its own separate research networks, which would place an unacceptable management burden on EAGER staff and ARTS/EA, EAGER will work through the existing organizations such as the IDRC, AERC and CODESRIA which have a much greater institutional experience in the administration of economics and social science small grants awards in Africa. The particular elements that make each of these organizations appropriate choices as vehicles for supporting networks of African researchers are detailed below.

AERC. The AERC has amassed significant institutional experience in developing research networks of African researchers since its founding in 1988. The AERC has developed a research cycle incorporating peer review by African and Western economists, continued interaction with outside resource persons and technical support by its Research Coordinator. It also provides support for the publication of research reports commissioned through its networks. The AERC maintains contact with over 40 agencies, universities and research institutes located throughout the continent. Its networks are particularly strong in Eastern and Southern Africa. The AERC awards grants both after issuing calls for proposals on specific topics (recent ones have been balance of payments and domestic financial management) and in response to original "non-thematic" proposals from African researchers.

TABLE D-1

CAPACITY BUILDING ACTIVITIES

Capacity Building Activity	Constraint Addressed	Criteria for EAGER support (+) favorable consideration (-) unfavorable consideration
Strengthening Research Networks	Inadequate technical training Isolation of researchers	(+) Cost (+) Track Record of Success (+) Complementarity with EAGER Research (+) Existing Providers in Need of Resources (-) Management Intensity
Supporting AERC/CIEREA M.A. Programs	Shortage of researchers	(+) Existing Providers in Need of Resources (+) Cost effectiveness (relative to overseas training) (-) Complementarity with EAGER Research
Grants to Support Thesis Research	Shortage of researchers Inadequate technical training	(+) Complementarity with EAGER Research (+) Track Record of Success (+) Existing Providers in Need of Resources (-) Management Intensity
Training for Research Administrators	Shortage of research administrators	(+) Cost
Sabbaticals for University Faculty	Inadequate Training Isolation of researchers	(+) Track Record of Success (+) Complementarity with EAGER Research

IDRC. Out of its two regional offices in Dakar and Nairobi, the IDRC sponsors networks of African researchers by channeling support through individual African research institutes or scientific organizations. Thus, unlike AERC, its main purpose is not to deliver small grants itself, but to strengthen the capacity of African institutions to sponsor their own research and administer their own networks.[9] IDRC personnel work with these institutions to help them develop peer review processes and research agendas, while also providing technical support for individual researchers. One of the EAGER capacity building specialists will be based at the IDRC's regional office for West and Central Africa in Dakar. This person, in collaboration with IDRC personnel, will help strengthen networks of African researchers in the West and Central part of Africa--areas where, because of linguistic differences and geographic distance, the AERC's networks are less well developed.

CODESRIA. One of the IDRC's primary African collaborators is CODESRIA, which sponsors, provides technical support for and publishes the research of African economists and social scientists. The continuation of the Industrial Policy Network project, already being run by CODESRIA in cooperation with the IDRC, will be continued under EAGER. Because of its widespread prestige on the continent as a sponsor of social science research, CODESRIA may also be an appropriate vehicle for funding a new network focused on social science topics.

ICEG. The ICEG has developed a somewhat different model for supporting networks of researchers from developing countries. It provides research grants to collaborating "correspondent institutes" (CIs) to support original research by institute staff members. Unlike the other providers, ICEG does not provide extensive on-site technical assistance. Rather it relies on its network of international experts to provide written comments and suggestions on drafts of work that it is sponsoring. With its network of 45 CIs in 22 African countries, the ICEG can provide a useful complement to the networking activities of the AERC, IDRC and CODESRIA.

The workings of the research network approach are best demonstrated by examining the CODESRIA/IDRC industrial policy network in some detail. This network, created in 1989 with support from IDRC, USAID, CIDA and the World Bank, brings together 15 research teams of two to four individuals financed

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[9] The IDRC does award a small number of grants directly to African researchers through its Small Activities Program (SAP), but the major part of its resources are channeled through collaborating African institutions.

through a small grants mechanism working in 9 Francophone countries on studies calculating effective rates of protection and domestic resource costs in various industries. The network is administered by CODESRIA with support from the IDRC. Technical support for the network is organized by the Centre de Recherche et de Développement Economique (CRDE) at the University of Montréal. The CRDE provided initial training in the form of short courses (in Canada and Africa), as well as in-country workshops and training in the chosen Domestic Resource Cost software.

Potential network participants are responsible for coming up with an acceptable research proposal before being admitted into the network. Once admitted, after review of their proposal by the network's technical oversight committee, which is composed of eminent Western and African economists, researchers receive modest funding in several tranches and are invited to annual meetings with the technical committee. On-going technical guidance is also given by the technical committee, whose members make themselves available to network participants on their periodic visits to the region. Occasional network meetings are arranged so that members can assemble and compare their work and profit from their mutual experiences. The network is coordinated by one full time economist at CODESRIA who coaches potential participants on proposal preparation, provides administrative and technical support to the network and responds to specific difficulties as they arise, thereby ensuring that teams continue to make progress on their projects. This coordinator receives support from the IDRC's regional program officer, who also publicizes the network and advises potential participants. The industrial policy network has proved to be particularly successful in reaching a group of researchers coming from very heterogenous backgrounds, who have learned a common analytical methodology, significantly improved their technical capacity and increased their competence in the research design and implementation process.

During the projects' six year life span, the following capacity building research networks will be supported:

- The CODESRIA/IDRC Francophone Industrial Policy Network described above will receive continued funding to widen the scope of its activities beyond the narrow application of DRC methodology. This activity will be funded under a grant to the IDRC.

- The AERC's networking activities will continue to be supported through a EAGER funded grant. This will support the strengthening and extension of the AERC's networks researching balance of payments management and domestic financial management.

- A third social science-oriented research network to be organized by CODESRIA, or an other organization, will be supported through a grant to the IDRC. Determining the exact focus and institutional home for this network will be the responsibility of the EAGER Dakar-based capacity building specialist. Possible topics include: a network on governance issues, including the relationship between political liberalization and economic growth, and a network looking into political decentralization and sustainable management of natural resources.

- ICEG's activities in support of its African CI's will be expanded to include the sponsoring of research by CI staff members and the provision of a small amount of institutional support.

The EAGER capacity building specialist in Dakar will be responsible for following the development of these networks. This person will serve as focal point of communication between scientific oversight committees and network members, guide participants through the proposal process and help implementing agencies administer the grants. He or she will also ensure that specific research topics chosen for each network are in broad agreement with the EAGER analytic agenda. Besides supporting the above networks, the Dakar-based capacity building specialists will also help identify new opportunities for creating small grants type research networks on EAGER related topics.

Building the capacity of these research networks is particularly appropriate under EAGER for a number of reasons:

They make efficient use of both financial and technical resources. By channeling resources through existing research networks, research funding can be extended to a large number of researchers, often supporting many more people than would be reached by an approach concentrating resources on one center and relying more heavily on expatriate technical assistants. Similarly, by periodically bringing together the scientific oversight committee and network participants, the technical expertise of the scientific oversight committee can be efficiently accessed to develop the skills of researchers in widely scattered locations.

They link funding with performance. As one donor representative with extensive capacity building experience noticed, donors must share the responsibility for the poor quality of much research by Africans since they often provide up-front funding without requiring any demonstrated capability or commitment on the part of African researchers. This weakens performance incentives and encourages less-than-rigorous research design efforts. By

requiring researchers to develop viable proposals and submit their research design to a peer review, without any advance funding, networks and small grants competitions ensure that researchers have some commitment to the exercise. Tranching of disbursements, once awards have been granted, has a similar effect.

They link dispersed researchers and creates a common analytical framework. When organized around a central analytical method, such as the DRC methodology adopted by the IDRC industrial policy network, the research network approach can create a common scientific vocabulary and contribute to the establishment of on-going professional relationships between researchers with similar interests in different countries. One observer of the IDRC industrial policy network noted that it provided a rare occasion for African researchers trained in the American, French and even Soviet traditions to come together and hold meaningful professional discussion. Periodic conferences bringing together award recipients, such as those organized by the AERC, can still help to reduce the isolation of individual researchers.

They provide training in all phases of the research cycle. The research network approach depart significantly from the all too common model in which African "counterparts" are employed to collect data studies that are conceived entirely by donors or overseas researchers. In contrast, under the IDRC, ICEG and AERC models, it is the Africans themselves who carry out the research. "Ownership" is not an issue, because the research is completely and unambiguously African.

They often reach a category of researchers who do not usually benefit from outside funding. Since most of the better-known African researchers are already over-committed with consulting assignments financed by donor agencies, they are not easily attracted by the relatively low monetary rewards available through the small grants awards and the research networks. Consequently, these types of arrangements are useful in reaching their more junior colleagues. Reaching these types of people is especially important, since junior faculty or research staff are often recent graduates returning from scholarship programs abroad. Such people may rapidly lose their analytical abilities if they are not given the chance to apply their academic training. By joining a research network or embarking on a specific small grants-financed project, they can preserve and refine the skills they acquired overseas. In addition, small grants awards offer an ideal vehicle for tapping into the high demand among African social scientists for research and publication funding outside of economics--which receives the lion's share of resources.

2. Training Activities

Given the shortage of adequately trained African researchers, training programs have the potential to make a significant positive impact on African research capacity. The lack of trained economist and other researchers is, perhaps, the single greatest constraint on African research capacity. Because of the severe need for human capital formation, there is great scope for expanding existing training programs. The main training activities to be undertaken under EAGER are profiled below.

It should be noted that EAGER will not earmark resources to support long term overseas training of Africans. Although such activities do have the potential to alleviate the shortage of trained researchers, within the last few years, the option of sending Africans abroad on long term formal diploma courses, especially Ph.D.s, is falling out of favor. The reasons for this include:

- the high cost of overseas training, which places firm limits on the number of students that can benefit;
- the tendency of students to stay overseas after their training;
- the siphoning-off of the best students from African universities; and
- the all too common gap between the theoretical training dispensed in US and European universities and African realities.

As was the case with research networks, EAGER's training plan will provide additional support for promising initiatives that have already been developed by other providers, rather than building new training programs from scratch.[10] These activities are detailed below.

The AERC and CIEREA Masters Programs

EAGER will support three regional economics Masters Degree programs that are currently underway or being developed by the AERC and the Conférence des Institutions d'Enseignement et de Recherche Economiques et de Gestion en Afrique (CIEREA). These initiatives are:

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[10] The planned economics training courses for journalists and legislators is an exception to this. But even here, any EAGER initiative to develop a new program will be done in close collaboration with U.S.A.I.D.'s Office of New Initiatives (ONI).

- a collaborative M.A. program in Anglophone Africa (excluding Nigeria);

- a proposal for a similar M.A. program specifically for Nigeria (which is a special case due to its size and differentiated system of higher education); and

- a proposal for an M.A. level (troisième cycle) Francophone program.

The first two of these are being organized by the AERC out of Nairobi. The proposal for the Francophone program is being put forth by CIEREA, which is located in Ouagadougou. The proposal for the Anglophone and Francophone programs have already been submitted for funding to the African Capacity Building Foundation (ACBF). The Nigeria proposal will also likely be submitted to the ACBF within the next year.

The idea for establishing these programs grew out of an earlier initiative by the AERC which looked at the possibility of creating joint Ph.D. programs on the continent. This approach was, however, judged to be infeasible because of the lack of quality M.A. training. In fact, the AERC found that only three, or possibly four, institutions in the continent were capable of offering an adequately staffed and supervised M.A. program in economics. Thus, the AERC and CIEREA have chosen to target economics instruction at the M.A. level, as a necessary precursor to strengthening economics programs at the doctoral level.

The cornerstone of the AERC and CIEREA graduate training strategy, is the creation of an integrated body of core courses at participating universities. Economics Departments would be required to maintain certain common standards of instructional quality and content. The Anglophone plan, which is now the most advanced, envisions two categories of universities: "category A" schools without a current M.A. program and "category B" schools which do offer an M.A. in economics that meets certain minimum standards. Core courses would be taught at category B schools with a certain number of places to be reserved for students from category A universities. Upon completion of the core courses at the category B universities during the first academic year of the program, students would attend an elective phase during the summer at a central common location. During this period, students would receive instruction in two optional subjects to be chosen from list of 8 to 10 courses. These electives would be taught by teams of teachers made up from participating university faculty members and expatriate professors. The program would conclude with a short thesis stage (between 6 and 12 months) taking place at the category B university at which the student completed his core courses. Included in the thesis stage are plans to fund travel by "co-supervisors" which would permit a faculty member from another institution to co-supervise the

thesis along with a home university professor. The AERC envisions about 70 to 125 students in each entering M.A. class during the first five years. The cost of the Anglophone program is estimated to be around $10 million over this period. This total amount will be co-funded with other donors, including the African Capacity Building Foundation (ACBF).

The AERC/CIEREA approach is designed to create high quality common programs that effectively leverage regional competencies without concentrating too many resources in one place. By instilling a common core and providing resources to ensure that staff are trained to be able to teach it--the AERC/CIEREA programs can strengthen participating universities' abilities to teach the fundamental elements of the curriculum. At the same time, the programs brings together faculty from participating schools for the summer electives phase, thereby permitting students a wider range of topics from which to choose, without compromising the regular academic year curriculum. The potential benefits to undergraduates is also an important element of the AERC/CIEREA plan, since the development of an analytically sound M.A. program would have a positive impact on the quality of undergraduate instruction.

By supporting the AERC and CIEREA initiatives, EAGER can help alleviate the serious shortage of trained policy analysts while avoiding the risks associated with formal overseas training that were enumerated above. EAGER support to the AERC Masters Programs will take four forms:

- grants to underwrite the costs of the programs;
- research sabbaticals which will be awarded to key African faculty members;
- support for M.A. thesis research; and
- support for training research administrators at participating university research institutes.

These last three items are described below.

Research/Training Sabbaticals for African University Faculty

University faculty in Africa universally lament their isolation from their developed country counterparts. Not having access to the basic research tools and publications of their Western colleagues, many could derive substantial benefit from sabbaticals to attend US universities where they could both undertake graduate course-work and engage in joint research activities. Such a strategy could play a key role in rounding-out African universities' programs in specific areas where they

are particularly weak. Rather than training a whole new generation of econometricians, for example, existing faculty could attend specific short courses in econometric methods. Besides being offered in the standard 9 to 12 month format, participating faculty will also be given the option of receiving their award in three separate three month "slices" to be spread out over three years. This second formula will minimize the difficulties caused by a prolonged absence from their permanent positions.

EAGER support for such sabbaticals will be integrated into the Staff Development Program of the AERC/CIEREA Masters Programs (discussed above). The IDRC may help to manage sabbaticals from Francophone Africa. AERC and CIEREA will select faculty members per year to participate in the program. Potential participants would be limited to staff who have been designated to teach either core or elective courses in one of the three M.A. programs. This will help ensure that "leakage" from the program does not become a problem. The logistics of this sabbatical program will probably be handled by the AERC itself.

Grants to support thesis research

Sponsoring thesis research by graduate students on topics of relevance to EAGER is another promising avenue for developing individual research skills. Although the bulk of such awards will be awarded to African students studying in the AERC/CIEREA M.A. or other African university programs, given the general shortage of economists with African expertise, EAGER will also seek to fund thesis research of U.S. students interested in African economic development by encouraging the major research contractors to include graduate students in their proposals. Thesis grants to students in Africa will be awarded within the framework of the AERC/CIEREA M.A. programs and/or through the thesis support program managed by CODESRIA.

Sponsoring thesis research by Africans in their home countries not only builds the skills of individuals, it also can help alleviate one of the major problems plaguing overseas training programs--that of the "leakage" of trainees away from their national research institutions. Although the differences in remuneration between developed country and local research institutions that is at the root of much of the leakage of African students will continue to cause problems, there is a growing body of knowledge to suggest that leakage can be substantially reduced if, as part of their overseas studies,

students undertake an important research project in their home country in cooperation with a local research institution.[11]

Training for Research Administrators

Another training activity for which the design team found a great demand was for some sort of training program directed at university research administrators. Many of the African researchers interviewed during the design team's field mission expressed the opinion that a lack of qualified research program administrators is one of the biggest institutional hurdles blocking the development of African research centers and consulting firms. The rarity of people who have enough of a technical background to understand the research proposal process and who have the administrative and management skills to calculate overhead rates, oversee several teams of researchers, while also maintaining an eye-out for potential clients, limits the institutional stability of many potentially strong research institutions. Because of a lack of program administrators, the most competent technical researchers often find themselves completely absorbed with administrative and management issues--leaving them little time for original research.

Under a grant from a private foundation, the International Management Development Institute (IMDI) at the University of Pittsburgh is developing a short training course for university research administrators from Eastern Europe. This course will be designed to teach administrators the basic principals of program administration as well as strategies and methods for accessing private foundation research funds. Such a program can be designed to include Africans and issued through a competitive procurement. As with the M.A. theses grants to African students, identification and selection of participants will be organized with the cooperation of the AERC and CIEREA to aid research institutes associated with the universities participating in their respective Masters programs.

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[11] This is one of the lessons coming out of the R&D Food Security Project being implemented by Michigan State University. Under this project, Africans enrolled in the Agricultural Economics Ph.D. program at Michigan State receive funding to undertake their thesis research in their home countries (or in a neighboring country if the research is not possible in the student's home country), where MSU Food Security Project staff can both offer technical supervision and help the students establish a reputation within the local research community. This has, in many cases, greatly facilitated these students' integration into local research and policy analysis institutions and reduced the leakage of students to developed country institutions.

III. DISSEMINATION

This section gives an overview of the EAGER's dissemination activities. It begins in section A with a short description of the main obstacles restricting the flow of information to and from African researchers and its use by government policy makers. Section B describes the target audiences for EAGER dissemination activities. The EAGER dissemination strategy is then described in section C. This includes issues related to research design (upstream), as well as actual dissemination activities themselves (downstream).

A. Constraints on the Flow of Information

Donor sponsored economic research in Africa has traditionally had little impact on government policy makers or on the African research community in general. There are a number of reasons for this; many of them are reflections of the constraints on economic research mentioned in Section II of this annex.

In most countries, government officials remain highly skeptical of economic research projects. Although, government officials readily express their desire for help in preparing for negotiations with the World Bank and IMF, they are more dubious of the need for general research in laying the groundwork for policy making. This lack of demand for policy research on the part of African governments is the biggest single obstacle facing any dissemination strategy that seeks to ensure that the results of economic research are taken into consideration by policy makers. At the root of th's lack of enthusiasm for economic research is the mixed experience that many governments have had with such projects in the past. Often the analyses of such projects are completed too late to be of use to governments in any immediate capacity. The final reports or monographs from such projects are rarely produced in a form that is easily digestible to overworked government policy makers. Most importantly, however, governments are often only perfunctorily consulted during the research agenda setting phase--so that the focus of such studies is often on topics that may or may not be a priority for public policy makers. This contributes to the misconception among African policy makers that economic research is a product for donor consumption.

Government decision making is often based on political and sociological considerations rather than on the basis of economic welfare. Of course this phenomenon is not limited to African states, but it is particularly prevalent in political systems overlaid by complex sociological divisions and lacking a strong tradition of economic liberalism. In such countries, it is not easy to generate a dispassionate policy debate based on sound research, since this often risks upsetting a delicate political

and economic balance. In such a context, rigorous policy analysis may actually be discouraged because it calls into question policies which are important to the political status quo.

Policy advice from university-based researchers is not always well received by government policy makers. Particularly in Francophone Africa, university-based researchers are frequently mistrusted by Government officials. Their work is considered to be too academic or theoretical in nature and not of practical use. Paradoxically, the movement towards a more open political participation in many countries has often made university-government relationships even more difficult, since criticism of government policies from academics is often thought to be politically motivated. Thus, although the "ownership" of research by nationals may improve in-country dissemination, it is no guarantee that research results will receive the consideration they deserve from policy makers.

Material constraints limit the flow of information. Traditional methods of disseminating research results, such as publishing a newsletter, journal or working paper series are beyond the means of most African research institutions, both in government and in universities. Commercial and even desktop publishing facilities are lacking in many countries. One problem holding up the reappearance of the Economic Bulletin of Ghana, for instance, is the absence of an appropriate local publisher. Computer and telecommunications linkages are also handicapped by lack of funding. Furthermore, African research institutions suffer greatly from a lack of access to the customary sources of information which Western researchers take for granted. Libraries are virtually empty in most universities, subscriptions to the most important journals expired years ago, basic hard copy data sources are unavailable and links to electronic data bases are not even considered.

B. The Audiences for EAGER Dissemination Activities

The potential audience for EAGER research activities and economic research in general is an extremely large and diverse group. Different types of dissemination activities will have to be undertaken to reach these disparate groups. Three groups in particular can be identified.

1. Policy Makers

Reaching this group forms the core of EAGER's dissemination strategy. One of the main goals of the project's research is to produce results that are of direct use to African policy makers. If they are not aware of the lessons to be learned from EAGER sponsored research, this will not happen. Consequently, EAGER

will support a series of activities designed to reach officials in African governments that have an influence on economic policy. Such activities will include: distributing EAGER research reports to government officials, producing and distributing shorter synthetic publications that distill the lessons of EAGER research, and holding conferences and workshops bringing together policy makers and EAGER researchers. As mentioned below, the effective dissemination of research to policy makers is heavily contingent upon research design--which should take into account their specific interests.

The category of policy makers also includes other USAID personnel in field missions and in Washington, as well as the interested members of the U.S. Congress. Ensuring that these groups are familiar with EAGER research will not only peak mission interest and help generate buy-ins to the project, it will also contribute to USAID's on-going program and project design efforts and help organize support for AID research and programs on Capitol Hill. The dissemination of EAGER results within USAID will be achieved through a collaborative effort involving ARTS/EA, EAGER staff and CDIE. EAGER field and Washington-based staff will play an important role in making sure that missions are aware of the whole range of EAGER activities. They will attend the periodic regional USAID staff conferences to present summaries of particularly interesting and relevant EAGER results.

2. African Researchers

Although the main focus of EAGER dissemination efforts will be on reaching policy makers, it should be noted that African researchers, particularly those in universities, have a great need for better information just to carry out their research projects. As outlined in Section II, the fundamental research resources that Westerners take for granted are not available to most Africans. Libraries are devoid of the most basic texts, let alone more advanced works. Scholarly journals are no longer received. The benefits to be had from tapping into information technology are poorly understood or impractical due to material constraints. Thus besides just focusing on disseminating EAGER research results to policy makers, EAGER will also explore ways of providing African researchers with better access to useful economic and social science research materials--including EAGER results but also materials from many other sources. This type of information dissemination can also be expected to have an indirect impact on policy makers by increasing the quality of African researchers' analyses and thus the attention they receive.

3. Key Opinion Forming Groups

The third target group for EAGER dissemination activities are the key opinion forming groups that can have a significant impact on policy discussions in certain states. Recent movements towards democracy in many countries mean that new groups are now having an impact on the policy formulation process whereas before all such decisions were made by a much narrower circle of insiders. These newly influential groups include journalists, legislators, trade unions, and business associations. EAGER dissemination strategies will also attach a high priority to reaching these groups. This will be done by ensuring that dissemination contractors design their interventions to include members of the press, private sector leaders, trade union members and political figures. The training programs for journalists and legislators discussed in Section II of this annex also will play an important role in sensitizing these groups to EAGER research results.

C. The EAGER Dissemination Strategy

Developing a strategy to ensure that EAGER research results reach each of the above groups requires considerable forethought and individualized attention to the type of research results being distributed. The nature of both the research and intended audiences must be taken into consideration. For these reasons a single dissemination mechanism is inappropriate. Therefore EAGER will adopt a flexible strategy utilizing different dissemination channels.

EAGER's dissemination strategy will entail actions on two distinct levels: initial dissemination planning conducted as part of the original research design and actual downstream dissemination after the research has been completed. These two levels are described below.

1. Dissemination Planning

To ensure that EAGER results are of use to their target audience, it is fundamental that the dissemination process be viewed as an integral part of the EAGER research design and not merely as something that begins once research is completed. Inventive and effective dissemination methods created after the research effort has been completed will not be able to create a demand for research results if no thought has been given to the target audience during the research design stage. Obtaining African input into the EAGER research agenda, as described in section I of this annex, is critical to the success of the dissemination effort. This is the first step in ensuring that EAGER research responds to a real demand.

Secondly, as specific research topics are identified, EAGER and AFR/ARTS/EA staff, collaborators and staff responsible for

implementing the research will be required to address three major questions:

- What are the potential uses of information generated through the research?
- Who is (are) the target audience(s)?
- How can they be reached most effectively?

These questions will help shape the research methodology, timing and output as well as the format and language of the products. As part of the EAGER research design process, African policy makers, EAGER staff in the field and in Washington, as well as participating AID missions, will identify groups having an interest in the results of specific EAGER research proposals. They will also attempt to delineate what dissemination activities are likely to be most successful in reaching the target audience and tailor the research design so as to ensure that the end product will be in an appropriate form.

For each research contract or grant awarded under EAGER, ARTS/EA and EAGER project staff, as part of their research design activities, will decide on a specific dissemination channel. Although a final determination will be made by ARTS/EA, two specific channels are envisioned:

1. Working dissemination into the original research contracts and grants

This option is particularly appropriate for large multi-country research efforts whose complexity necessitates a particularly close involvement of the original researchers in dissemination activities. The follow-on contract to the Cornell Food and Nutrition Policy Program's work on structural adjustment and poverty will likely include a significant section on dissemination. In general, contracts or grants of this type awarded under EAGER could be designed so that collaborators would carry-out such tasks as: producing and disseminating reports, working papers, newsletters, etc..., as well as organizing conferences, workshops and speaking tours to air results.

Giving a researchers responsibility for the dissemination of results in its thematic area may be desirable for a number of reasons:

- it assigns dissemination responsibility to the people with the deepest understanding of both the research results and the institutional context in which they are situated;

- it offers a great deal of flexibility--allowing individual contractors the ability to tailor their dissemination strategies to specific situations as needs arise;

- it facilitates the involvement of Africans in the dissemination process, since, in many cases the African researchers working with the contractor can build on the patterns of research collaboration that they will have already established and extend it through the dissemination stage.

2. Assigning dissemination responsibilities to a Dissemination and Technical Support contractor or group of contractors

With the exceptions noted above, most dissemination of research commissioned under EAGER activities will be given to a project-wide contractor specializing in the dissemination of economic research to developing country policy makers. These activities will be combined with EAGER monitoring, evaluation and other tasks into an integrated "Dissemination and Technical Support Contract." This contractor would be responsible not only for organizing and implementing those EAGER dissemination activities that are not included in major research contracts, but also for making sure that the project generates and tracks useful evaluation performance indicators to facilitate its monitoring and evaluation. Since, in many cases these indicators will flow from EAGER dissemination activities, combining both monitoring and evaluation support with dissemination should facilitate the smooth operation of the project's tracking system. It is crucial that the Dissemination and Technical Support contractor staff work in close collaboration with EAGER researchers to ensure that research design gives adequate thought and preparation to dissemination activities. Funds for this up-stream collaboration will be built either into research contracts or into the Dissemination and Technical Support Contract.

The contractor may chose to collaborate with the International Center for Economic Growth (ICEG). In some dissemination activities ICEG has been successful in disseminating large amounts of economic research from both developing and developed country researchers to academics and policy makers in Latin America and Asia. The ICEG's experience is especially impressive since it has achieved these results while maintaining a relatively light and efficient administrative structure.

The ICEG's dissemination strategy rests on its network of 45 "Correspondent Institutes" in 22 African countries. For the most part, these institutes consist of academic research centers and government policy analysis units. The ICEG assists its correspondent institutes by providing a combination of services--

sponsoring joint research projects through a small grants fund, organizing seminars on dissemination techniques, holding thematic conferences, funding speaking tours for prominent economists and, most importantly, producing and disseminating a wide variety of economic literature. As of July 1992, ICEG had produced 136 publications for distribution to its correspondent institutes. ICEG publications are edited so as to be comprehensible to readers not possessing an advanced degree in economics. Each correspondent institute is sent 5 copies of ICEG reports, as well as a quarterly newsletter. Publications disseminated include books, monographs, and country studies produced by both developed and developing country researchers.

With a grant provided under the capacity building component of EAGER, ICEG will extend its correspondent institute network in Africa to focus on public policy analysis units and key policy makers in individual countries. Should it also be associated with the Dissemination and Technical Support contact, EAGER may also wish to use ICEG's focussed distribution channels to distribute selected EAGER research results. In addition, current ICEG activities, such as producing synthetic works based on larger studies, could be expanded to include eager generated research.

In addition to the dissemination of written materials, The Dissemination and Technical Support contractor will be required to demonstrate expertise in a number of other areas which are a part of the EAGER dissemination strategy:

Organizing conferences, workshops and author tours to disseminate EAGER research. Many U.S. universities and firms have accumulated substantial expertise in organizing conferences in Africa. Where ARTS/EA staff deem that particular EAGER results are of such importance that a workshop, conference or tour should be held to give them wider visibility, the logistics of this could easily be awarded to a special workshop contractor. This type of contract would also necessarily cover the time that researchers would need to prepare and participate. This model is already been applied with success by ARTS/EA in arranging for the November 1993 conference to be held to air the results of the first phase of the Cornell Food and Nutrition Policy Program research on structural adjustment and poverty.

Exploring ways to improve the flow of information to African researchers. Given the severe lack of access of African researchers to basic sources of data and analysis, EAGER will support initiatives to develop strategies for improving African researchers' access to vital research information. Because of the severe problems of sustainability and technological "fit," rather than initially providing material resources which may not

be appropriate or may fall rapidly into disrepair, EAGER will support efforts to help African universities and research institutes develop well considered plans for gaining greater access to research information. EAGER will do this through two mechanisms:

- sponsoring research under the cross-cutting themes part of the analytical agenda to look at the flow and use of economic information and analysis (including needs assessments); and

- co-financing workshops to bring together African researchers and information managers with Western experts on library development and information technology.[12]

Devising strategies for reaching key opinion forming groups. Since the appropriate forms and fora for reaching groups such as journalists, who are outside the boundaries of the "policy dialogue" as it is usually conceived, differ significantly from those used to reach policy makers, a separate dissemination strategy will be devised to make sure that these groups are aware of significant EAGER results. The organization responsible for implementing this strategy should have either:

- special expertise dealing with African media, private associations and the public at large; and/or

- expertise in a specific form or technique of communication (such as electronic networking, or video/radio presentations) that is found to be particularly helpful in reaching the target audience.[13]

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[12] Such workshops are a major part of the American Association for the Advancement of Science's (AAAS) strategy for improving African researchers access to information.

[13] As an example of the type of activity that might be undertaken in this context, several people interviewed by the design team mentioned the idea of creating a network of journalists, lawyers, and activists interested in the process of democratization. The establishment of such a network seems particularly appropriate since there is great variation in the degree to which African countries have opened up their political system. This means that people in countries where this process has advanced the most have developed a rich store of experiences which could be useful to their counterparts in less advanced countries. Such a network could also benefit from the adoption of computer networking techniques as described above.

It is anticipated that EAGER research on information utilization commissioned under the cross-cutting theme of the EAGER analytical research agenda will prove useful in helping this organization design its interventions.

Tracking project performance and supporting monitoring and evaluation activities. Specific tasks to be allocated under this part of the contract include: developing a Project Work Plan, setting up an Evaluation Information System (EIS) data base of indicators to track project performance, and performing ad hoc country assessments to monitor the project's impact. (The monitoring and evaluation aspects of this contract are described in more detail in Chapter VI.)

There are several specific advantages to grouping the dissemination of smaller research efforts with a single dissemination contractor or group of contractors:

- it provides a central location, thereby permitting the creation of a single information clearing house for EAGER research activities; this also substantially facilitates monitoring and evaluation tasks since data on project impact can also be tracked at the same time;

- it simplifies project management by concentrating dissemination activities within one contract instead of many; and

- it facilitates the drawing of lessons based on comparative experience, thereby accelerating the institutional learning process.

2. Implementation of Dissemination Activities

Once the a dissemination strategy for each research activity has been mapped out and a channel has been selected, the contractor selected to implement the strategy will carry out the actual dissemination employing a variety of dissemination techniques. These will include:

- **Printed materials.** Few African research institutes are capable of producing high-quality attractive written reports. Therefore, EAGER will fund the production of reports, working papers and monographs for both US institutional contractors working on EAGER research contracts and African researchers working on projects with the EAGER capacity building specialists. The production of interim findings in the form of working papers will also be encouraged, since this often facilitates the timely dissemination of results which can be critical to policy

makers. As part of the research design process, written outputs will be defined so that they are produced in an appropriate form and with the appropriate tone for the intended audience. EAGER research reports and studies will then be produced and distributed to the target audience. A Regular EAGER newsletter could also be published to inform people of the scope of the project's activities.

- **Seminars and Workshops.** As appropriate once the results of their work become clear, EAGER research contractors will organize and give ad-hoc seminars for interested Africans, with a particular focus on policy makers. In addition, since the EAGER capacity building staff will be regularly meeting and attending seminars with African researchers, they will be enlisted to help in the organization of annual workshops to analyze the results of EAGER research bringing together interested parties from both academic and government circles. African Fellows and Washington-based EAGER personnel would also be available to participate in these workshops as desired.

- **Speaking Tours for EAGER Researchers.** As particularly important or ground-breaking results are generated by EAGER research, the project may wish to sponsor author tours to facilitate their dissemination. Such tours could be arranged with shorter lead time than the seminars and workshops mentioned above. They could also allow authors to visit a greater number of countries.

- **Legislator/Journalist Training.** Another way in which EAGER will contribute towards broader and more effective dissemination and increase the utilization and impact of economic research and analysis is through training for newly elected officials and journalists. During the design team's discussions in the field, it became clear that the whole conduct of the traditional "policy dialogue" was becoming much more complex in a number of states. Two of the factors which contribute to this are: (1) the increasingly real responsibilities being delegated to a new generation of elected officials, and (2) the growing role of a free press in setting the agenda for public discussions on economic policy. These phenomenon could directly support EAGER objectives.

Unfortunately few elected officials have more than a cursory understanding of the complexity of managing an economy. Similarly, many African journalists lack economic sophistication. Thus, although the increasing participation of journalists and legislators in the policy dialogue is an indication of increased democratization, this does not necessarily improve the quality of the economic policy

dialogue if these groups continue to hold gross misconceptions about basic economic reality.

To increase these two group's ability to interpret economic analysis of the type that will be produced under EAGER, the project will fund a series of short courses to teach them the basic principles of applied economics and demonstrate the relevance of economics to the issues facing their nations. Unlike the other EAGER training activities, there is no clear existing program that EAGER can tap to provide these training courses. However, A.I.D.'s Office of New Initiatives has expressed interest in developing a similar program. EAGER and ARTS/EA staff will, therefore, coordinate with ONI to investigate the feasibility of initiating a joint program to offer basic economics courses to journalists and legislators.

The preparation of dissemination materials and activities by contractors will be guided by several guiding principles. These include:

- **The use of In-Country Groups and Individuals.** The source of the message may be as important as its contents. EAGER dissemination contractors will seek to actively involve African participants in the research with dissemination activities. The presence of local "champions" can be vital in ensuring effective dissemination.

- **Clarity and Simplicity Will be Emphasized.** Research reports and workshops will be structured and worded so as to not overload their intended audiences with a surplus of information. Messages must be clear and concise to reach policy makers, many of whom will be non-specialists.

- **Materials Will be Tested Before Distribution.** Materials must be tested with an appropriate target group to ensure that they are clear and informative.

Dissemination is still an imperfect art, particularly in a developing country context. Knowledge of what does and does not work is limited. In addition, EAGER will be doing research in a number of different areas--each of which may be targeting a different type of audience. Thus it is crucial that dissemination contractor personnel remain attuned to the impact obtained through various dissemination strategies so that these can be modified to obtain maximum results as the project progresses.

EAGER's dissemination strategy relies on a fruitful collaboration between researchers and dissemination specialists. The Dissemination and Technical Support contractor will work closely

with major research contractors to help them incorporate dissemination activities into the research design process. Where research contractors assume responsibility for dissemination themselves, they will be required to incorporate a well thought out dissemination plan as part of the selection process--which may necessitate bringing-in sub-contractors with extensive dissemination capabilities. This will help to ensure that EAGER research activities are oriented towards the practical needs of policy makers.

SOCIAL SOUNDNESS ANALYSIS

I. INTRODUCTION

As with other regional support projects, a conventional social soundness analysis is not appropriate for EAGER, since social, cultural and economic conditions vary widely across the continent. The decisions influenced by the project may have different social or cultural consequences in different countries, regions and groups in those regions. The effects of project supported information and analysis on individual policies, programs and projects and on specific social groups within those regions, will be examined within the context of the particular activities or studies involved. Analytic guidance and support will be available from the project for examining a variety of socio-cultural questions, especially the "people-level" repercussions of economic policy change. One of the objectives of the project is to support cross-sectoral and cross-national research and analysis. This will enable particular countries and regions to better understand their circumstances and conditions within the setting of the lessons and experience of other countries and regions.

The project design considers the fact that a variety of social factors will both influence project implementation and impact and be affected by project activities. These factors, discussed below, need to be carefully considered during project design and implementation.

II. BENEFICIARIES AND IMPACT

More than 1,500 Africans are expected to directly benefit from EAGER as researchers or as participants in conferences, workshops or presentations by visiting authors and experts. The primary beneficiaries of the project, however, are Africans and African organizations as well as African-oriented public and private sector officials and organizations (including A.I.D.) which have access to and/or directly utilize the research, participate in research design, implementation, and dissemination, and receive training under the project. Ultimately, use of policy-relevant information generated under this project will result in the establishment of policies more conducive to broad based and sustainable economic growth and development in Africa. Host countries, A.I.D. and other bilateral and multilateral donors will also benefit from information that leads to more cost-effective and successful investment in the productive sectors.

In addition, information generated under the project should have applicability in a broad range of countries other than those directly involved with EAGER. However, given the magnitude of the problem and the fact that improved information and analysis

is but one of the elements needed for improved development activities, expectations of quick, substantial and attributable impact from the project must be tempered.

One of the failures of current policies and market forces has been to concentrate the benefits of economic growth in the hands of a few, leaving the many without adequate access to a variety of resources needed for investment. A higher-level objective of this project is to broaden the benefits of economic growth, thereby bettering the situation of the poor, women and other disadvantaged groups. The wave of political liberalization that has hit many African countries provides new opportunities to expand the policy dialogue process beyond governments and donors. The project will search out ways to actively disseminate information to these groups and to improve communications with and feedback from these groups.

III. PARTICIPATION

An over-arching principle of the EAGER design is that by actively encouraging African participation in setting the research agenda and implementing research and analysis, greater participation in the application of project results will also be encouraged. To encourage participation from the host countries, technicians and decision makers from African governmental and non-governmental organizations will have to play an integral part in identifying priority issues, sharpening the focus, conducting the research and analysis, disseminating the results and promoting their utilization. For that participation to be assured, the AFR/ARTS/EA research managers and the technical advisors financed under EAGER will incorporate participation as a conscious objective, design participation into the separate activities, actively solicit the participation of targeted information users, and fund the participants in some instances. The Implementation Plan describes several methods that EAGER will employ to encourage participation.

Decision-making is almost always complex with choices frequently numerous and conflicting. Each of these decision-makers is reached and influenced by different economic, cultural, political, ideological, personal and technical factors. The potential influence of economic research and analysis depends on several factors: 1) how it is packaged and communicated by the technical advisers; 2) how well it is understood by decision makers; and 3) the confidence that decision makers have in the source of the information.

In addition, research results are more likely to be utilized in some cultures than in others and by project/program managers than by the policy elite. In times of crisis, the policy elite usually make changes and reforms based primarily on achieving

political stability. In more routine times, political support and bureaucratic implications figure most prominently. "Technical advice and international pressures often figure as important factors considered, but they are generally subordinated to the political and bureaucratic concerns of decision makers."[1]

EAGER project success will depend upon the interest and active participation of the information users--the decision makers and those who influence the decision makers. At the policy level in A.I.D. and in host countries, participation may be difficult because the decision makers have insufficient time and face competing forces. At the managerial level, participation is more certain, since managers are conscious of their need for project information. It is expected that most African managers and A.I.D. officials will willingly participate in the project, given the informational and analytical gaps that the project fills. This project is best suited to reaching those groups.

As mentioned above, EAGER dissemination strategies will "take advantage" of the fact that political liberalization has opened the policy dialogue process to new groups. The project will explicitly target groups outside of government (the press, opposition parties, NGOs, chambers of commerce, business associations, etc.) as potential clients for project-generated information in an effort to inform the public policy debate and empower those whose voices have previously been ignored.

IV. SOCIO-CULTURAL FEASIBILITY

The socio-cultural rationale of this project is that effective, sustainable, and broad-based economic growth and development depend upon the commingling of national and cross-national concerns with the perceived self-interest of individuals. Frequently, an incompatibility exists between how decision makers perceive their individual and national interests in formulating policies and how those policies impact the individual and collective interests of those socio-economic groups affected by alternative policy scenarios. Also, each society has its own means of dealing with information, including its own approaches to collecting it and transmitting it. How this is done is intimately linked to the social structure as a whole. A major thrust of EAGER-supported research will be to better understand the political economy of implementing policy change. Among other things, this will involve identification of major stakeholder groups and analysis of the potential distributional impacts of policy reform.

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[1] Grindle and Thomas. *Public Choices and Policy Change.* 1991.

V. WOMEN IN DEVELOPMENT

Women are one of the most significant forces for economic development in Africa. They are key actors in food marketing, processing, and cross-border trade in many countries. They are major participants in most countries' informal sectors. Yet, in most African countries, women have only a minor voice in influencing policy, programming and strategic decisions.

Not all the analytical activities to be financed under EAGER have significant gender implications, but efforts will be made, wherever practicable, to collect gender-specific data and to examine ways to increase women's access to information and other important resources. In addition, household level research, particularly as it relates to the micro-level impacts of macro policies, will be an important component of many analytical activities. For example, research on the determinants of urban and rural poverty and the effects of policy change on poverty status will explicitly deal with gender issues such as: magnitude of poverty in female-headed households; division of labor by gender, and; educational levels of women household members.

VI. IMPLEMENTATION CONSIDERATIONS

Based on the above analysis, the following recommendations are made for project implementation:

- The socio-cultural constraints and potential people-level impact of research activities should be integrated into project-funded analyses, where appropriate.
- Each project activity should deliberately seek to disseminate information to disadvantaged groups and to improve communications with and feedback from these groups.
- Participation of targeted information users should be incorporated as an explicit objective of most project activities and built into the activity designs.
- Calculated efforts should be made to collect gender-specific data and to examine ways to increase women's access to information and other important resources.

The EAGER design includes a full-time social science advisor who will address these and related social considerations.

Annex F

Institutional and Administrative Analysis

I. ARTS/EA F-1

II. The African Economic Research Consortium (AERC) F-2

III. The Council for the Development of Economic and Social Research in Africa (CODESRIA) F-3

IV. The International Development Research Centre (IDRC) . . F-5

IV. The International Center for Economic Growth (ICEG) . . F-7

V. Conference des Institutions d'Enseignment et de Recherche Economiques et en Afrique (CIEREA) F-9

INSTITUTIONAL AND ADMINISTRATIVE ANALYSIS

The purpose of the Institutional an Administrative Analysis is to address the capabilities and capacities of the key implementing entities to carry out the responsibilities assigned to them under the project. The roles and responsibilities of each are described in the Implementation Plan (Section V. of the main body). The capabilities of the research collaborators and the Dissemination and Technical Support contractor(s) will be thoroughly examined during the course of AID's normal contractor/grantee selection process. Accordingly, this Annex deals only with ARTS/EA and the organizations associated with the capacity building component,

I. ARTS/EA

ARTS/EA is a relatively new creation resulting from the reorganization of the Africa Bureau. ARTS/EA carries out macroeconomic, microeconomic and financial analyses to support the development of Bureau and mission strategies, impact evaluations, and NPA and project design. The Directorate supports missions with formulation of economic and financial indicators, conducts evaluations of economic policy reform programs and economic analysis for other significant program evaluations, and undertakes research and analysis on economic issues with implications for programs in Africa. In addition, the Directorate develops and keeps current the economic data base, synthesizes and disseminates results of economic and financial analyses so that lessons learned are reflected in Bureau policies and programs, and serves as the Bureau's principal liaison with the S&T Bureau, PP/CDIE, PPC/EA, U.S. universities and other donors regarding non-country specific economic issues of concern to the Africa Bureau.

ARTS/EA currently has four direct hire economists, one Project Officer and one program-funded advisor. This represents a major change from a year ago when the Division Director was its only direct hire staff member. It now manages 4 to 5 major research activities per year in addition to its other responsibilities. Under EAGER, ARTS/EA's program funded advisors will increase to five as its responsibilities for managing the analytical agenda increase. In addition, a direct hire Project Officer has also been brought on-board to help with monitoring and evaluation and with the processing of project related work orders. As described in the Implementation Plan, ARTS/EA plans a moderate start-up pace for EAGER, allowing it to gain additional procedural experience before taking on a significant new research load.

In sum, there should be no significant administrative or institutional impediments to project implementation that have not been addressed during the project design.

Because of ARTS/EA management constraints and the relative lack of USAID institutional expertise in fostering small scale capacity building activities, EAGER will achieve its capacity building objectives by supporting organizations that have proven their effectiveness in this field. Each of these is detailed below.

II. The African Economic Research Consortium (AERC)

The AERC is a consortium comprising eleven multilateral agencies, bilateral donors and private foundations. It was founded in 1988 to strengthen local capacity for conducting independent research into problems pertinent to the management of economies in Sub-Saharan Africa. Although incorporated in Delaware as a private non-profit foundation, the AERC's operations are directed out of its Secretariat, which is located in Nairobi. The AERC is overseen by a Board of Directors which sets overall policy and an Advisory Committee comprised of African scholars and policy makers which sets its research agenda. The Secretariat is currently composed of two professionals, an Executive Director and a Research Coordinator, and seven support staff. The main duties of the Secretariat are to administer the AERC's program of activities and provide technical assistance to African researchers.

The AERC's activities fall into two broad categories: (1) research support and (2) training. In the area of research support, the AERC administers a small grants mechanism which awards African researchers small grants to pursue independent research. AERC research grants are structured so as to encourage "teams" of researchers from both the public sector and universities to work together on similar topics. The AERC has developed a specific research cycle characterized by peer review, continued interaction with resource persons and technical support by its Research Coordinator--from receipt of an initial proposal to publication in the AERC Research Paper series or in other professional journals. A key aspect of this cycle is the two annual workshops that are held in May and December to air research results, vet research proposals and stimulate discussion on important economic issues. The AERC maintains contacts through a network of over 40 agencies, universities and research institutes located throughout the continent. In 1991 the AERC awarded a total of 39 research grants on various topics.

In the area of training, the AERC is currently developing and seeking funding for three separate inter-university M.A. programs in economics. These initiatives are described in detail in Annex D, Section II. Briefly, these programs will support the development of a common core curriculum in economics that will be taught in participating universities. A related summer session in which students will choose from among a list of optional courses will be organized at one central location. A separate

M.A. program is planned for Anglophone Africa excluding Nigeria, Francophone Africa, and Nigeria alone (which merits its own program because of its size and differentiated pattern of higher education).

EAGER will fund both the continuation of AERC research activities and the development of the M.A. programs. The AERC is expecting to receive funding for its Anglophone M.A. program from the African Capacity Building Foundation (ACBF). However, it is not anticipated that this award will cover the whole cost of this program. In any case, support for the other two M.A. programs is also appropriate for EAGER.

The AERC is an appropriate vehicle for supporting EAGER research capacity building activities since it has proven its competence as an excellent "retailer" of small grants awards. The two professionals at the AERC Secretariat maintain close professional relationship with award recipients and are sensitive to both the needs of African researchers and the quality standards applicable in international scholarly circles. Furthermore, the AERC has developed a network of contacts in African research institutions, at least in Eastern and Southern Africa, that offers an ideal channel through which to publicize and award small research grants.

In the area of training, administering the M.A. program will represent a significant management challenge to the AERC. The funding proposal submitted to the ACBF for the Anglophone M.A. program calls for an expansion of the Secretariat's staff to handle this added responsibility. EAGER personnel should closely follow the status of this issue and monitor the AERC's ability to implement this program.

A further area for concern is the AERC's relatively weak experience in Francophone Africa. For this reason, the Francophone M.A. program will be implemented by an outside body based in Ouagadougou called the "Conference des Instituitions d' Enseignement et de Recherche Economique en Afrique" (CIEREA). With the aid of CIEREA, the AERC's lack of Francophone experience should not pose a problem for the implementation of the Francophone M.A. program. The EAGER capacity building specialist based in Dakar will aslo be able to offer administrative and technical support to CIEREA, if needed.

III. The Council for the Development of Economic and Social Research in Africa (CODESRIA)

CODESRIA is an indigenous African NGO based in Dakar that specializes in the promotion of economic and social science research in Africa. It is fully bilingual and has become a highly respected sponsor of research that is well known in both Government and academic circles around the continent. Like the

AERC, CODESRIA engages in both small grants "retailing" and training activities. Unlike AERC, which only supports economics research, CODESRIA actively supports the research of social scientists in addition to economists.

CODESRIA supports African researchers through a variety of mechanisms. These include:

Multinational Working Groups (MWG). These groups consist of research networks of 10 to 20 researchers from different countries working on a common theme. These networking groups are led by one or two coordinators who are usually senior level African academics with substantial experience in the selected theme. Methodological seminars are held to hone working group members skills in particular analytical areas. Current MWGs are organized to look at demographic policies and migrations, social movements and democracy, ethnic conflicts, structural adjustment and agricultural policy, military rule and militarism, and constitutional and legal transfer of political power.

National Working Groups (NWG). NWGs are composed of 5 to 10 researchers in any one country working on a particular research theme. A coordinator is chosen from among the members to organize the liaison with CODESRIA. The coordinator applies for support, enclosing the research proposals, timetable, budget and CVs of the researchers. No formal seminars or methodological support is provided except for written comments from CODESRIA personnel. On occasion, outside resource persons are made available to NWG members when funding for such meetings can be obtained. Results of NWGs are published, after a peer review, in the CODESRIA Book Series. Some of the works published in this series include:

- Capital Goods, Accumulation and Technological Change in Nigeria;
- Changes in the Agricultural Sector in Guinea;
- The Provision of Social Services in Sierra Leone Since Independence.

Other Research Network Activities. In addition to its continuing core activities listed above, CODESRIA also organizes specific research networks that bring together African researchers to work on specific topics with some technical oversight from Western technical experts when funding for such activities can be obtained from donors. The Industrial Policy Network setup with support from IDRC and AID falls into this category. This network is described in detail in Annex D, Section II. In this type of program, participants receive not only research support, but also access to training courses given by cooperating Western institutions. In the case of the Industrial Policy Network,

network, short courses in micro and international economics were organized by the University of Montréal.

CODESRIA's training activities consist of a program to support African students' doctoral and M.A. dissertation research. These awards are limited to $2,000 for an M.A. dissertation and $3,000 for a Ph.D. award. 290 such awards were granted in 1991, 51 of which were in economics.

Under EAGER, in addition to continuing to administer the Industrial Policy Network, CODESRIA will develop a similar network to look at a the policy reform from a social science perspective. Current CODESRIA initiatives under development that might lend themselves to such a network approach include:

- the impact of decentralization on the environment and natural resource management; or
- the problems of transition to democracy and the relationship between political liberalization and economic reform.

CODESRIA is an ideal location for such a network since it enjoys a very real prestige and legitimacy among African governments. Thus CODESRIA has organized conferences and workshops issues such as ethnic conflict in Africa that would be too politically sensitive for most donors. The issues of governance and democracy fall squarely into CODESRIA's area of expertise and also fit well into its thematic agenda.

The management burden of taking on another major network activity could be somewhat lessened with some technical assistance from the EAGER capacity building specialist to be located at the IDRC office in Dakar. This person may, for instance, help mobilize short term technical assistance to be provided by the Dissemination and Technical Support contractor to strengthen CODESRIA's management and accounting systems. The IDRC should also be of some help, since it has very close links to CODESRIA and already provides a certain amount of support to CODESRIA management activities.

IV. The International Development Research Centre (IDRC)

The IDRC was created in the 1970s by an Act of the Canadian Parliament to create, maintain and enhance research capacity in developing regions. Although it is an official Canadian institution, the IDRC has an international Board of Governors and accepts non-Canadian funding. It thus has somewhat of an arms-length relationship with the official Canadian development institutions. (Indeed the proportion of Canadian Government funds in its total budget has been steadily declining over the

past few years.) In Africa, the IDRC maintains two regional offices--one in Nairobi and one in Dakar.

The IDRC supports African researcher through two main types of vehicles:

Small Grants. Although the IDRC is not itself a small grants retailer, it funds many small grant programs through cooperation African institutions. The CODESRIA Industrial Policy Network supported jointly with AID is one such activity. In addition, the IDRC also maintains a highly successful small grants program with the Nigerian Institute of Social and Economic research (NISER). IDRC program officers work with administering organizations to help them structure their peer review process, counsel prospective applicants, and administer the grants. IDRC personnel also sit on the scientific committees of such organizations that are responsible for actual proposal review.

Institutional Support. The IDRC also provides general support for African research institutes. These institutional grants support both materials acquisitions and core research activities. IDRC has two such current programs underway at CEDRES in Burkina Faso and CIRES in Côte d'Ivoire. As part of the proposal process for these grants, IDRC program officers work with the institutions to help them develop well thought out and realistic needs assessments and to make sure that institutional grants are structured in such a way as to give recipients incentive for enhanced overall performance.

Under EAGER, the IDRC will receive funding to continue the Industrial Policy Network in collaboration with CODESRIA. It will also receive general support to expand and strengthen its current range of activities. An EAGER Capacity Building Specialist will also be placed at the IDRC office in Dakar. This person will benefit from the substantial institutional experience that IDRC possesses in fostering African research capacity building. By working in close proximity to IDRC personnel, who have been closely collaborating with key African researchers and institutions for years, the EAGER capacity building specialist will be able to assimilate more quickly the necessary skills and sensibilities than if he or she were based in an AID Mission with a limited experience base in participatory capacity building.

The main comparative advantage of both the IDRC and AERC in this context is that they have and use a well developed philosophy of assisting African researchers that is truly demand driven and makes very light use of expatriate technical assistance. In fact, TA is used only to aid Africans in the process of defining research priorities and in coaching them on research methods and analytical tools. Responsibility for implementing research is left wholly to the Africa researchers. While this sounds easy to grasp, it implies a whole different concept of the research

process than that traditionally applied by most donors. Research output is often of lesser quality than in studies making more heavy use of expatriate TA. It also often takes longer to complete. Yet this approach has much more potential to foster real skill development than do traditional donor approaches to "collaborative" research in which African participation is often limited to primary data collection. IDRC personnel are well versed in the application of this approach and have expressed a willingness to impart their knowledge to the Dakar-based EAGER capacity building specialist.

IV. The International Center for Economic Growth (ICEG)

ICEG was established as an outgrowth of the Institute for Contemporary Studies in San Francisco. Its central purpose is to "increase the ability of local policy institutions to inform the policy making process and policy dialogue and thus improve economic performance in countries throughout the world." The major part of ICEG's funding is provided by AID, although it also receives support from private sources. The core of ICEG's activities, until now, have been concentrated in Asia and Latin America.

ICEG's strength is in providing high quality research advice and editorial services drawing on a worldwide network of eminent economists and an experienced editorial staff located in San Francisco. By keeping its numbers of managers relatively low and relying on long distance communications rather than bringing people together to do things such as review research proposals and edit manuscripts, ICEG is able to function in an extremely cost-efficient manner.

ICEG works through a network of 242 "correspondent institutes" (CIs) in 94 countries. Of these 242 CIs, 45 are located in 22 African countries. ICEG provides a number of different services to its CIs. Specific services offered to CIs include:

Sponsoring and disseminating publications. ICEG disseminates a wide ranging literature on issues related to economic development. CI's routinely receive 5 copies of each ICEG publication. ICEG publications include books, monographs and occasional papers. The authors of these studies include both CI staff who receive research support under ICEG's "joint research project activities" (see below) and such Western luminaries as Rudiger Dornbusch, Anne Krueger, Gustav Ranis and Ronald McKinnon. ICEG publications do not aim to break new theoretical ground and avoid complicated proofs. Their aim is to distill the lessons of economic research so that they are comprehensible to generalist policy makers. ICEG editorial staff have a great deal experience in working over manuscripts submitted by eminent

economists so that they are digestible to a wider non-specialist audience.

Holding seminars in communications techniques. ICEG also has a small staff of experts in the oral presentations of economic materials to non-specialists. These experts organize occasional regional seminars for CI staff to coach them on the use of different communications channels and on how to formulate communications strategies and tactics.

Regional conferences and author tours. ICEG organizes regional conferences to bring together staff members from CIs to exchange information about their respective experiences, to discuss the selection of research topics and methods, and to examine the impact of their research on policies. Conferences are organized in a standard fashion, with participants presenting papers and with plenty of opportunities for informal discussion. In addition, ICEG funds tours by authors of significant research to publicize their results in countries where they are of particular relevance.

Joint research projects. From among the total array of CI's, a select number of the most promising ones receive funding for embarking on "joint research projects." Although these projects are "joint," ICEG participation consists mainly of soliciting proposals, making suggestions for revisions of both proposals and end result manuscripts, pushing projects to completion and financing. Given its limited professional staff, ICEG does not actually provide personnel to work on the projects. Applicants for joint research funds are responsible for providing a brief summary of the proposed project, a description of its objective, an explanation of its relevance to policy, a discussion of the planned methodology, and information on the propose researchers. Preference is given to empirical studies and those which have broad implications outside the country in which the study is undertaken. Until now, most joint research projects have been located in Latin America, where ICEG has a longer history of working with CIs than in Africa.

Special projects. One last forms of support provided to CIs by ICEG is to fund extraordinary activities by CIs that have special opportunities to give high-level advice to governments. Funding of this type is given to support various types of activities. These include:

- supporting research to assist policy reform initiatives;
- organizing and financing conferences;
- organizing Short Term Technical Assistance to assist institutes in developing plans for policy reform; and

- organizing Short Term Technical Assistance to assist institutes in developing plans for policy reform; and

- organizing national strategic analyses.

Under EAGER, ICEG will expand and strengthen the services it offers to its 45 African CIs. In the past, ICEG efforts in Africa have been essentially limited to providing publications and organizing conferences. With support from EAGER, the range of ICEG activities will be expanded to include joint research projects and special projects. EAGER will also support ICEG dissemination activities, since these have been revealed to be especially cost-effective and efficient. ICEG's dissemination activities will include the dissemination of appropriate EAGER research materials.

The expansion of ICEG's activities in Africa represents a significant increase in its geographical scope and the expansion of its non-dissemination activities represents some shift in its functional emphases. Given its light management structure and decentralized nature, this expansion comes with some risk of management and administrative overload. Although the ICEG's recent decision to hire a research director with responsibility for Africa should help minimize much of this risk, EAGER personnel will need to carefully monitor the Center's performance.

V. Conference des Institutions d'Enseignment et de Recherche Economiques et en Afrique (CIEREA)

Since political independence of Francophone countries, universities in Africa have operated under budgetary and political constraints that have inhibited inter-university cooperation and coordination. At the same time, the benefits of cross-fertilization of ideas through academic exchange programs and the potential efficiency gains of coordinating research activities and harmonizing curricula were widely recognized.

The Conference des Institutions d'Enseignment et de Recherche Economique en Afrique (CIEREA) was established in 1986 with a primary goal of overcoming some of the obstacles to inter-university cooperation and coordination. Its membership is comprised of eight faculties of economics in Francophone West Africa: Benin, Burkina Faso, Congo, Cote d'Ivoire, Gabon, Niger, Senegal, and Togo. The Secretariat is located at the University of Ouagadougou in Burkina Faso. The CIEREA objectives are:

- to harmonize curricula, in particular the curricula covering the indispensable theoretical tools for an economist, including the contents of the materials, and the duration of instruction;

- to foster training of economists with a vision of the realities and a perspective on regional integration;

- to stimulate intellectual cross-fertilization in economic research and training programs for economists; and

- to promote cooperation and collaboration in research and training activities by West African universities.

The CIEREA seeks to accomplish these objectives through a number of activities which include:

- exchanges of professors between faculties and students between universities through workshops, seminars, and visiting faculty programs;

- analysis of the curricula and research of member institutions and examination of possible formation of multinational groups to elaborate university manuals;

- functioning as a central organization where faculties, institutes and research centers can supply information on their teaching and research activities and obtain information of activities other members; and

- creating and fostering intra-regional research groups to harmonize research agendas and determine a bases for collaboration in research between different faculties, institutes and research centers.

USAID support for CIEREA will help fund a post-graduate training program at five universities in Francophone Africa. Currently, postgraduate training in economics is only available in the Ivory Coast, Madagascar, Senegal, Burkina Faso, and Cameroon and the training is extremely weak. Course offerings are limited and courses in basic subject areas (e.g., quantitative methods) are missing or offered on an irregular basis. Theses are not always required and elective course work is often unavailable. Texts are out of date. Course work is lacking in practical relevancy and is often inappropriate to the needs of potential employers such as ministries and banks.

CIEREA has developed a new program (Programme de Troisieme Cycle Interuniversitaire) to address some of these problems and improve the quality of postgraduate economics education in francophone Africa. The program will define a set of core courses for participating institutions. Electives will be available through an innovative approach where eight to ten elective courses will be offered on an intensive basis for three months every year at one of the campuses. Theses will be required of all students and thesis work will be closely supervised. For students in

countries where no postgraduate economics program exists, the program will offer scholarships to pursue postgraduate studies.

Annex G

List of Persons Interviewed

Name	Organization
Jeggan Senghor	Institite for Economic Development and Planning
Assitan Diarra Thioune	UNDP
Jan H. van der Veen	USAID Program Officer
Abidjan	
Atsain Achi	CIRES
Bakayoko Adama	Université de Côte d'Ivoire, Economics Department
Amparo Ballivian	World Bank
Barry Modi	CIRES
Medjomo Coulibaly	REDSO, Human Resources Advisor
Lual Deng	African Development Bank
Kim Finan	REDSO, Program Officer
Frederick Gilbert	REDSO, Director
Bernard Kouassi	REDSO, Program Officer
Laisse A. Lahouani	Université de Côte d'Ivoire, Economics Department
Oladeji O. Ojo	African Development Bank
Ouattara Abdoulaye	Université de Côte d'Ivoire, Economics Department
Stephen Owusu	African Development Bank
David Muchler	REDSO, Deputy Director
Pegatienan Hiey Jacques	CIRES
Shig Uyeyama	Embassy of Canada
Accra	
M. Folson	Institute for Social Science and Economic Research University of Legon
Jonathan Frimpong-Ansah	Former director, African Capacity Building Foundation
Joseph Goodwin	USAID, Director
C.D. Jebuni	Department of Economics University of Legon

Name	Organization
Ravi Kanbur	World Bank
Peter Mousley	Canadian High Commission
Victor K. Nyanteng	Institute for Social Science and Economic Research University of Legon
J. Kobina Richardson	Pioneer Tobacco Company, Ltd.
Robert E. Wuertz	USAID, Program Economist
Nairobi	
Cyrilla Bwire	USAID, Program Economist
Harris Mule	World Bank consultant
Benno J. Ndulu	African Economic Research Consortium
Bruce Odell	REDSO, Deputy Director
Osita M. Ogbu	International Development Research Centre
S. Ramakrishnan	HIID, Ministry of Finance
Emmy Simmons	REDSO, Program Economist
Roger Simmons	USAID, Deputy Director
Kiertisak Toh	USAID, Program Economist
John R. Westley	USAID, Director
Harare	
Patty Buckley-Hughes	USAID Program Officer
Koffi O. Edoh	African Capacity Building Foundation
Donald Greenberg	USAID Private Sector Advisor
Leki-Leki Katona	African Capacity Building Foundation
Joyce Kazembe	SAPES
Leonard Maveneka	Southern African Economist Magazine
Donald Mead	University of Zimbabwe and Michigan State University

Name	Organization
Guy C.Z. Mhone	SAPES
Samuel Mintz	USAID Transport Economist
Joshua Mushauri	Southern Africa Foundation for Economic Research
Stephen Spielman	USAID, Deputy Director
London	
David Bevan	Centre for the Study of African Economies, Oxford University
Robert Cassen	Economics Department, Oxford University
Sean Conlin	Overseas Development Administration
Neil F. Gregory	Overseas Development Administration
Tony Killick	Overseas Development Institute
Frances Stewart	Economics Department, Oxford University
United States	
Robert Barad	MIS Consultant
Peter Bloch	University of Wisconsin
Robert Charlick	Associates in Rural Development
John Daly	A.I.D., R&D Office
Clive Gray	Harvard Institute for International Development
Zachary Hahn	A.I.D., Office of New Initiatives
Daniel Heyduk	Institute of International Education
Alan Kreger	A.I.D., R&D/OIT Office
David Leonard	University of California at Berkeley
Heather Monroe	African American Institute

Name	Organization
Joyce Moock	Rokefeller Foundation
Jeff Morzelli	MIS Consultant
Riall Nolan	University of Pittsburgh
Scott Pearson	Stanford Food Research Institute
Pauline Peters	Harvard Institute for International Development
Abby Riddell	Harvard Institute for International Development
Norman Rifkin	A.I.D., LAC/EHR
Michael Roemer	Harvard Institute for International Development
Thor Ronay	A.I.D., ONI
Kenneth Shapiro	University of Wisconsin
Barry Sklar	International Center for Economic Growth
Charles Steedman	Center for Research on Economic Development, University of Michigan
Gloria Steele	A.I.D., R&D Office
Priscilla Stone	Social Science Research Council
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Mike Weber	Michigan State University
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ANNEX H

DRAFT SCOPES OF WORK

Guidance for Preparing Scopes of Work

I. Introduction

A major input for the EAGER project will be field-oriented technical assistance (TA). To the extent possible, the scope of work (SOW for the long-term TA should show a direct linkage to the project purpose. The long-term advisors should not be used primarily to carry out functions which are properly funded from the OE account.

The purpose of the EAGER project -- under its broad DFA goal of assisting African countries to accelerate and sustain broad-based economic growth -- is that decision makers in public and private sector institutions of Sub-Saharan Africa increase their use of economic and social research and analysis.

II. SOW Criteria

For the purposes of developing SOWs for funding under EAGER, two criteria are critical:

(1) Function/objective

As noted above, the services required by the SOW must relate directly to the attainment of the project purpose. Thus, SOWs must be predominantly focused on economic and social research analysis which supports regional or country-specific strategies, programs and projects in Africa.

The SOW activities must fall within economic and social research and management or cross-sectoral themes.

The services eligible for project funding must also be of a level of technical expertise and specialization not generally available within A.I.D.

Where possible, the SOW should identify specific projects or other specific development assistance activities for which technical services will be provided.

(2) Beneficiaries

The predominant portion of activities entailed by the SOW must be directed toward the project's goal of assisting African countries to adopt equitable, sustainable economic policies, growth strategies and programs that reflect the relevant sociocultural contexts. It should be apparent from the SOWs that African countries are the ultimate, if not in every instance, the exclusive or direct beneficiaries of the

technical assistance. To the extent, infrequently, that African countries are not the direct beneficiaries, information generated in support of the project purpose should be intended for dissemination to the development community engaged in Africa, e.g., private voluntary organizations and other donors.

In addition, the EAGER Project Paper recognizes that A.I.D. will be the immediate recipient of some of the technical services carried out by the project-funded advisors. Indeed, one of the explicit objectives of EAGER is to improve the flow of economic and social science information among the Bureau, REDSOs, and Missions. However, the benefit of such an improved flow should be incidental to the primary purpose of information and technology transfer and intended to facilitate attainment of the project purpose.

III. Program vs Administrative Tasks in SOWs

Tasks identified for SOWs in contracts proposed for funding under EAGER are likely to fall within one of two general categories: program and development-related activities, and general administrative tasks.

The first and most important category includes activities directly related to the EAGER project purpose and to the broader achievement of A.I.D.'s development objectives. These activities clearly involve the generation, dissemination, and application of economic and social science information in support of regional or country-specific strategies, programs or projects in Africa. Furthermore, it should be clear from the SOW that to the extent the benefits accruing from the activities in this category are not primarily Africa regional or country-specific, they in fact extend beyond A.I.D. into the community of organizations engaged in Africa development. Examples of activities in this category include: preparing sector assessments, feasibility contributions to program or project designs; carrying on policy and technical dialogue with host countries, PVO's, and donors; contractors and host country personnel; developing and reviewing terms of reference, technical specifications, and budgets for specialized projects goods and services; setting up and maintaining systems to collect and analyze data related to improved project, program, or sector performance; and participating in project or program evaluation requiring specific technical expertise.

A second category includes activities of a general administrative nature related to the internal management functions and activities of A.I.D. which are at least somewhat program related. Although these activities are critical to the achievement of A.I.D.'s program objectives, their contribution to the generation, dissemination, and application of information is

usually indirect and they serve, in the first instance, to fulfill an internal A.I.D. requirement. Examples include: drafting program and management documents not directly related to provision of assistance to African countries, but more closely related to meeting A.I.D.'s statutory or internal procedural requirements (e.g., CPSP, Action Plans, waivers) and participating in A.I.D. reviews of those documents; general project management functions (e.g., drafting PIOs and PILs, managing contractors, serving on A.I.D. project committees); and preparing or reviewing standard internal A.I.D. reports (e.g., PIRs).

Each SOW should group the tasks under either the programmatic or the administrative category and provide a rough approximation of the time required under each category. In order to be eligible for funding under EAGER, SOWs should demonstrate, in terms of the balance of tasks and the relative levels of effort for such tasks, a clearly predominant emphasis on the types of program and development-related activities covered by the first category. Activities of a general administrative nature related to A.I.D. projects and programs (i.e., the second category) can be included to a limited degree, but should not represent, in any sense, a substantial portion of the SOW.

The Bureau recognizes the need for flexibility in evaluating the SOW's. The boundaries of the categories described above are not well defined, and in practice specific activities may not fit neatly into either one. The Bureau's evaluation of these SOWs will be guided not by rigid categories, nor by a mechanical calculation of the amount of time devoted to specific tasks. Rather, the Bureau will make a judgment based on a general sense of the proportion of program and development-related tasks versus tasks of a general administrative nature. This means that SOWs submitted for EAGER funding should: (a) clearly outline the tasks or activities, (b) indicate the relative importance of each purpose and activity, and (c) identify the intended beneficiaries of the activities.

IV. As was the case with the African Development Studies projects EAGER should:

a. Respond to technical needs within the EAGER mandate: economic and social research and management;

b. Respond to important selected cross-cutting sectoral or regional themes closely related to the EAGER mandate;

c. Conform to regional and/or sectoral strategies;

d. Contribute to and benefit from the regional information being organized under the project;

e. Be consistent with the guidance for the use of program funds found in HB 19, CH 11;

f. Be consistent with OMB Circular No. A-76 regarding the use of other U.S. Government agencies for technical services; and

g. Not be available through existing funding and contracting mechanisms (PDS, IQCs and regionally or centrally funded projects).

DRAFT SCOPES OF WORK

Field Based Advisors:

Capacity Building Specialist, Dakar

Primary liaison and technical responsibility for contact with the Francophone scientific network will rest with the Field Advisor in Dakar. He/she will serve as the project representative to the International Development Research Center. He/she will provide the EAGER project with information and recommendations concerning strategies to advance economic and social science research capacity and effective dissemination of research to the local private, governmental and other specialized user communities in the region. In conducting his/her operations, consistent with the degree of operational control permitted by contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) participate collaboratively in the development and approval of an overall multi-year research, dissemination and capacity building strategy, annual workplans and all modifications of the workplans;

2) participate collaboratively in the development and approval of country-level strategies, complete with subproject developmen.. and evaluation plans;

3) provide technical guidance and monitoring for the CODRESRIA Industrial Policy Network;

4) assist AERC/CIEREA in the development of a Francophone Masters Degree Program;

5) provide direct advisory services to governments, donor organizations and others on matters relating to the identification of appropriate research information, and the application of project research for informing the dialogue related to policy and strategy issues.

The Field Advisor, should possess the following qualifications:

1. Have completed at least four years of professional experience in social science research on topics related to African economic, social and political development, including at least two years of field research experience in Francophone Africa.

2. Have completed a masters degree with at least 6 years research experience in economics, agricultural economics or a policy related social science, and at least 3 years of teaching experience at the graduate level.

3. Have fluency in the English language, and a French language proficiency rating equivalent to the FSI 3/3 level or better.

4. Have demonstrated cross-cultural sensitivity, sense of patience and ability to work collaboratively with African colleagues.

5. Have proficiency in computer based office support and analytical tools in economics and the social sciences, including statistical systems and information networks.

Capacity Building Specialist, Harare

Primary liaison and technical responsibility for contact with the African Capacity Building Foundation and economic and social research networks in Eastern and Southern Africa will rest with the Field Advisor in Harare. He/she will serve as the project representative to the African Capacity Development Foundation. In this capacity he/she will provide information and recommendations concerning strategies to advance capacity building, economic research capacity and effective dissemination of research to the local private, governmental and other specialized user communities in the region. In conducting his/her operations, consistent with the degree of operational control permitted by contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) participate collaboratively in the development of an overall multi-year research, dissemination and capacity building strategy, annual workplans and all modifications of the workplans for the ACBF;

2) assist the ACBF in implementing its capacity building agenda;

3) participate collaboratively in the development and approval of country-level strategies, subproject development and evaluation plans;

4) participate collaboratively in the development of research designs and implementation for EAGER funded analyses;

5) assist ACBF in its support to the AERC Anglophone Masters Degree Program;

6) maintain liaison with the AERC research network activities in Eastern and Southern Africa;

7) provide direct advisory services to governments, donor organizations and others on matters relating to the identification of appropriate research information, and the application of project research for informing the dialogue related to policy and strategy issues.

The Advisor, should possess the following qualifications:

1. Have completed at least ten years of professional experience in economic research, including at least five years of research addressing topics of relevance in Africa, and at least four years as a resident technical advisor/researcher in Africa;

2. Have completed a Ph.D. degree in economics;

3. Have fluency in the English Language (fluency in French and/or Portuguese is highly desirable);

4. Have demonstrated cross-cultural sensitivity, sense of patience and ability to work collaboratively with African colleagues.

5. Have proficiency in computer based office support and analytical tools in economics and the social sciences, including statistical systems and information networks.

Regional Transport Advisor, Harare

Primary liaison and technical responsibility to strengthen the analytical base for decision making in the transport sector in Eastern and Southern Africa will rest with the Regional Transportation Advisor in Harare. He/she will report to the USAID Mission in Zimbabwe. He/she will provide technical and advisory services concerning transportation technology to the EAGER project, and to the Region. In conducting his/her operations, consistent with the degree of operational control permitted by contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) provide guidance in transportation policy, strategy and planning in the region, including analysis, design, implementation and evaluation of policy, strategy and plans;

2) analyze investment options, social-economic and technical issues, feasibility and impact issues related to policies and programs;

3) review project proposals and prepare documentation for the procurement of services;

4) provide liaison with government departments, consultants and other donors in matters related to the A.I.D. program, and transport sector strategies;

5) develop and maintain a conceptual framework and data base to guide the analytical process, programming decisions and evaluation of programs and projects;

6) provide direct advisory services to governments, donor organizations and others on matters relating to the transportation sector.

Qualifications and specific task requirements will be established by USAID/Zimbabwe.

Regional Behavioral Science Advisor, REDSO, Nairobi

Primary liaison and technical responsibility will rest with this Advisor to strengthen the analytical base through the behavioral sciences in policy and project development in Eastern and Southern Africa and the Indian Ocean States. He/she will report to the USAID Regional Office in Nairobi (REDSO/ESA). He/she will provide technical and advisory services to the EAGER project, and to governments, private organizations, academic institutions and others. In conducting his/her operations, consistent with the degree of operational control permitted by contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) provide guidance and technical expertise to build awareness and capability to carry out social science analysis for developmental purposes, including the transfer of information on the theory, concepts, methods and applications of behavioral sciences;

2) identify, implement investigations and evaluate behavioral issues which are constituents to the policy and technical dialogue, and in the development of programs and projects;

3) provide background analysis and feasibility studies of the socio-economic, cultural and institutional aspects of development proposals, and recommend alternative approaches in the design of assistance interventions;

4) prepare documentation, including terms of reference and scopes of work, for the procurement of services in the social sciences;

5) develop and maintain a professional network of behavioral scientists to strengthen the role and local resources of social sciences in the region. Disseminate relevant information and maintain a roster of experts willing to participate in development oriented social science collaborative activities in the Region;

6) provide direct advisory and research services to governments, donor organizations and others on matters relating to the behavioral sciences, and organize workshops to study and disseminate the research results.

Qualifications and specific task requirements will be established by REDSO/ESA.

Program Impact Advisor, REDSO, Nairobi

The Regional Behavioral Science Advisor for Program Impact will provide host country and USAID staff in the 20 countries of East and Southern Africa and the Indian Ocean States with technical expertise related to empirical assessment of social and economic change and to the design of systems which can routinely monitor and evaluate such change. The Advisor will travel frequently to countries in the region to provide governments, universities, NGOs, and AID Missions with a full range of consultative, advisory, information-gathering, analytical and evaluative responsibilities of broad scope and complexity relating to the issues of performance monitoring and the assessment of program impact. Additionally, the Advisor will build awareness of the importance of these issues and assist in the design and implementation of cost-effective systems to produce the kinds of information needed by decision-makers.

The Advisor's major duties and responsibilities will include:

1) serve as the behavioral science advisor on teams to identify, design, and implement performance monitoring, evaluation, and reporting systems for programs and activities supported by AID;

2) ensure, to the extent possible, that AID-supported or-managed systems incorporate information already generated by other organizations and contributes, in the multi donor environment common to all ESA countries, to the development of consistent definitions and concepts for data-gathering processes basic to the monitoring of impact for a broad range of development efforts;

3) assess the constraints to effective generation, management, and application of information relevant to monitoring and evaluation of development programs and activities in eastern and southern Africa; identifies means

for overcoming constraints;

4) assess the potential for focussed efforts to develop and/or employ more efficient or more powerful methods for empirical data-gathering, analysis, and reporting than those currently employed in countries in eastern and southern Africa;

5) develop a series of case studies from eastern and southern Africa which illustrate innovative and effective ways of development performance and impact monitoring, evaluation, and reporting but which also embody a range of approaches to the task; and

6) ensure that USAID-supported information systems to monitor, evaluate, and report on the progress and impact of development programs and activities are conceptually sound, appropriately rigorous, cost-effective, and user-friendly. The Regional Advisor should possess the following qualifications:

The Regional Advisor should possess the following qualifications:

1. Have an advanced degree (PhD preferred) in a relevant discipline such as anthropology, economics (particularly microeconomics), or rural sociology. Academic work in advanced statistics and evaluation methodologies is highly desired;

2. Have five years of prior experience as an applied behavioral scientist, including design and/or management of project or program evaluation systems as well as the conduct of independent research studies and analyses involving primary data;

3. Have two years of prior experience in Africa, either long-term or through substantive short-term assignments, involving field surveys. Preference will be given for experience in East and Southern Africa.

4. Have fluency in English and have proven ability to communicate quickly, clearly, and concisely in both speech and writing, including technical reports. Fluency in French and/or Kiswahili and prior experience in questionnaire design involving translation into various languages is highly desirable;

5. Have a thorough professional knowledge regarding the collection and use of empirical information for monitoring and evaluating the impact of socio-economic development efforts; and

6. Have substantial computer skills with ability to use one or more basic statistical packages (e.g., SAS or SPSS) as well as spreadsheets and word processing software and ability to use computer word processing programs.

Financial Systems Economist, REDSO, Nairobi

Primary liaison and technical responsibility will rest with this Advisor for assessment and recommendations for improving financial systems in Eastern and Southern Africa and the Indian Ocean States. He/she will report to the USAID Regional Office in Nairobi (REDSO/ESA). He/she will provide the EAGER project with information and recommendations concerning strategies to rationalize financial systems and effectively disseminate research to the local private, governmental and other specialized user communities in the region. In conducting his/her operations, consistent with the degree of operational control permitted by contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) participate collaboratively in the identification, design and evaluation of policy reform programs in the region;

2) participate collaboratively in analysis to tailor reform program design and implementation to the financial realities of the region;

3) assess the constraints, economic/social/financial costs and benefits posed by existing financial systems (including the assessment of institutional constraints) and propose options to reduce and/or mitigate the constraints;

4) provide direct advisory services and information to governments, donor organizations and others on matters relating to the concepts, methodologies and applications of financial systems interventions.

The Advisor, should possess the following qualifications:

1. Have completed at least five years of professional experience in financial systems, including experience in program design, evaluation research and analysis;

2. Have completed a Ph.D. degree in economics;

3. Have fluency in the English Language (fluency in French and/or Portuguese is highly desirable);

4. Have demonstrated cross-cultural knowledge of East and South

Africa, and ability to work collaboratively with African colleagues.

5. Have proficiency in computer based office support and analytical tools in economics and the social sciences, including statistical systems and information networks.

Washington-Based Advisors:

Labor and Informal Sector Advisor

A. Background and Objective

The labor and informal sector advisor will play a key analytical and advisory role in the formulation of AID/W, Mission, and host country strategy in these fields. The expected impact will be enhanced policy analysis capability leading to well informed economic decision making for African countries, which has been lacking in the past.

A high priority will be placed on disseminating results of ongoing research directly, through seminars and one-on-one contacts with African policy makers under the aegis of EAGER, as well as indirectly through research organizations such as the African Economic Research Consortium (AERC); the International Center for Economic Growth (ICEG) and its affiliates in African countries; and indigenous African institutions such as the International Development Research Center (IDRC).

A broad-based labor economist will provide the EAGER project with information and recommendations concerning evolution of economic subsectors, including the informal sector, its labor markets, the productivity of the sector, incentives and human resource development strategies.

B. Organizational and Supervisory Relationships

The specialist will work in the Africa Bureau's ARTS/EA office. He/she will report to the Division Chief through the USDH economist responsible for labor and issues of the informal sector. Substantial travel will be required, and it is expected that 30 to 40 percent of time will be spent in the field.

C. Programmatic Duties & Responsibilities

Primary liaison and technical responsibility will rest with this Advisor to provide assessment and recommendations to the Project Committee on themes related to labor issues and the informal sector of the economy. In conducting his/her operations, consistent with the degree of operational control permitted by

contracts and other agreements, the Advisor will exercise a variety of functions, including:

1) develop collaborative linkages among U.S. and host country researchers and other experts of the economic circumstances of informal sector activities;

2) prepare analysis of how informal sector activities relate to broad-based growth and provide advice on how the topic and themes relate to USAID mission interests;

3) assist in the development and implementation of a region-wide strategy for analysis of labor markets, productivity and human resources in the informal sector. Prepare analysis of how labor, productivity and human resource issues inform the strategy for broad-based growth to USAID mission programs in this area, how collaboration with host country institutions can advance project objectives;

4) assess the effectiveness and efficiency of alternative approaches to poverty alleviation related to broad-based growth, including employment schemes and food pricing;

5) participate with the Growth and Equity research design and oversight team in developing verbal and written materials for direction and monitoring the research, and evaluation the progress of the agreement;

6) conduct the liaison and assess institutional grantees providing related research interventions, dissemination and capacity building activities. The Institute for Contemporary Studies of ICEG is a particular focal point for this activity on issues of the expansion of networks into Africa, joint research priorities, agendas and conference logistics;

7) provide administrative oversight of research resource dissemination activities , and critique related proposals submitted to the project office.

The labor/informal sector advisor should possess the following qualifications:

1. Have completed at least five years of professional experience in topics related to labor, the informal sector, poverty alleviation and economic policy and equity issues;

2. Have completed a masters degree (or preferably a Ph.D. degree) in economics with specialization in development or an appropriately related field;

3. Have fluency in the English language and preferably also in French and/or Portuguese;

4. Have demonstrated capacity to produce high quality work, and an effective ability to communicate orally and in writing;

5. Have proficiency in computer based office support and analytical tools in economics and the social sciences, including statistical systems and information networks.

International Economist

A. Background and Objective

The international economist will play a key analytical and advisory role in the formulation of AID/W, Mission, and host country strategy towards international economic policy. The expected impact will be enhanced policy analysis capability leading to well informed economic decision making for African countries.

A high priority will be placed on disseminating results of ongoing research directly, through seminars and one-on-one contacts with African policy makers under the aegis of EAGER, as well as indirectly through research organizations such as the African Economic Research Consortium (AERC); the International Center for Economic Growth (ICEG) and its affiliates in African countries; and indigenous African institutions such as the International Development Research Center (IDRC).

A broad-based international economist with skills and experience in analyzing policy, institutional and socio-economic constraints to international economic policy and international business developments is required to assist field Missions, regional offices, host governments, and the Bureau in developing strategies, projects and programs in international economics that focus on promoting trade and investment, debt servicing, macro and microeconomic policy coordination among neighboring countries and regional integration.

B. Organizational and Supervisory Relationships

The specialist will work in the Africa Bureau's ARTS/EA office. He/she will report to the Division Chief through the USDH economist responsible for international economics. Substantial travel will be required, and it is expected that 30 to 40 percent of time will be spent in the field.

C. Programmatic Duties & Responsibilities

1. Incumbent will be responsible for designing region-wide strategies for further investigation with an emphasis on strengthening export diversification and increasing value-added in traditional exports. He/she will also identify linkages between export performance and labor productivity to develop a research agenda exploring the nexus for further analysis within the EAGER framework. Policy implications must be clearly delineated.

2. Assist field Missions and host governments to develop specific project and program proposals related to export diversification and growth. Identify country specific policies detrimental to export led-growth and disseminate these findings via written reports and discussions with host country and field Mission personnel. Recommend specific A.I.D. and host country interventions (project and non-project assistance).

3. Assist field Missions and AID/W to devise strategies for regional integration within SSA, and assess the impact of regional integration worldwide on SSA exports to those regions. Within SSA, this includes customs and currency unions.

4. Assist field Missions and Bureau staff to identify needs for special studies regarding trade and payment problems, including tariff and non-tariff barriers; debt; monetary integration; exchange rate issues; and macroeconomic policy coordination. Special attention will be drawn to analyzing the inter-relationships between these issues and their domestic implications.

5. Work collaboratively with Mission and host country officials in developing strategies as they pertain to international economics by providing TDY assistance, and ensure that strategies are properly coordinated with other donors, particularly the World Bank. Bring results of ongoing and completed research to bear on (CPSP) strategy formulation and brief field staff and host country officials on findings.

6. Participate in evaluations of ongoing or completed projects pertaining to specialty and bring "lessons of experience" to bear on future advice to Missions.

D. <u>Qualifications</u>

1. A minimum of a Master's degree in economics with a concentration in international economics and minor in applied econometrics, development, etc. Excellent grasp of economic theory, both micro and macro: Familiarity with popular software packages such as SAS,

Word Perfect, Lotus, etc.

2. Minimum 5 years full time equivalent work experience in analyzing issues described above. Resident work experience in Africa or extensive TDYs an advantage. French and/or Portuguese language skills will be an asset, but not required.

3. Excellent writing and oral presentation skills.

Microeconomist

A. Background and Objective

The microeconomist will play a key analytical and advisory role in the formulation of AID/W, mission, and host country strategy on all microeconomic aspects of economic policy in the host country. The expected impact will be informed microeconomic decisions leading to functioning markets, which has been lacking in the past.

A high priority will be placed on disseminating results of ongoing research directly, through seminars and one-on-one contacts with African policy makers under the aegis of EAGER, as well as indirectly through research organizations such as the African Economic Research Consortium (AERC); the International Center for Economic Growth (ICEG) and its affiliates in African countries; and indigenous African institutions such as the International Development Research Center (IDRC).

A broad-based microeconomist with skills and experience in analyzing policy, institutional and socio-economic constraints to developing strategies, projects and programs that focus on the interaction between prices, markets and incentive structures in diverse areas as poverty, the informal sector and resource mobilization is needed.

B. Organizational and Supervisory Relationships

The specialist will work in the Africa Bureau's ARTS/EA office. He/she will report to the Division Chief through the USDH economist responsible for microeconomic issues. Substantial travel will be required, and it is expected that 30 to 40 percent of time will be spent in the field.

C. Programmatic Duties & Responsibilities

1. For the EAGER research program, incumbent will be responsible for designing strategies to identify the urban and rural poor and their respective needs, which will result in better targeted subsidies and/or income transfers to address the causes of poverty. Policy implications must be explicated.

2. Assist field missions and host governments develop project and program proposals related to poverty alleviation.

3. Develop a field responsive research agenda related to the informal sector and how it functions.

4. Assist field missions and Bureau staff identify needs for special studies regarding resource mobilization. This encompasses both public and private sector savings, including capital flight, attracting overseas workers' savings [where applicable] and bringing fiscal deficits under control. It also implies efforts to ensure functioning financial markets to invest mobilized resources.

5. Work collaboratively with Missions and host country officials to develop strategies as they pertain to poverty alleviation, informal markets and resource mobilization.

6. Participate in evaluations of ongoing or completed projects pertaining to specialtv and bring 'lessons of experience' to bear on future advice to missions.

D. Qualifications

1. A minimum of a Master's degree in economics with a concentration in industrial organization and/or public policy, and work experience analyzing prices and markets, particularly small businesses as they function in the informal sector. Knowledge of anti-poverty programs and resource mobilization issues in developing countries will be an advantage. Excellent grasp of economic theory, both micro and macro. Familiarity with popular software packages such as SAS, Word Perfect, LOTUS, etc.;

2. Minimum 10 years full time equivalent work experience in analyzing issues described above. Resident work experience in Africa or TDYs an advantage, although the overriding concern will be an excellent working knowledge of the interaction between prices and markets. French and/or Portuguese language skills will be an asset, but not required;

3. Excellent writing and oral presentation skills.