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**CORNELL UNIVERSITY**

# **RURAL DEVELOPMENT COMMITTEE**



*Summary Report*

# **RURAL DEVELOPMENT PARTICIPATION PROJECT 1977-1982**

#### MONOGRAPH SERIES

- #1 **Making Green Revolution: The Politics of Agricultural Development in China** Benedict Stavls, \$6.00, 287 pp.
- #2 **Rural Development Participation: Concepts and Measures for Project Design, Implementation and Evaluation** John Cohen and Norman Uphoff, \$7.00, 317 pp.
- #3 **Feasibility and Application of Rural Development Participations: A State-of-the-Art Paper** Norman Uphoff, John Cohen and Arthur Goldsmith, \$7.00, 338 pp.
- #4 **The Political Economy of Participation in Local Development Programs: Short-Term Impasse and Long-Term Change in South Asia and the United States from the 1950s to the 1970s** Harry W. Blair, \$6.00, 196 pp.
- #5 **Women's Informal Associations and the Organizational Capacity for Development** Kathryn March and Rachelle Taqqu, \$6.00, 148 pp.
- #6 **Peasant Participation in Costa Rica's Agrarian Reform: A View from Below** Mitchell A. Seligson, \$6.00, 150 pp.

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- #2 **Landless Peasants and Rural Poverty in Selected Asian Countries** David Rosenberg and Jean Rosenberg, \$4.00, 108 pp.
- #3 **Landless Peasants and Rural Poverty in Indonesia and the Philippines** David Rosenberg and Jean Rosenberg, \$4.00, 133 pp.
- #4 **Landlessness and Rural Poverty in Latin America: Conditions, Trends and Policies Affecting Income and Employment** Cheryl Lassen, \$4.50, 187 pp.
- #5 **Distribution of Land, Employment and Income in Rural Egypt** Iliya Harik with Susan Randolph, \$4.50, 166 pp.
- #6 **Reaching the Assetless Poor: Projects and Strategies for Their Self-Reliant Development** Cheryl Lassen, \$4.00, 68 pp.

#### SPECIAL SERIES ON AGRICULTURE RESEARCH AND EXTENSION

- #1 **Participatory Approaches to Agricultural Research and Development: A State-of-the-Art Paper** William F. Whyte, \$5.00, 111 pp.
- #2 **El ICTA en Guatemala: La Evolucion de un Modelo de Investigacion y Desarrollo Agricolas** Lynn Gostyla and William F. Whyte, \$4.00, 103 pp. (Spanish version of #3 below)
- #3 **ICTA in Guatemala: The Evolution of a New Model for Agricultural Research and Development** Lynn Gostyla and William F. Whyte, \$4.00, 48 pp.
- #4 **Peasant Innovation and Diffusion of Agricultural Technology in China** Mary Sheridan, \$4.50, 83 pp.

#### OCCASIONAL PAPER SERIES

- #1 **Panchayati Raj, Rural Development and the Political Economy of Village India** Norman Nicholson, \$4.00, 61 pp.
- #2 **The Political Economy of Peasant Family Farming: Some Anthropological Perspectives on Rationality and Adaptation** Davydd Greenwood, \$4.00, 96 pp.
- #3 **Small Farmer Credit - Cultural and Social Factors Affecting Small Farmer Participation in Formal Credit Programs** Cynthia Gillette and Norman Uphoff; and **The Political Economy of Distributing Agricultural Credit and Benefits** Harry W. Blair, \$4.00, 57 pp.
- #4 **Training and Research for Extended Rural Development in Asia** R.D.C. Working Group on Training and Research, \$4.00, 119 pp.
- #6 **Revolution and Land Reform in Ethiopia: Peasant Associations, Local Government and Rural Development** John Cohen, Arthur Goldsmith and John Mellor, \$3.50, 127 pp.
- #8 **Women and Participation in Rural Development: A Framework for Project Design and Policy-Oriented Research** Kathleen Staudt, \$4.00, 77 pp.
- #9 **Community-Level Research, Local-Regional-Governmental Interactions, and Development Planning: Strategy and Methodology for Baseline Studies** Davydd Greenwood, \$4.00, 70 pp.
- #10 **Development of Livestock, Agriculture and Water Supplies in Botswana Before Independence: A Short History and Policy Analysis** Emery Roe, \$4.00, 56 pp.
- #11 **Measuring Local Government Performance: Assessing Management, Decentralization, and Participation** Arthur R. Williams, \$4.50, 101 pp.
- #12 **Irrigation Management in Japan: A Critical Review of Japanese Social Science Research** William W. Kelly, \$5.00, 85 pp.
- #13 **Measures of Absolute Poverty and Their Applications in Program Planning and Evaluation for Increasing Participation** Susan Randolph, \$5.00, 130 pp.

#### SPECIAL SERIES ON ANIMATION RURALE

- #2 **Animation RURALE and Rural Development: The Experience of Senegal** Sheldon Gellar, Robert B. Charlick and Yvonne Jones, \$6.00, 211 pp.
- #3 **Animation RURALE and Rural Development: The Experience of Upper Volta** Robert Charlick, Richard Vengroff and Alethea Rudd, \$6.00, 175 pp.

#### BIBLIOGRAPHY SERIES

- #1 **Participation at the Local Level: A Working Bibliography** John Cohen, Gladys Culagovski, Norman Uphoff and Diane Wolf, \$4.50, 125 pp.
- #2 **Tillers of the Soil and Keepers of the Hearth: A Bibliographic Guide to Women and Development** Louise Fortmann, \$4.00, 53 pp.

**Summary Report of**

**RURAL DEVELOPMENT PARTICIPATION PROJECT, 1977-1982**

Rural Development Committee  
Center for International Studies  
Cornell University

Project funded under Cooperative Agreement (BMA-1/ta-8) between Cornell University and U.S. Agency for International Development, Bureau of Science and Technology, Office of Multi-Sectoral Development (formerly Development Support Bureau, Office of Rural Development and Development Administration)

## TABLE OF CONTENTS

Introduction	v
I. ANALYTICAL STRUCTURE OF ACTIVITY AND LISTING OF ACTIVITIES	i
II. PARTICIPATION IN THE R.D.P.P.	5
III. APPLIED RESEARCH AND CONSULTING	9
A. AFRICA	9
Botswana	9
Cameroon I	14
Cameroon II	15
Liberia	16
Tanzania	17
Senegal-Gambia	18
Lesotho	19
Zimbabwe	20
B. NEAR EAST	21
Yemen Arab Republic	21
Tunisia	25
Egypt I	27
Egypt II	28
C. ASIA	29
Sri Lanka	29
Indonesia	35
Nepal	36
Philippines I	41
Philippines II	43
D. LATIN AMERICA AND CARIBBEAN	45
Jamaica I	45
Jamaica II	47
Costa Rica I	48
Costa Rica II	51
Dominica	52
Dominican Republic	53
Bolivia	54
IV. KNOWLEDGE GENERATION	57
A. Rural Development Participation	57
B. Paraprofessionals in Rural Development	60
C. Participatory Agricultural Research and Extension	62
D. Role of Local Organization in Rural Development	64
E. Landless and Near Landless Participation	67
F. Women's Participation in Development	69
G. Participatory Resource Conservation and Management	71
H. Local Leadership for Rural Development	72
I. Animation Rurale	73
J. Methodology for Rural Development Participation	74

V.	KNOWLEDGE DISSEMINATION AND NETWORKING	77
	A. State-of-the-Art Papers	77
	B. Special Studies--Publications	79
	C. <u>Rural Development Participation Review</u>	83
	D. Seminars and Workshops	89
	E. Training	91
	F. Network Development	92
	G. Library and Bibliography	93
VI.	THESES	95
VII.	BUDGET	99
VIII.	THE RURAL DEVELOPMENT COMMITTEE AT CORNELL UNIVERSITY	101
IX.	INCREASING PARTICIPATION IN A.I.D. PROJECTS	107

## INTRODUCTION

The Rural Development Participation Project (RDPP) was unusual in a number of respects. It was one of the first of a number of "cooperative agreements" created by USAID's Office of Rural Development and Development Administration (now Office of Multi-Sectoral Development) in the Bureau of Science and Technology to try to bring the knowledge and knowledge-generating resources of an American university to bear on the development activities of USAID and LDC governments. A cooperative agreement is conceived as intermediate between a grant and a contract. The cooperating institution works on problems identified as being of concern to operating agencies, but it also helps to define the problems and the appropriate means of addressing them. Initiative and ideas can thus come from the university as well as from USAID or the institutions in LDCs associated with the work. Underlying this approach was an appreciation that development work requires not just technical assistance, applying established knowledge and techniques, but also the creation of new knowledge for problems not yet adequately understood.

Under the cooperative agreement, the major efforts came under the category of Applied Research and Consulting. This, however, was associated with and in many ways dependent upon another category, Knowledge Generation. This was in turn linked to activities of Knowledge Dissemination and to expanding the network of professionals -- academics and practitioners in the U.S. and elsewhere -- who were working on these problems in various capacities. Thus the purpose was not so much the conventional one of technical assistance but rather one more broadly conceived in the American land grant tradition: to capitalize on what should be a university's "comparative advantage" -- the development as well as the extension and application of new knowledge.

This approach was deemed particularly relevant by USAID because the subject under consideration -- devising and applying means for making development more participatory -- was itself so complex and even ambiguous. The U.S. Congress had in 1973 mandated a participatory approach in foreign aid but had not defined the concept. Other cooperative agreements were signed with other universities, but probably none had as diffuse and broad a subject as this one. The project was undertaken despite its problems of definition and achievement because USAID and faculty at Cornell attached such importance to bringing more clarity and programmatic substance to the Congressional mandate of "participation."

The "cooperative agreement" concept was extended to include the tasks of institutional development in LDCs, since simply generating and applying knowledge from outside seemed singularly inappropriate for issues of "participation." To the extent possible, efforts at institutional and human resource development were made, particularly in the six countries of concentration, so that analytical and action capacities would be enhanced by the efforts of faculty, research associates and graduate students working under the RDPP.

This meant working closely with a variety of institutions, ranging from government ministries to paragonmental agencies -- for example, the Ministries of Agriculture in Botswana and Jamaica, the Ministry of Local Government and Community Development in the Philippines, the Central Tunisia Development Authority, the Institute for Land and Colonization in Costa Rica, the Agricultural Projects Service Centre in Nepal, the Agrarian Research and Training Institute in Sri Lanka, and the Confederation of Yemeni Development Associations -- as well as universities where possible, such as the University of the West Indies, the Instituto Tecnologico de Costa Rica, and the University of Zimbabwe. In all these relationships, we sought to work more as colleagues than as consultants and we hope that they proved as useful and instructive for others as they were for us.

In this introduction, no attempt is made to summarize the Project, which reached across disciplines and problem areas as well as continents and countries. Several points should be made, however, as appropriate introductory comments.

(1) The Project operated in a relatively decentralized and quite participatory manner, trying to practice what we preached. Thus for each activity, one or more faculty or research associates took a leadership role in mobilizing the participation of colleagues and graduate students, problem identification, consultation with LDC counterparts and AID staff, program formulation, and implementation. This reduced the burden (as well as cost) of central administration for the Project, and certainly accomplished more with the funds and human resources available than if the Project had proceeded in a more centralized way. I am personally very grateful for the initiative and responsibility taken by colleagues in this enterprise.

At the same time this meant that the substantive thrust of the Project became somewhat more heterogeneous (though this was due also to our efforts to be responsive to different country situations and needs). Some trade-off was inevitable between the mobilization of best efforts to address specific needs, and the integration of outputs into a convergently-focused program. We have summarized our collective learning in several outputs. The most succinct (a memo sent to all mission directors in November 1980 by the Administrator of USAID) is included in the final section of this report. According to the nature of the subject as well as the structure of the project, no grand synthesis has been possible. Work on participatory rural development has been, we think, raised to a higher level of intellectual and operational sophistication and usefulness as a result of the various activities of the project, but it is an on-going task, and work on this subject is still in initial operational stages.

(2) Because a cooperative agreement involves mutual efforts, the outputs of the Project were not just those requested and funded by USAID. The Center for International Studies through its Rural Development Committee made significant

contributions in terms of administrative support and direct financial inputs. The outside sources of support for some of the research and other activities included the Ford Foundation, the International Development Research Centre of Canada, the U.S. Social Science Research Council, the Fulbright program, The World Bank and the FAO as well as the governments in several of the countries we worked in.

Probably the most significant non-AID contribution, quite unquantifiable, was the uncompensated time contributed by the many faculty members, graduate students and associates who entered into Project activities because these were congruent with their own individual and intellectual concerns. Because the Project engaged the theoretical and professional interests of participating personnel, we think both the amount and quality of the work accomplished was enhanced. While consultancy reports had to and did meet more immediate deadlines, the knowledge generation activities usually took longer than planned, as ideas and formulation were pushed and polished through several drafts, benefiting from colleagues' suggestions and further self-examination.

(3) As can be seen from the analytical outline of activity in Section I, the subject of "participation" was viewed from a number of perspectives. One could examine and assist participatory institutions and roles which affect different groups whose participation is desired and which cross-cut different sectors such as agricultural research and extension or natural resource management. Or one could focus on how certain groups of rural people participate, or might participate, in development efforts, through institutions and roles and with regard to certain sectors. Or one could take a sectoral approach, which embraces institutions and roles as well as groups of persons (often referred to, unfortunately, as "target groups"). This three-dimensional analysis reflects the complexity of the subject of participation, which can be approached from any and all of these directions.

According to the problem and the situation at hand, our work took a more institutional, or a more group-focused, or a more sectoral approach. But work along

any one of these lines related to issues of participation viewed from other, cross-cutting perspectives. As will be seen in the detailed report that follows, many "outputs" are listed under more than one heading. For example, our applied research and consulting on range and water management in Botswana dealt not only with socio-technical issues affecting participation and resource management there but also with institutions such as small dam management groups and Village Development Committees.

Accordingly, knowledge generation from our Botswana work covered both **local organizations** and how they could make development more participatory, and participatory approaches within the sector of **natural resource management**. We could have, though did not, produce separate outputs on **pastoralists** as a so-called target group whose participation was to be enhanced. Such analysis was integrated into the summary monograph by Emery Roe and Louise Fortmann, Season and Strategy: The Changing Organization of the Rural Water Sector in Botswana (1982). Our field research additionally resulted in several papers on the role of **women** in the rural water sector and in rural development more generally in Botswana. The cross-listing of some outputs under several headings was not done to lengthen this report but rather to convey a less fragmented, more coherent view of the subject and of our Project's activity.

(4) The organization of the Rural Development Committee which undertook this cooperative agreement with USAID may be somewhat difficult for persons not familiar with it to decipher. A description of the RDC and of some of its other activities is given in Section VIII. Even with this information, the reader should know that the RDC is a very flexible, very participatory organization with "boundaries" that expand and contract according to the task and resources at hand. The "core" is a set of faculty and associated graduate students, represented formally by an Executive Committee. But we have found persons in many disciplines and roles at other academic institutions and

indeed in government and private agencies who share the same interests and concerns and who interact from time to time with the RDC, by mail, by visits, by reports sent to Cornell.

To enter into the many activities of the RDPP, which required a wide range of language as well as disciplinary competences, the RDC included several dozen persons who might be thought of as part of the RDC's "extended family." Since our task was to learn and to make knowledge available for useful purposes, such an outreaching posture is an appropriate one. Certainly the RDPP could not have been as far-reaching and as successful without the participation of colleagues from many other institutions who shared our orientation and were willing to join in this enterprise. They are listed along with participating Cornell faculty and graduate students in Section II.

We should also add a note of appreciation, though they are not named individually, to the various staff members of USAID and LDC institutions who cooperated in this enterprise. Without their willingness to invite and interact with RDPP personnel, activity beyond Cornell would not have been possible or as fruitful.

Ithaca, New York

October, 1982

Norman Uphoff, Director

Rural Development Participation  
Project

**I. ANALYTICAL STRUCTURE OF ACTIVITY  
AND LISTING OF ACTIVITIES**

## **RDPP ANALYTICAL STRUCTURE OF ACTIVITY**

### **I. APPLIED RESEARCH AND CONSULTING (Long-term and short-term)**

- A. Africa**
- B. Near East and North Africa**
- C. Asia**
- D. Latin America and Caribbean**

### **II. KNOWLEDGE GENERATION**

#### **A. Institutions and Roles for Participatory Rural Development**

- 1. Local Organization**
- 2. Decentralization**
- 3. Paraprofessionals**
- 4. Local Leadership**

#### **B. Groups Whose Participation Is to Be Promoted**

- 1. Women in Development**
- 2. Landless and Near Landless**
- 4. Small Farmers**
- 4. Pastoralists**
- 5. Ethnic Minorities**
- 6. Others**

#### **C. Sectors in Which Participation Can Be Increased**

- 1. Water Management**
- 2. Range Management**
- 3. Resource Conservation and Management**
- 4. Agricultural Research and Extension**
- 5. Others**

#### **D. Methodologies for Increasing and Assessing Participation**

- 1. Measures of Participation**
- 2. Target Group Profiles and Analysis**
- 3. Survival Strategies for the Poor**
- 4. Local Institutional Analysis**
- 5. Animation Rurale**
- 6. Macrosocial Accounting**
- 7. Monitoring and Evaluation**
- 8. Others**

### **III. KNOWLEDGE DISSEMINATION AND NETWORKING**

#### **A. Publications**

- 1. State-of-the-Art Papers**
- 2. Special Studies**
- 3. Rural Development Participation Review**

#### **B. Seminars and Training**

#### **C. Network Development**

## RDPP LISTING OF ACTIVITIES

### I. APPLIED RESEARCH AND CONSULTING

(Knowledge Generation/Application categories in parentheses)

#### A. AFRICA

- \*1. BOTSWANA: Water Points Surveys I and II, Local Resource Management  
(Local Organization, Pastoralists, Range Management)
2. CAMEROON I: Community Development Project Paper Consultancy  
(Local Organization, Community Development)
3. CAMEROON II: Agricultural Manpower Needs Assessment (Methodology)
4. LIBERIA: Rural Development Task Force Consultancy (Decentralization, Training)
5. TANZANIA: Rural Development Participation (Decentralization)
6. SENEGAL-GAMBIA: Gambia River Basin Commission Consultancy  
(Decentralization)
7. LESOTHO: Rural Development Strategy (Seminars)
8. ZIMBABWE: Popular Participation in Planning and Development (Seminars)

#### B. NEAR EAST

- \*1. YEMEN: Local Development Association Applied Research  
(Local Organization, Community Development, Methodology)
- \*2. TUNISIA: Central Tunisia Development Authority Monitoring (Methodology)
3. EGYPT I: Profile on Rural Poverty and Participation (Landless, Methodology)
4. EGYPT II: Development Decentralization I Consultancy (Decentralization)

#### C. ASIA

- \*1. SRI LANKA: Water Management Project Applied Research  
(Local Organization, Water Management, Landless, Training)
2. INDONESIA: Luwu Resettlement Project Monitoring Consultancy (Methodology)
3. NEPAL: Seminar on Rural Development Participation Experience (Seminars)
4. PHILIPPINES I: Decentralization and Provincial Administration Applied Research (Decentralization, Methodology)
5. PHILIPPINES II: Analysis of Poverty Group Strategies (Landless, Methodology)

#### D. LATIN AMERICA

- \*1. JAMAICA I: Integrated Rural Development Project Applied Research  
(Local Organization, Small Farmers, Resource Conservation)
2. JAMAICA II: Organization for Small Farmer Development (with UWI)  
(Local Organization, Small Farmers)
- \*3. COSTA RICA I: Rural Sector Applied Research: ITCO Titling Loan  
(Local Organization, Landless, Land Settlement, Methodology)
4. COSTA RICA II: Worker Participation in Rural Industries Management  
(Worker Participation, Evaluation Methodology)
5. DOMINICA: Local Government and Decentralization Consultancy  
(Decentralization)
6. DOMINICAN REPUBLIC: Agricultural Sector Loan II Evaluation (Methodology)
7. BOLIVIA: Traditional Technology Project (Women in Development)

\*major RDPP activities

## II. KNOWLEDGE GENERATION

(Country Applied Research/Case Studies in parentheses)

### A. INSTITUTIONS AND ROLES

1. Local Organization (Botswana: Small Dam Groups, Rural Organizations; Yemen: Local Development Associations; Sri Lanka: Water User Associations; Jamaica: Development Committees; Community Development: Cameroon, Costa Rica, Yemen; Animation Rurale: Niger, Senegal, Upper Volta; Special Studies -- India: Tenant and Laborer Organizations; Nepal: Rural Public Works Organization; Turkey: Local Development Organization; Comparative: Women's Informal Organization, Local Development Organization in India, Bangladesh and U.S.)
2. Decentralization (Tanzania: Villagization Experience; Tunisia: Regional Development; Egypt: Local Council Investment Fund; Philippines: Provincial Development Administration Project; Dominica: Local Government Reform; Liberia: Training Program for Staffing Decentralized Rural Development; Senegal-Gambia: Gambia River Basin Commission)
3. Paraprofessionals (Bolivia: National Community Development Service; Guatemala: Rural Health Program; Philippines: Samahang Nayon and Farmer-Scholar Program-IIR; Senegal: Sine Saloum Rural Health Project; Sri Lanka: Sarvodaya Movement; Upper Volta: Equal Access for Women Project)
4. Local Leadership (Sri Lanka: Cultivation Committees and Rural Development Societies; South Korea: Saemaul Undong)

### B. GROUPS

1. Women in Development (Botswana, Sri Lanka, Costa Rica, and Bolivia; Comparative Analysis of Women's Informal Organization; Strategies for Women in Development; Bibliography on Women in Development)
2. Landless and Near Landless (Asia: Bangladesh, India, Indonesia, Philippines, Sri Lanka; Latin America: Bolivia, Brazil, Colombia, Costa Rica, El Salvador, Guatemala, Mexico, Peru; Special Studies: Egypt, Sri Lanka, Costa Rica; Strategies for Assetless Poor)
3. Pastoralists (Botswana)
4. Small Farmers (Jamaica II)
5. Ethnic Minorities (no formal studies, but informal studies in Costa Rica and Sri Lanka)
6. Workers (Costa Rica II)

**C. SECTORS**

1. Water Management (Sri Lanka)
2. Range Management (Botswana)
3. Resource Conservation (Jamaica; Seminars)
4. Agricultural Research and Extension (State-of-the-Art Paper; Case Studies: Guatemala, Honduras, Cameroon, China)
5. Land Settlement (Indonesia, Sri Lanka, Costa Rica)

**D. METHODOLOGIES**

1. Measures (State-of-the-Art Paper; Botswana, Jamaica, Sri Lanka, Philippines)
2. Target Group Profiles (Egypt, Tanzania)
3. Survival Strategies (Philippines)
4. Local Institutional Analysis (Botswana, Jamaica, Sri Lanka, Yemen, Philippines)
5. Animation Rurale (Comparative Analysis: Senegal, Upper Volta, Niger, Haiti)
6. Macrosocial Accounting (Tunisia)
7. Monitoring and Evaluation (Costa Rica, Indonesia, Dominican Republic, Yemen, Sri Lanka)

**III. KNOWLEDGE DISSEMINATION AND NETWORKING****A. PUBLICATIONS**

1. State-of-the Art Papers (Rural Development Participation; Paraprofessionals; Participatory Agricultural Research and Extension; Local Organization)
2. Special Studies (referred to under Section II)
3. Rural Development Participation Review

**B. SEMINARS AND TRAINING**

1. Seminars (Nepal, Jamaica, Lesotho, Yemen, Panama, Sri Lanka, Zimbabwe)
2. Training (Botswana, Sri Lanka, Costa Rica, Tunisia, Liberia)

**C. NETWORK DEVELOPMENT**

1. Search through Dissertation Abstracts and Bibliographies
2. Maintenance of Network Files

**II. PARTICIPATION  
IN THE RDPP**

## FACULTY AND GRADUATE STUDENT PARTICIPATION IN THE PARTICIPATION PROJECT

### Project Administration

Milton Esman, Director, 1978-79, Government and Director, Center for International Studies, (Jamaica, Panama, Landless, Paraprofessionals, Local Organization)  
 Sean Killeen, Executive Director, Center for International Studies, 1977-1982 (Personnel)  
 Porus Olpadwala, Associate Director, 1978-82, Regional Planning, (RDP Review, Local Organization)  
 Norman Uphoff, Director, 1977-78, 1979-82, Government, (Nepal, Egypt, Sri Lanka, Liberia, Women in Development, Landless, Paraprofessionals, Local Organization, Local Leadership)

DS/RAD Project Managers: Norman Nicholson, 1977-78; Alice Morton, 1978-79, John Harbeson, 1979-82

### Program Committee Members

John M. Cohen, Rural Sociology, 1977-78 (RDP, Jamaica, Local Organization, Yemen, 1978-82)  
 Tom E. Davis, Economics, 1980-82 (Dominican Republic, Panama, Jamaica)  
 Billie Jean Isbell, Anthropology, 1980-82 (Women in Development; Bolivia)  
 Gil Levine, Agricultural Engineering, 1977-78 (Sri Lanka, Botswana, Water Management)  
 Dan Sisler, Agricultural Economics, 1977-82 (Nepal, Botswana)  
 Erik Thorbecke, Economics, 1977-80 (Methodology)  
 David Thurston, Plant Pathology, 1978-82  
 William F. Whyte, School of Industrial and Labor Relations, 1977-82 (Costa Rica, Panama, Participatory Agricultural Research)

### Participating Faculty

Randy Barker, Agricultural Economics (Sri Lanka, Water Management)  
 Milton Barnett, Rural Sociology (Indonesia, Water Management)  
 Damon Boynton, Horticulture, Emeritus (Participatory Agricultural Research)  
 Roy Colle, Communication Arts (Paraprofessionals)  
 Lin Compton, Extension Education (Paraprofessionals)  
 Walt Coward, Rural Sociology (RDP Review, Sri Lanka, Water Management)  
 Matt Drosdoff, Agronomy, Emeritus (Dominican Republic)  
 Jennie Farley, School of Industrial and Labor Relations (Women in Development)  
 Patricia Garrett, Rural Sociology (Dominican Republic, Women in Development)  
 Carol Greenhouse, Anthropology (Paraprofessionals)  
 Tom Holloway, History (Costa Rica, Panama)  
 David Lewis, Regional Planning (Yemen)  
 Ed Lutz, Agricultural Economics, Emeritus (Dominica)  
 Kathryn March, Anthropology (Women in Development)  
 Kathleen Rhodes, Human Service Studies (Women in Development)  
 Diva Sanjur, School of Nutrition (Women in Development)

Joe Stycos, Sociology (Panama, Costa Rica)  
 George Wellington, Animal Science, Emeritus (Botswana)  
 Frank Young, Rural Sociology (Tunisia, Methodology)  
 Ruth Young, Rural Sociology (Dominica)  
 Larry Zuidema, International Agriculture (Botswana, Cameroon, Jamaica)

#### Research Associates

Harvey Blustain, Anthropology (Jamaica, Tanzania, Resource Management)  
 Louise Fortmann, Rural Sociology (Botswana, Tanzania, Women in Development)  
 Ana Guterriez-Johnson, Industrial and Labor Relations (Costa Rica)  
 Mary Herbert, Anthropology (Yemen)  
 Vernon Jantzi, Rural Sociology (Costa Rica)  
 Emery Roe, International Agriculture (Botswana, Resource Management)  
 Mark Svendsen, Agricultural Engineering (Sri Lanka, Water Management)  
 Jon Swanson, Anthropology (Yemen)  
 Rachel Taqqu, History (Women in Development)

#### Associates from Other Institutions

K.C. Alexander, Sociology, National Institute of Rural Development, India (Local Organization, Landless)  
 Ben Bagadion, Engineering, National Irrigation Administration, Philippines (Sri Lanka, Water Management)  
 Fernando Bertoli, Rural Sociology, North Carolina State University (Tunisia)  
 Sandra Bertoli, Rural Sociology, North Carolina State University (Tunisia)  
 Harry Blair, Political Science, Bucknell (RDP Review, Local Organization, Community Development)  
 Larry Busch, Rural Sociology, University of Kentucky (Cameroon)  
 Sheila Carapico, Political Science, SUNY-Binghamton (Yemen)  
 Robert Charlick, Political Science, Cleveland State University (Cameroon, Local Organization, Animation Rurale)  
 L. Gray Cowan, Public Administration, SUNY-Albany (Senegal-Gambia)  
 Sawsan El-Messiri, Anthropology, Al-Azhar University, Cairo (Egypt)  
 Piyasena Ganewatte, Sociology (Sri Lanka, Water Management, Training)  
 Vera Green, Anthropology, Rutgers University (Dominica)  
 Iliya Harik, Political Science, Indiana University (Egypt, Landless, Decentralization)  
 Abdel Basit abdel Hassan, Sociology, Al-Azhar University, Cairo (Egypt)  
 John Hatch, International Development (Bolivia, Participatory Agricultural Research, Women in Development)  
 Ward Heneveld, Education, Ford Foundation, Jakarta (Methodology)  
 Carlos Isles, Sociology, National Irrigation Administration, Philippines (Sri Lanka, Water Management)  
 David Korten, Public Administration, Ford Foundation, Manila (Sri Lanka, Water Management, Local Organization, Methodology)  
 Elsie LeFranc, Sociology, University of the West Indies (Jamaica)  
 Marc Lindenberg, Public Administration, University of Washington (Dominican Republic)  
 Abdel Basit al Mu'ty, Sociology, Ayn Shams University, Cairo (Egypt)  
 Victor Nee, Sociology, University of California at Santa Barbara (China)  
 Edgar Nesman, Rural Sociology, University of South Florida (Costa Rica)  
 A.Z.M. Obaidullah Khan, Secretary of Agriculture, Government of Bangladesh (Nepal)

Ingrid Palmer, Sociology, UNRISD (Sri Lanka, Women in Development)  
 Prachanda Pradhan, Public Administration, Tribhuvan University, Nepal (Local Organization)  
 David Rosenberg, Political Science, Middlebury College (Landless)  
 Jean Rosenberg, Economics, Middlebury College (Landless)  
 Charles Schlegel, Rural Sociology, East-West Center (Indonesia)  
 Mitchell Seligson, Political Science, University of Arizona (Costa Rica)  
 Kathleen Staudt, Political Science, University of Texas-El Paso (Women in Development)  
 Ed Vander Velde, Geography, Aquinas College (Sri Lanka, Water Management)  
 Manfred Wenner, Political Science, Northern Illinois University (Yemen)

#### Graduate Student Associates

Shyamala Abeyratne, Rural Sociology (Sri Lanka, Water Management, Landless)  
 Elaine Aderhold, Civil Engineering and Natural Resources (Botswana, Resource Management)  
 Charles Bailey, Agricultural Economics (Botswana)  
 Chris Brown, Government (Botswana, Local Organization)  
 Forrest Colburn, Government (Paraprofessionals/Guatemala, Local Organization)  
 Barbara Croken, History, Harvard (Yemen)  
 William Dalrymple, Agricultural Economics (Cameroon)  
 Arthur Goldsmith, Government (RDP, Local Leadership, Local Organization, Jamaica, South Korea)  
 Lynn Gostyla, Rural Sociology (Honduras, Guatemala, Participatory Agricultural Research)  
 Doug Gritzinger, Regional Planning (Paraprofessionals/Philippines)  
 Robert Hall, Rural Sociology (Paraprofessionals/Senegal)  
 Cheryl Lassen, Rural Sociology (Landless)  
 Cynthia Moore, Education (Paraprofessionals/Sri Lanka, Animation Rurale)  
 Hammond Murray-Rust, Agricultural Engineering (Sri Lanka, Water Management)  
 Susan Randolph, Economics (Egypt, Methodology)  
 Milan Rodrigo, Communication Arts (Sri Lanka, Water Management)  
 Nancy St. Julien, Regional Planning (Sri Lanka, Water Management, Local Organization; Network)  
 Marge Savino, Human Service Studies (Paraprofessionals/Bolivia)  
 Ellen Taylor, Human Service Studies (Paraprofessionals/Upper Volta)  
 Joseph Weinstock, Rural Sociology (Indonesia)  
 Arthur Williams, Government (Philippines, Decentralization, Methodology)

#### Graduate Student Assistants

Peter Berman, Agricultural Economics (Paraprofessionals)  
 David Bridgman, Rural Sociology (Botswana)  
 James Coyle, Agricultural Economics (Yemen)  
 Jill Crystal, Anthropology (Egypt)  
 Gladys Culagovski, Rural Sociology (Bibliography, Network)  
 Mauriceo Culagovski, Sociology (Panama)  
 Pratima Dayal, Agricultural Economics (Tunisia)  
 Katrina Eadie, Rural Sociology (Methodology)  
 Claude Freeman, Agricultural Economics (Local Organization)  
 Farhat Haq, Government (Local Organization)

Virginia Haufler, Government (Local Organization)  
 Joanne Jaffee, Rural Sociology (Local Organization)  
 Caroline Kueneman, Human Service Studies (Paraprofessionals)  
 Mano Kumarasuriyar, Regional Planning (Yemen)  
 Peter May, Agricultural Economics (Resource Management)  
 Katsela Mengistu, Nutrition (Bibliography)  
 Kris Mershrod, Rural Sociology (Methodology)  
 Caritr. Owens, International Agriculture (Knowledge Dissemination)  
 Darryl Roberts, Government (Local Organization, Methodology)  
 David Scheinman, International Agriculture (RDP)  
 Greg Schmidt, Government (Local Leadership)  
 Amani Selim, Economics, Cairo University (Egypt)  
 Robbi Siy, Regional Planning (RDP Review)  
 Kathy Terrell, Economics (RDP, RDP Review)  
 Diane Wolf, Rural Sociology (Bibliography, Network)

<u>Participation by Discipline</u>	<u>Faculty &amp; Res. Assoc.</u>	<u>Graduate Student</u>	<u>Total</u>	<u>%</u>
Rural Sociology/Sociology	24	12	36	30%
Ag. Econ/Economics/Regl. Planning	9	14	23	20%
Pol. Science/Public Admin.	14	7	21	17%
Anthropology	8	2	10	9%
Agriculture/Engineering	10	4	14	12%
Education/Communication/Human Service Studies	4	5	9	7%
History/Geography	3	1	4	4%
Nutrition	1	1	2	2%
<u>Participation by College/School (Cornell only)</u>				
Agriculture and Life Sciences	17	24	41	55%
Arts and Sciences	9	12	21	26%
Regional Planning	2	4	6	8%
Human Ecology/Nutrition	2	4	6	8%
I&LR	2	0	2	3%
% of women (total)	29%	53%	38%	

### **III. APPLIED RESEARCH AND CONSULTING**

#### **A. AFRICA**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#1)

**Country:** Botswana

**Activity:** Water Points Survey I (7/79-12/80)  
Water Points Survey II (1-5/81)  
Role of Local Institutions in Communal Area Development (9/81-9/82, collaborative activity with Land Tenure Center, University of Wisconsin)  
Action Research Project on Resource Management (9/82-8/83 — formulated under RDPP but funded by Government of Botswana under Rural Sector Grant from USAID)

**Purpose:** Provide information and advice to mission and government of Botswana on current practices and on policy/investment alternatives regarding provision of water for livestock and/or domestic purposes in the communal areas of eastern Botswana; study local institutions for resource management and develop through analysis and action research some means for improving resource management in participatory manner.

**Program:** Surveys of 12 village and lands (agricultural) areas, inventorying and mapping water points in these areas, studying characteristics of water points users, size and condition of cattle herds, strategies for use of water points within a system of water availability over time; analyses of economic cost, technical efficiency, accessibility, maintenance, etc. of different kinds of water points in terms of physical structure and management practices; study of operation of dam groups set up by Ministry of Agriculture to operate dams built by Small Dam Unit, assessing effect of local participation on resource management; developing guidelines for selection of water development areas and the spacing of livestock watering points in communal areas; studies of operation of local organizations in rural communities (in cooperation with Ministry of Local Government and Lands and Land Tenure Center); action research in selected district (Kweneng) to strengthen and link institutions in process of local/participatory planning for resource management.

**Linkages:** RDPP team located in Ministry of Agriculture, working with Small Dam Unit in WPS I; located in Ministry of Local Government and Lands, working with district land allocation authorities in WPS II; membership on various advisory committees for Government of Botswana; interaction with AID mission staff on water development policy, range management, livestock development, and other program areas; consultation from 9/81 with Ministry of Local Government and Lands on local institutions for resource management; cooperation with Land Tenure Center, University of Wisconsin.

**Personnel:**

Louise Fortmann, Team Leader, Senior Research Associate, Rural Sociology, 7/79-9/82  
 Emery Roe, Research Associate, International Agriculture Development, 7/79-12/81  
 Charles Bailey, Graduate Research Associate, Agricultural Economics, 7/79-6/80  
 Flatman Ntshayagae, Research Assistant, 9/79-9/80  
 Elaine Aderhold, Graduate Research Associate, Natural Resources, 7-9/79  
 George Wellington, Professor Emeritus, Animal Science, 7-9/79  
 Gil Levine, Professor, Agricultural Engineering, 12/79-1/80  
 Dan Sisler, Professor, Agricultural Economics, 12/79-1/80  
 David Bridgeman, Graduate Research Assistant, 9-12/79  
 Chris Brown, Graduate Research Assistant, Government, 6/81-8/81, 9/82-8/83 (funded by Government of Botswana)

**Outputs:**

DEVELOPMENT OF LIVESTOCK, AGRICULTURE AND WATER SUPPLIES IN EASTERN BOTSWANA BEFORE INDEPENDENCE: A SHORT HISTORY AND POLICY ANALYSIS, Emery Roe, Occasional Paper #10, Rural Development Committee, Cornell University, 1980.

OBSERVATIONS ON BOTSWANA WATER POINTS, Gil Levine, Consulting Report, February 1980.

SOME ECONOMIC ASPECTS OF MANAGING LAND, CATTLE, WATER POINTS AND ARABLE AGRICULTURE IN BOTSWANA, Dan Sisler, Consulting Report, February 1980.

Maps (1:50,000 scale), Elaine Aderhold, and Key for Water Points at 12 Survey Locations, Charles Bailey, Louise Fortmann and Emery Roe.

WOMEN'S INVOLVEMENT IN HIGH RISK AGRICULTURE: THE BOTSWANA CASE, Louise Fortmann, paper for Ford Foundation Workshop on Women and Agricultural Production in Eastern and Southern Africa, Nairobi, April 1980.

ALL'S WELL THAT ENDS IN AN OPEN WELL: THE COSTS OF PROVIDING WATER IN COMMUNAL AREAS OF EASTERN BOTSWANA, Charles Bailey, Water Points Survey, Working Paper #1, June 1980.

SOME PRELIMINARY RESULTS FROM THE CATTLE OWNER SURVEYS, Charles Bailey, Water Points Survey, Seminar Report, June 1980.

SOME PRELIMINARY OBSERVATIONS ON DAM GROUPS IN THE EASTERN COMMUNAL AREAS OF BOTSWANA, Louise Fortmann and Emery Roe, paper for Rural Sociological Society meetings, Ithaca, August 1980.

**Outputs:**  
(continued)

KEY TO WATER POINTS SURVEY MAPS, Charles Bailey, Louise Fortmann, and Emery Roe, Ministry of Agriculture, 1980.

KEEPING CATTLE AND THE COST OF WATER IN EASTERN BOTSWANA, Charles Bailey, Ministry of Agriculture, 1980.

THE WATER POINTS SURVEY, Louise Fortmann and Emery Roe, Ministry of Agriculture, 1981.

WATER USE IN EASTERN BOTSWANA: POLICY GUIDE AND SUMMARY OF THE WATER POINTS SURVEY, Emery Roe and Louise Fortmann, Ministry of Agriculture, 1981.

RATING CATTLE FOR PHYSICAL CONDITION, George Wellington, Ministry of Agriculture, 1981.

RANGELAND MONITORING METHODOLOGY BASED ON LANDSAT DATA: CASE STUDY IN THE REPUBLIC OF BOTSWANA, Elaine Aderhold, Unpublished Masters Thesis, Cornell University, 1981.

KEEPING CATTLE AND THE DEVELOPMENT OF WATER RESOURCES IN EASTERN BOTSWANA, Charles Bailey, Unpublished PhD Dissertation, Cornell University, 1981.

WOMEN'S AGRICULTURE IN A CATTLE ECONOMY, Louise Fortmann, Ministry of Agriculture, 1981.

ALLOCATION OF WATER POINTS AT THE LANDS: RECOMMENDATIONS, GUIDELINES AND A REPORT TO THE MINISTRY OF LOCAL GOVERNMENT AND LANDS, Emery Roe and Louise Fortmann, Gaborone, 1981.

"Dam Groups in Botswana," Emery Roe and Louise Fortmann, PASTORAL NETWORK PAPER 12b, Overseas Development Institute, London, 1981.

"Settlement on Tap: The Role of Water in Permanent Settlement at the Lands," Louise Fortmann and Emery Roe, in SETTLEMENT IN BOTSWANA: THE HISTORICAL DEVELOPMENT OF A HUMAN LANDSCAPE, R. Renee Hitchcock and Mary Smith, editors, Heinemann, 1982.

"Who Brews Traditional Beer in Rural Botswana?: A Review of the Literature and Policy Analysis," Emery Roe, BOTSWANA NOTES AND RECORDS, 1982.

"Taking Data Back to the Village," Louise Fortmann, RURAL DEVELOPMENT PARTICIPATION REVIEW, III:2, Winter, 1982.

- Outputs:**  
(continued)
- A STUDY OF LOCAL INSTITUTIONS IN KGATLENG DISTRICT, BOTSWANA, Chris Brown, V. Bontsi, K. Gobotswang, K Kgabi and T. Seelato, Applied Research Unit, Ministry of Local Government and Lands, February 1982.
- RURAL LOCAL INSTITUTIONS IN BOTSWANA: FOUR VILLAGE SURVEYS AND ANALYSIS FOR KGATLENG DISTRICT, Chris Brown with V. Bontsi, K. Gobotswang, K. Kgabi and T. Selato, Special Series on Rural Local Organization, Rural Development Committee, Cornell University, 1982.
- SEASON AND STRATEGY: THE CHANGING ORGANIZATION OF THE RURAL WATER SECTOR IN BOTSWANA, Emery Roe and Louise Fortmann, Special Series on Resource Management, Rural Development Committee, Cornell University, 1982.
- EXTENSION SERVICES IN BOTSWANA, Louise Fortmann, Ministry of Local Government and Lands, 1982.
- "Who Benefits from Publicly Provided Water in the Rural Areas?" Louise Fortmann, in BOTSWANA NOTES AND RECORDS, forthcoming.
- "Burial Societies in Kgatleng District," Chris Brown, in BOTSWANA NOTES AND RECORDS, forthcoming.
- Technical Tools:**
- Cattle Condition Scoring Technique, developed by George Wellington, and presently in use in Botswana.
- A Rangeland Monitoring Methodology Based on Landsat Data: Case Study in the Republic of Botswana, Elaine Aderhold.
- Training:**
- Twelve Batswana enumerators trained in cattle condition scoring techniques, of which four trained further in basic techniques of data presentation and analysis, now placed in permanent employment in Ministry of Agriculture; other eight have had series of jobs as a cadre of enumerators and permanent positions may be located.
- One Batswana research assistant trained in basic sociological analysis and writing.
- Long-term training at Cornell for Peter Tumedi, funded separately by AID/Botswana, administered by Phelps-Stokes Fund, for MPS degree in International Development with emphasis on rural development; involving Tumedi in Rural Development Committee interdisciplinary activities, 9/80-8/81.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY — BOTSWANA****AFRICA (#1)**

**Training:** Training and supervision of 22 University of Botswana students in village research techniques and report writing, Louise Fortmann (jointly with LTC).

**Briefings:** USAID consultants on water development and on environmental sanitation project designs; World Bank and UNDP/FAO consultants and staff on water development.

Land Use Planning Advisory Groups: Southern, Kweneng, Central Kgatleng and North East Districts.

Land Boards in Southern, Kweneng, Kgatleng Kweneng, North East, North-West, and Ghanzi Districts.

Rural Development Unit, Ministry of Finance and Development Planning.

Department of Town and Regional Planning, Settlement Strategy Teams in Kgatleng and Kweneng Districts.

IFAD Planning Team for Botswana agricultural development.

Numerous researchers on water in Botswana.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#2)

**Country:** Cameroon I

**Activity:** National Planning for Community Development

**Purpose:** Assist AID mission in pre-design stage of project formulation (National Planning for Community Development), making social analysis inputs to Project Paper.

**Program:** Field interviews and observation by two social scientists, with experience in working on CD in Francophone and Anglophone settings, respectively; preparation of reports for mission and Government of Republic of Cameroon.

**Linkages:** Liaison with Community Development Service of GURC; cooperation with mission personnel designing project; interaction also with Department of Sociology, University of Yaounde and Zones de l'Action Prioritaires Integrees (ZAPI) rural development program.

**Personnel:** Robert Charlick (team leader), Visiting Professor, Political Scientist, 2-3/79, on leave from Cleveland State University, having worked previously on Animation Rurale in Niger and other Francophone West African Countries

K.C. Alexander, Visiting Research Fellow, Sociologist, 2-3/79, on leave from National Institute of Community Development, Hyderabad, India, where he heads NICD's Sociology Department, with Rural Development Committee 1978-79 on IDRC post-doctoral fellowship

**Outputs:** EXPERIENCES WITH COMMUNITY DEVELOPMENT METHODS IN FRANCOPHONE CAMEROON, Robert Charlick, Report to USAID/Yaounde, March 1979.

COMMUNITY DEVELOPMENT IN ANGLOPHONE CAMEROON, K.C. Alexander, Report to USAID/Yaounde, March 1979.

These two papers were used as inputs for the Project Paper for the National Planning for Community Development Project (631-0017).

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#3)

**Country:** Cameroon II

**Activity:** Agricultural Manpower Needs Assessment and Implications for Participatory Development.

**Purpose:** Prepare pre-project paper assessment of Cameroon's agricultural manpower needs and of the potential impact of the proposed new University Center for Agriculture (UCA) at Dschang on rural development in Cameroon.

**Program:** Discussions with Government of Cameroon ministries, other donors and officials of UCA to explore the implication of various models for participatory development leading to increased food production by smallholders, including women farmers; collection of required data on agricultural sector development and on availability of trained manpower, to provide GOC and the private sector with trained manpower appropriate to the various levels required, including paraprofessionals and first-line agricultural workers.

**Linkages:** RDPP team cooperated with four-person team from the Ecole Nationale Supérieure Agronomique (ENSA); advice to UCA staff and AID mission on institutional development as well as curriculum and training modes.

**Personnel:** Larry Zuidema, Team Leader, Assistant Director, International Agriculture Program, College of Agriculture, Cornell, 7-9/79  
 Larry Busch, Associate Professor, Department of Sociology, University of Kentucky, 7-9/79  
 William Dalrymple, Graduate Research Associate, Department of Agricultural Economics, Cornell, 7-9/79

**Outputs:** A STUDY OF THE DEVELOPMENT OF THE UNIVERSITY CENTER FOR AGRICULTURE AT DSCHANG, CAMEROON: AGRICULTURAL MANPOWER NEEDS ASSESSMENT AND IMPLICATIONS FOR PARTICIPATORY DEVELOPMENT, Consultant Report to USAID, September 1979.

Debriefing seminar in Washington for USAID, September 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#4)

**Country:** Liberia

**Activity:** Rural Development Task Force Consultancy

**Purpose:** Explore with the Rural Development Task Force (RDTF) of the Government of Liberia its program for introducing more decentralization, integration, coordination and participation into the Government's structure for promoting rural development; prepare preliminary design of training program and curriculum for Multi-Sector Teams of government staff and for Village-level Development Workers to implement RDTF proposals.

**Program:** Review with RDTF, USAID and UNDP representatives the work of the Task Force to date; design a training program for MST members and VDWs in an integrated, participatory approach to rural development, supporting the plans for decentralized planning and implementation of rural development in Liberia.

**Linkages:** RDPP team worked with Rural Development Task Force, including its former director, then Minister of Agriculture Cyril Bright, and also the UNDP's advisor to the Task Force, David Luscombe; visits to the Rural Development Institute, Cuttington College, and the University of Liberia agricultural campus; discussions with USAID mission director and economic officer.

**Personnel:** John Harbeson, Project Manager, DS/RAD-Cornell Rural Development Participation Project, 8/79  
Norman Uphoff, Project Director, Cornell-DS/RAD Rural Development Participation Project, 8/79

**Outputs:** TRAINING OF MULTI-SECTORAL TEAMS AND VILLAGE DEVELOPMENT WORKERS: Report Submitted to USAID/Liberia and Rural Development Task Force, Government of Liberia, John Harbeson and Norman Uphoff, August 1979.

This report was major input to USAID/Liberia project: Supplemental Grant to Rural Development Training Program at Cuttington University College, PVD/DPG Project (699-0153) being implemented by Episcopal Church of U.S.A.; first project team leader was Prof. Harold Capener, 1980-82, past chairman, Department of Rural Sociology, Cornell.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#5)

- Country:** Tanzania
- Activity:** Review of Experience with Decentralization and Participation in Rural Development
- Purpose:** Assess Tanzanian experience with decentralization in its villagization and rural development efforts, with special reference to relations and cooperation between government staff and rural population, to see what could be learned for other countries.
- Program:** Visit to Tanzania during February 1979 to update previous observations and gather recent materials; researcher had previously taught and done research in Tanzania during 1973-78 in Arusha and Dar es Salaam.
- Linkages:** Briefings with USAID mission staff; discussion of women and agriculture research proposal with Department of Agricultural Extension and Adult Education, Faculty of Agriculture and Forestry, Morogoro; meetings also with staff of Economic Research Bureau and Bureau of Resource Assessment and Land Use Planning, University of Dar es Salaam.
- Personnel:** Louise Fortmann, Senior Research Associate, Rural Sociology, 2-5/79
- Outputs:** "Pitfalls in Implementing Participation: An African Example," Louise Fortmann, RURAL DEVELOPMENT PARTICIPATION REVIEW, 1:1, Fall, 1979.
- "Women and Tanzanian Agricultural Development," Louise Fortmann in READINGS ON THE TANZANIAN ECONOMY, eds. K. Kim, R. Mabele and M. Schulteis, London and Nairobi: Heinemann, 1979.
- PEASANTS, OFFICIALS AND PARTICIPATION IN RURAL TANZANIA: EXPERIENCE WITH VILLAGIZATION AND DECENTRALIZATION, Louise Fortmann, RDC Monograph, February 1980.
- Participation by Louise Fortmann in Colorado State University team for design of Farming Systems Project, 1981.
- Also: "Profile of the Rural Poor in Tanzania," Louise Fortmann, with others for American Association for the Advancement of Science, 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#6)

**Country:** Senegal-Gambia

**Activity:** Gambia River Basin Commission Consultancy

**Purpose:** Contribute to discussions and planning of development organization to serve Gambia River Basin, including harmonization of French and British systems of administration with a view to increasing decentralization and participation.

**Program:** Participate in week-long meeting in Washington of delegations from Senegal and Gambia, plus representatives of UNDP and USAID, harmonizing draft reports and action plans for the agricultural, cattle raising and forestry sectors; also advising on administrative and bureaucratic structure of the Commission itself; decisions also regarding future approaches to prospective donors.

**Linkages:** RDPP consultant worked with delegations from Senegal and Gambia, as well as representatives of UNDP and USAID, particularly with the Francophones since he was the most fluent speaker of French among the Americans present.

**Personnel:** L. Gray Cowan, Professor, Public Administration, State University of New York at Albany, 11/79

**Outputs:** Report on Consultation regarding the Gambia River Basin Commission, Washington, November 5-9, 1979, L. Gray Cowan, November 21, 1979.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY****AFRICA (#7)**

**Country:** Lesotho

**Activity:** Workshop on Decentralization

**Purpose:** Initiate discussion and plans for decentralization of the Lesotho civil service.

**Program:** RDPP representatives attended seminar and participated in discussions as desired by seminar leadership from Government of Lesotho.

**Linkages:** RDPP representatives talked with senior Government personnel (permanent Secretaries from seven ministries) and staff of the University of Lesotho, but no continuing linkages were involved.

**Personnel:** Louise Fortmann, Senior Research Associate, Rural Sociology  
John Harbeson, Project Manager, DS/RAD-Cornell RDPP, Political Science/Public Administration

**Outputs:** Contributions to seminar discussions as requested; published report of seminar prepared by Government of Lesotho with some inputs from John Harbeson.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

AFRICA (#8)

**Country:** Zimbabwe

**Subject:** Popular Participation in Planning and Development

**Purpose:** Examine concept of participation in the context of development policy in Zimbabwe, which was born out of a long struggle for independence in which success was largely achieved because of popular participation (from University of Zimbabwe external news release 1344).

**Program:** Three-day workshop organized by the Zimbabwe chapter of the Society for International Development, May 28-30, 1982, at the University of Zimbabwe; director of the Rural Development Participation Project at Cornell was invited to give the keynote address, outlining the issues to be addressed specifically in the Zimbabwe context.

Workshop inaugurated by Minister Enos Nkala on behalf of Prime Minister Robert Mugabe, patron of the SID chapter in Zimbabwe; addressed also by the Minister of Lands, Resettlement and Rural Development and the Minister of Labor and Social Services.

**Personnel:** Norman Uphoff, RDPP Director, 5/82

**Outputs:** Volume of proceedings being edited and published by SID Zimbabwe chapter, 1982, including lead paper by Uphoff on "Current Ideas and Issues on Popular Participation in Planning and Development."

**B. NEAR EAST**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

NEAR EAST (#1)

- Country:** Yemen Arab Republic
- Activity:** Applied Research and Consulting on Rural Development focusing on Local Development Associations
- Purpose:** Generate policy relevant guidelines for identifying, designing, and implementing locally organized rural development activities and projects in rural Yemen. The major thrust of the research is to describe and analyze a range of rural Yemeni communities in order to determine the relationships between successful locally organized development efforts and the resource environments and socio-economic characteristics of the communities. This information will be used by USAID in assisting the Confederation of Yemen Development Associations (CYDA) to strengthen member Local Development Associations (LDAs) with training, technical assistance, and financial aid, and in assessing the utility of alternative rural development approaches in the context of rural Yemen.
- Program:** Undertake a three-stage applied research effort, beginning with the socio-economic survey of some 25 communities (uzlas) selected to define the range of communities in Hajjah and Hodeidah governorates, followed by more detailed work in 7 communities which represent the range mapped out through construction of a typology from the first stage studies, followed by in-depth field studies of 2 most representative communities; consult with CYDA and the provincial coordination committees about rural development planning and implementation; consult with the AID mission on its rural development program generally and project 0045, specifically making social science inputs to the analysis of AID and YARG activities in Yemen.
- Linkages:** RDPP team working with AID mission and Confederation of Yemen Development Associations, as well as with the LDA Coordinating Councils in Hajjah and Hodeidah Governorates, and AID contractor (Chemonics).
- Personnel:** John M. Cohen, Principal Co-Investigator, Rural Sociology, Cornell and Harvard Institute for International Development, 3/78, 8/81  
David B. Lewis, Principal Co-Investigator, Regional Planning, Cornell, 3/78-8/81  
Jon Swanson, Field Team Leader, Senior Research Associate, Anthropology, 7/79-8/81  
Mary Hebert, Research Associate, Anthropology, 1/80-8/81

**Personnel:  
(continued)**

Sheila Carapico, Consultant, Political Science, SUNY-Binghamton,  
6/82-8/82 (services provided by Cornell University)  
Barbara Croken, Graduate Research Associate, History, Harvard,  
7/79-3/80  
Manfred Wenner, Consultant, Political Science, Northern Illinois  
University, 3/78  
James Coyle, Graduate Research Associate, Economics, 7/79

**Outputs:****Program Design:**

ORGANIZING RURAL DEVELOPMENT INFORMATION SYSTEMS,  
John M. Cohen and David B. Lewis, March 1978.

RESEARCH DESIGN, John M. Cohen and David B. Lewis, July  
1979.

RESEARCH DESIGN (REVISED), John M. Cohen, Mary Hebert,  
David B. Lewis and Jon Swanson, May 1980.

**External Publications:**

RURAL DEVELOPMENT IN THE YEMEN ARAB REPUBLIC:  
STRATEGY ISSUES IN A CAPITAL SURPLUS, LABOR SHORT  
ECONOMY, John M. Cohen and David B. Lewis, Harvard Institute  
for International Development Paper #52, February 1979.

"Capital-Surplus, Labor-Short Economies: Yemen as a Challenge  
to Rural Development Strategies," John M. Cohen and David B.  
Lewis, AMERICAN JOURNAL OF AGRICULTURAL ECONOMICS,  
August 1979.

"Local Development Associations in the Yemen Arab Republic,"  
David B. Lewis, RURAL DEVELOPMENT PARTICIPATION  
REVIEW, January 1980.

"Development from Below: Local Development Associations in the  
Yemen Arab Republic," John M. Cohen, Mary Hebert, David B.  
Lewis and Jon C. Swanson, WORLD DEVELOPMENT, 9:11/12,  
1981.

**Major Reports:**

LOCAL GOVERNMENT IN (NORTH) YEMEN, Manfred Wenner,  
May 1978.

PRELIMINARY BASELINE REPORT, Jon Swanson and David B.  
Lewis, January 1980.

**Outputs:  
(continued)**

**THE RURAL DEVELOPMENT CONTEXT IN HAJJA AND HUDAYDA: REGIONAL BASELINE STUDY REPORT, VOLUME I, John M. Cohen, Mary Hebert, David B. Lewis and Jon Swanson, May 1980; Revised July 1980.**

**REVIEW OF LITERATURE AND ANALYSES OF RURAL DEVELOPMENT ISSUES IN THE YEMEN ARAB REPUBLIC, John M. Cohen and David B. Lewis, Discussion Paper No. 52, Harvard Institute of International Development, February 1979.**

**RURAL SOCIETY AND PARTICIPATORY DEVELOPMENT: CASE STUDIES OF TWO VILLAGES IN THE YEMEN ARAB REPUBLIC, Jon C. Swanson and Mary Hebert, September 1981.**

**Working Notes:**

**SELECTION OF 045 PROJECT SITES: GUIDELINES FROM REGIONAL BASELINE STUDY, John M. Cohen, Mary Hebert, David B. Lewis and Jon Swanson, May 1980.**

**SOURCE MATERIALS IN ARABIC ON RURAL DEVELOPMENT AND THE COOPERATIVE MOVEMENT IN THE YEMEN ARAB REPUBLIC, Barbara Croken, May 1980.**

**PRELIMINARY FIELD REPORT: SOCIO-ECONOMIC CONDITIONS AND DEVELOPMENT - MAGHLAF, HODEIDAH GOVERNORATE, Mary Hebert, March 1981.**

**PRELIMINARY FIELD REPORT: SOCIO-ECONOMIC CONDITIONS AND DEVELOPMENT - BANTAWAAM, HAJJA GOVERNORATE, Jon C. Swanson, March 1981.**

**INTERIM FIELD REPORT: LOCAL ORGANIZATION AND DEVELOPMENT - MAGHLAF, HODEIDAH GOVERNORATE, Mary Hebert, June 1981.**

**INTERIM FIELD REPORT: LOCAL ORGANIZATION AND DEVELOPMENT - BANTAWAAM, HAJJA GOVERNORATE, Jon C. Swanson, June 1981.**

**AN INFORMAL BANKING SYSTEM: THE REMITTANCE AGENTS OF YEMEN, Lee Ann Ross, November 1981.**

**THE ECOLOGICAL CONTEXT OF LOCAL DEVELOPMENT IN YEMEN, Frank W. Young, Mary Hebert and Jon C. Swanson, November 1981.**

**Outputs:**  
(continued)

**Seminars and Briefings:**

**Training Seminar Program (3 Days) For USAID, CYDA and Related Programs, Sanaa, March 1978.**

**Seminar on Preliminary Baseline Results, Jon Swanson, Sanaa, March 1980.**

**Briefings on working in rural Yemen by Swanson and Lewis for Cornell personnel undertaking AID-funded Soils Classification study for Yemen (Van Wambeke and Hardy), August 1980.**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

NEAR EAST (#2)

- Country:** Tunisia
- Activity:** Methodology for Monitoring and Evaluating Decentralized Regional Development
- Purpose:** Develop information system for monitoring and evaluating regional/rural development program of Central Tunisia Development Authority (CTDA) being undertaken with USAID assistance; test macro-social accounting methodology under field conditions as more cost-effective approach for rural development project monitoring and evaluation; train CTDA staff in use of methodology and micro-computers for evaluation and other management functions.
- Program:** Periodic trips to Tunisia to work with CTDA staff, conduct training courses, carry out field surveys with key informants involving CTDA staff; initial data analysis to ascertain operation of new system.
- Linkages:** RDPP team working closely with Central Tunisia Development Authority Staff, from director on down, and especially with CTDA Planning Cell; work done with and through CTDA, but mission kept informed of activities; cooperation with University of Wisconsin staff working also with CTDA under a cooperative agreement with DS/RAD.
- Personnel:** Frank W. Young, Principal Investigator, Professor, Rural Sociology, 7/79-9/81  
Fernando Bertoli, Assistant Professor, Sociology, North Carolina State University, 7/79-9/81  
Sandra Bertoli, Consultant, Sociology, Cornell University, 7/79-8/81  
Pratima Dayal, Graduate Research Assistant, Agricultural Economics, 1-5/80
- Outputs:** AN INFORMATION SYSTEM FOR THE CENTRAL TUNISIAN DEVELOPMENT AUTHORITY (CTDA), Frank Young, October 1978.  
  
EVALUATING INTEGRATED RURAL DEVELOPMENT IN THE REGIONAL CONTEXT: CENTRAL TUNISIA, Frank W. Young, Working Paper, April 1979.

Outputs:  
(continued)

"Rapport Preliminaire sur les Caracteristiques de la Tunisie Centrale," Office de Developpement de la Tunisie Centrale, Planning and Evaluation Section, 1980. (First of a series of locally-produced reports)

"An analysis of Tunisian urbanization," (in French) accepted for publication in REVUE TUNISIENNE DE SCIENCES SOCIALES.

DESIGN FOR A MICROCOMPUTER-BASED RURAL DEVELOPMENT INFORMATION SYSTEM, Frank W. Young, Fernando Bertoli and Sandra Bertoli, Cornell University Department of Rural Sociology Bulletin #115, August 1980. (General description of information system) Also SOCIAL INDICATOR RESEARCH, 9 (1981), 283-312.

"Rural Poverty and Ecological Problems: results of a new type of baseline study," Frank W. Young, Fernando Bertoli and Sandra Bertoli, SOCIAL SCIENCE INDICATOR RESEARCH, 9, 1981, pp.495-516.

SEMINAIRE: L'INFORMATION ET L'ANALYSE DE DONNEES, Frank W. Young, Fernando Bertoli and Sandra Bertoli, 1980. (Exercises used to teach Tunisian planners and now used in teaching at Cornell)

A BASELINE FOR RURAL DEVELOPMENT IN CENTRAL TUNISIA, Frank Young, Fernando Bertoli and Sandra Bertoli, summary monograph, September 1981, 198 pp. (also in French)

"Documentation for Interactive Inquiry System (ISIS)," Fernando Bertoli, Mimeograph, 1981.

"A Practical Methodology for Evaluating Integrated Rural Development," Frank W. Young, Sociologia Ruralis, forthcoming.

Training: By September 1982, approximately 10 Tunisian planners and administrators were trained in the use of microcomputers for basic data management. Half of these had advanced training in data analysis of administrative computing. Additionally, several of the Tunisian staff received specialized training in field surveys, obtaining and organizing data from bureaucracies, and in report writing.

System Support: Two complete microcomputer systems have been installed. The dual system will partially insure against technical breakdown but various repair options will also be organized.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

NEAR EAST (#3)

**Country:** Egypt I

**Activity:** Profile on Rural Poverty and Participation

**Purpose:** Compile existing data in Egypt on the distribution and causes of poverty in rural areas with regard to policy interventions; analyze data and produce report for USAID mission and for broader readership concerned with landlessness and near-landlessness.

**Program:** Acquire and assess data from government and other sources such as universities; prepare analysis of rural poverty in Egypt.

**Linkages:** Co-sponsorship of study with International Islamic Centre for Population Studies and Research, Al Azhar University, Cairo; cooperation with Organization for Reconstruction and Development of Egyptian Villages (ORDEV); consultation with AID mission.

**Personnel:** Iliya Harik, Principal Investigator, Visiting Professor, Political Science, 7/78, 9-11/78  
 Susan Randolph, Graduate Research Associate, Economics, 7-12/78  
 Norman Uphoff, Project Director, Political Science, 7/78, 9/78  
 Abdel-Basit Hassan, Principal Co-Investigator, Sociology, Women's College, Al Azhar University, 8-9/78  
 Abdel-Basit Abdel-Mu'ti, Sociology, Ain Shams University, 7-9/78  
 Sawsan El Messiri, Anthropology, Al Azhar University, 7-9/78  
 Amani Selim, Graduate Research Assistant, Economics, 6-11/78

**Outputs:** RURAL SOCIO-ECONOMIC PROFILE FOR DEVELOPMENT PROGRAMS IN EGYPT: STATUS REPORT ON DATA SOURCES, Iliya Harik, July 30, 1978.

SOCIO-ECONOMIC PROFILE OF RURAL EGYPT, A Report of the Study Team for IICPSR and Cornell RDC, November 15, 1978.

Working Paper #1: THE CAPMAS 1974-1975 HOUSEHOLD BUDGET SURVEY, Susan Randolph, October 1978.

Working Paper #2: THE ORDEV 116 VILLAGE SURVEY, Susan Randolph, November 1978.

DISTRIBUTION OF LAND, EMPLOYMENT AND INCOME IN RURAL EGYPT, Iliya Harik with Susan Randolph, RDC monograph, November 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

NEAR EAST (#4)

**Country:** Egypt II

**Activity:** Development Decentralization I Consultancy

**Purpose:** Assess institutional strengths and weaknesses of Local councils and supporting organizations at higher levels (District Councils, Governorate Councils ORDEV) for implementing AID-financed project on Development Decentralization I; examine local capacity for planning and resource mobilization for employment-creating enterprise at village level; analyze political networks for competition and clientage as they would affect DD I project implementation; advise AID mission on these factors.

**Program:** Consult with Egyptian institutions and AID mission on project design and implementation, including some field studies to gather current information affecting DD I implementation.

**Linkages:** Cooperation with Organization for Reconstruction and Development of Egyptian Villages (ORDEV), which would be helping to implement DD I.

**Personnel:** Iliya Harik, Visiting Professor, Political Science, 1-4/79

**Outputs:** REPORT PERTAINING TO THE LOCAL DEVELOPMENT FUND UNDER DD I, Submitted to USAID/Cairo, Iliya Harik, March 1979.

**C. ASIA**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

ASIA (#1)

**Country:** Sri Lanka

**Activity:** Water Management Project Applied Research and Consulting

**Purpose:** Assist Agrarian Research and Training Institute (ARTI) Water Management Group in implementation of socio-economic aspects of USAID-funded Water Management Project to rehabilitate Gal Oya irrigation scheme, being physically and technically implemented by Irrigation Department, GSL; strengthen ARTI capacity to work on problems of water management from interdisciplinary perspective; particularly to help in introducing former organizations into Gal Oya area to participate in system rehabilitation and subsequent maintenance, and develop approaches that could be extended to other irrigation schemes in Sri Lanka.

**Program:** Provide short-term consultancies from Cornell Water Management Group associated with RDC since 1974 to assist ARTI Water Management Group in design and conduct of baseline studies in project area, of monitoring studies of water management problems and practices, and of annual evaluations required by AID project, and in introduction of farmer organizations in Gal Oya; provide long-term consultancy for same purposes; participate with ARTI in special studies of water management experience in Sri Lanka to develop body of knowledge relevant to national program of water management improvement.

**Linkages:** RDPP team to work as members of ARTI Water Management Group while in Sri Lanka, to further work of the Group and to upgrade analytical skills and social science experience of Group (note: Cornell RDC has had exchanges with ARTI since 1973, and RDC chairman spent sabbatical at ARTI during 1978-79 to strengthen linkages further); close working relationship with AID mission on project implementation and also with GSL Irrigation Department and Ministry of Lands and Land Development, and with the AID-funded technical consultants to ID and MLLD, Engineering Consultants, Inc. (ECI); most of RDPP team members are conducting concurrent research on water management in Philippines and Indonesia under AID contract and making knowledge connections among the three countries; linkages with Agricultural Development Council (ADC) Irrigation Network for exchange of experience.

**Personnel:** Norman Uphoff, Associate Professor, Government, 1/80, 6-7/80, 1/81, 6-7/81, 1/82, 6-7/82.  
Gil Levine, Professor, Agricultural Engineering, 9-10/79, 8/80, 9/81, 1/82

**Personnel:**

Randy Barker, Professor, Agricultural Economics, 11/79, 8/80, 1/82  
 Walter Coward, Associate Professor, Rural Sociology, 1/80, 8/80  
 David Korten, Consultant, Business and Public Administration,  
 Ford Foundation/Manila, 1/80, 8/80  
 Hammond Murray-Rust, Graduate Research Associate, Agricultural  
 Engineering, 7-8/79, 7/80-9/81  
 Edward Vander Velde, Resident Consultant, Visiting Associate  
 Professor, Geography, 6/80-7/81, 7-8/82  
 Mark Svendsen, Resident Consultant, Agricultural Engineering,  
 7/81, 12/81-3/82  
 Piyasena Ganewatte, Sociologist, Training Specialist, Institutional-  
 Organizers Program, ARTI, 11/80-continuing  
 Benjamin Bagadion, Consultant, Engineering, National Irrigation  
 Administration, Manila, 8/80  
 Carlos Isles, Consultant, Community Organizing, National  
 Irrigation Administration, Manila, 8/80, 12/80  
 Shyamala Abeyratne, Graduate Research Associate, Rural  
 Sociology, 6-8/80  
 Ingrid Palmer, Sociologist, UNRISD, 8/80  
 Milan Rodrigo, Graduate Research Associate, Communication Arts,  
 5-8/82  
 Nancy St. Julien, Graduate Research Associate, Regional Planning,  
 6-7/82

**Outputs:****Publications:**

1980 YEARBOOK FOR SRI LANKA WATER MANAGEMENT  
 RESEARCH, ARTI, Colombo, and RDC, Ithaca, 1982

"Contrasting Legal and Organizational Approaches to Water  
 Management Development in Sri Lanka," Norman Uphoff, THIRD  
 WORLD LEGAL STUDIES-1982, International Center for Law and  
 Development, New York, 1982.

"Optimum Participation in Water Management: Issues and Evidence  
 from Sri Lanka," Norman Uphoff, M.L. Wickramasinghe and C.M.  
 Wijayarathne, article manuscript 1982.

SECOND GENERATION SETTLEMENT IN THE GAL OYA  
 PROJECT, SRI LANKA, Shyamala Abeyratne, Master's Thesis,  
 Department of Rural Sociology, Cornell University, August 1981.

"The Spatial Distribution of Irrigation Water and Yields on the Gal  
 Oya Left Bank," Mark Svendsen and C.M. Wijayarathne, SRI LANKA  
 JOURNAL OF AGRARIAN STUDIES, Fall 1982.

IRRIGATION AND WATER MANAGEMENT IN SRI LANKA: AN  
 EVALUATION OF TECHNICAL AND POLICY FACTORS  
 AFFECTING OPERATION OF THE MAIN CHANNEL SYSTEM,  
 Hammond Murray-Rust, Ph.D. Thesis, Department of Agricultural  
 Engineering, Cornell University, 1982.

**Outputs:**  
(continued)

**THE IMPACT OF SECOND GENERATION SETTLERS ON LAND AND WATER RESOURCE USE IN GAL OYA, SRI LANKA,** Shyamala Abeyratne, ARTI/RDC publication forthcoming.

**Papers:**

"Rehabilitating Gal Oya: Improving Water Management through Rural Participation in Sri Lanka," Edward J. Vander Velde, C.M. Wijayarathne and M.L. Wickramasinghe, Paper for International Geographical Union, Commission on Rural Development Symposium, on Rural Development, Fresno, April 1981.

"Action Research into Farmer Participation in Irrigation System Management: A Sri Lankan Experiment," M.L. Wickramasinghe and Edward Vander Velde, Paper for Conference on Field Research Methodologies for Improved Irrigation Systems Management, Coimbatore, Tamil Nadu, September 1981.

"A Case Study of "Learning Process" Applied to Farmer Organization and Participation in Water Management: The Institutional-Organizer Program in Gal Oya, Sri Lanka," Norman Uphoff, Paper for NASPAA Workshop on Social Development Management, Washington, February 1982.

"Productivity and Equity in Gal Oya, a Sri Lankan Irrigation Scheme," Hammond Murray-Rust, Nancy St. Julien, Mark Svendsen, Norman Uphoff, M.L. Wickramasinghe and C.M. Wijayarathne, Paper for Workshop on Productivity and Equity in Irrigation Systems, Lucknow, September 1982.

**Reports:**

The Institutional-Organizer (IO) Programme in the Field after Three Months, Norman Uphoff, June 1981.

Initial Report on Water Management Activities of Institutional-Organizers for Water Management Project, Gal Oya, Sri Lanka, May-July 1981, Norman Uphoff, August 1981.

Hydrological Conditions in the Gal Oya L.B. Command Area: Preliminary Findings and Implications, Hammond Murray-Rust. October 1981.

Responsiveness as a Function of Water Management: Some Lessons from the Gal Oya Scheme, Hammond Murray-Rust, October, 1981.

The Institutional-Organizer (IO) Programme in the Field after Ten Months, Norman Uphoff, February 1982.

Outputs:  
(continued)

The Institutional-Organizer (IO) Programme in the Field after Sixteen Months, Norman Uphoff, August 1982.

Trip Reports and Memos:

Trip Report on Engineering and Other Aspects of Gal Oya Project Implementation, Gil Levine, October 1979.

Memorandum on ARTI Socio-Economic Plan for Implementation of Gal Oya Project, Norman Uphoff, October 27, 1979.

Trip Report, Visit to Gal Oya, November 18-21, and Discussions at ARTI, November 22-23, Randy Barker, November 29, 1979.

Trip Report, January 4-19, Norman Uphoff and Walt Coward, February 1980.

Issues in the Gal Oya Left Bank Rehabilitation Project, David Korten, February 6, 1980.

Report on Trip to Gal Oya, June 15-19, Norman Uphoff and Edward Vander Velde, June 1980.

Analysis of Technical Consultant's Report (T. Taylor) on Requirements for Physical Rehabilitation of Gal Oya, Norman Uphoff and Edward Vander Velde, July 1980.

Draft Training Program and Curriculum for Institutional Organizers to be Used for Gal Oya Farmer Organization, Norman Uphoff, July 1980.

Supplementary Baseline Data Collection and Monitoring Questions Concerning Women and the Household at Gal Oya, Paper contributed by Ingrid Palmer, based on field trip to Gal Oya with other members of Cornell/ARTI Water Management Group following ADC Seminar in Colombo, August 11-15 (Ms. Palmer's consulting was contributed personally).

Consultant Reports: August 4-8, 1980, Carlos Isles; August 16-23, 1980, Benjamin Bagadion; August 18-30, David Korten.

Analysis of Benchmark and Record Keeping Data, Memorandum at ARTI Water Management Group, Randy Barker, August 27, 1980.

Creation of Water Management Task Force Group at National and Gal Oya Levels, Memorandum to J. Alwis, David Korten, August 28, 1980.

Draft Irrigation Act and The Organization of Water User Associations, Memorandum to J. Alwis, David Korten, September 10, 1980.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY -- SRI LANKA

ASIA (#1)

- Outputs:**  
(continued)
- Consultant Report on Gal Oya Left Bank Rehabilitation and the Improvement of Sri Lankan Water Management Capabilities, David Korten, September 11, 1980.
  - Trip Report - Consultation Visit, G. Levine, September 3-13, 1981.
  - Trip Report - Edward Vander Velde - August 1982
- Training:**
- Arrangements for Short-term Training of Gal Oya Water Management Participants in Philippines (Wijayarathne, Wickramasinghe, Kumarasamy and two staff of Irrigation Department), David Korten, April 1980.
  - Preparation of Training Program Draft and Materials for Institutional-Organizers, Carlos Isles, December 1980.
  - Participation in Training Program of I-Os, January-March, 1981, Piyasena Ganewatte, Norman Uphoff and Edward Vander Velde.
  - Intensive Training on Computer Analysis and Data Management for C.M. Wijayarathne, Norman Uphoff and Nancy St. Julien, August 1981
  - Intensive Training on Computer Analysis and Data Management for M.L. Wickramasinghe, Walter Coward and Nancy St. Julien, November 1981.
  - Lectures to Trainees for Agricultural Planning Teams of Department of Agrarian Services for Small-Tank Rehabilitation, Ampare, Piyasena Ganewatte, February 1982.
  - Participation in Training Program of I-Os, June-July, 1982, Piyasena Ganewatte, Norman Uphoff, Milan Rodrigo and Edward Vander Velde.
  - Lectures to Irrigation Department Technical Assistants on Social Aspects of Water Management, Galgamuwa, Piyasena Ganewatte, July 1982.

**Seminars and  
Workshops:**

Assistance in arranging Agricultural Development Council (ADC) Asian Workshop on Water Management at ARTI, August 11-15, 1980, Edward Vander Velde and Hammond Murray-Rust.

Assistance in organizing and conducting National Workshop on Water Management in Sri Lanka, held at ARTI, January 20-22, 1982, Randy Barker, Gil Levine and Norman Uphoff.

Seminars at ARTI on Water Management for staff and other government officers: September 1979 (Levine), November 1979 (Barker), January 1980 (Coward; Korten and Uphoff), August 1980 (Bagadion and Levine; Bagadion and Korten; Barker) September 1981 (Levine), January 1982 (Barker, Levine and Uphoff).

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

ASIA (#2)

- Country:** Indonesia
- Activity:** Methodology for Monitoring and Evaluating Luwu Resettlement Program
- Purpose:** Work with staff at Hasanudin University, South Sulawesi, to improve their research methodology for evaluation of Luwu Resettlement Project, being assisted by USAID/Indonesia, help to upgrade research skills of the Socio-Economic Team which is part of Project Luwu.
- Program:** Examine data collection already initiated by staff at Hasanudin University; review data analysis already undertaken; suggest improvements in data collection and analysis; informal training of staff in better methods of collection and analysis.
- Linkages:** RDPP team worked with staff at Hasanudin University, which had been given assignment by Government of Indonesia and USAID/Indonesia to monitor and evaluate major Luwu resettlement scheme.
- Personnel:** Milton Barnett, Team Leader, Professor, Rural Sociology and Anthropology, 8/78 (time contributed to Project)  
Charles Schlegel, Consultant, Sociology, University of Hawaii, 7-8/78  
Joseph Weinstock, Graduate Research Associate, Rural Sociology, 7-8/78
- Outputs:** Hasanudin University-Project Luwu Research Report, to Ric Machmer, RD/USAID, Jakarta, Joe Weinstock, September 21, 1978.  
  
Consultant Report on Hasanudin University Evaluation Research Sub-Project for the Luwu Transmigration Area, Charles Schlegel, Resources Systems Institute, East-West Center, Honolulu, September 5, 1978.  
  
Training of Hasanudin staff in data collection and analysis for socio-economic monitoring and evaluation of resettlement program.  
  
"Rural Regional Integrated Development: The Case of Project Luwu," Joseph Weinstock, Paper for World Malay Symposium, Ohio University, May 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

ASIA (#3)

- Country:** Nepal
- Activity:** Seminar on Experience with Rural Development and Participation, July 23-24, 1978
- Purpose:** Acquaint leaders of His Majesty's Government (HMG) and associated institutions (universities, consulting groups, etc.) with rural development problems in terms of the way people's participation, or lack of this, had promoted, or hindered, success; increase support for "participatory" approaches to rural development such as would be introduced in the AID-supported Rapati Zone Integrated Rural Development Project.
- Program:** Organize seminar with Agricultural Project Service Centre (APROSC), affiliated with Ministry of Agriculture; participate in seminar, and help prepare seminar report for distribution within Nepal.
- Linkages:** RDPP consultant worked with Agricultural Projects Service Centre, and maintained liaison concerning seminar with Centre for Economic Development and Administration (CEDA) and Centre for Nepal and Asian Studies, Tribhuvan University; consultation with mission and particularly staff working on Rapati project.
- Personnel:** Norman Uphoff, Project Director, Government, 1/78 and 7/78  
A.Z.M. Obaidullah Khan, Secretary of Agriculture, Government of Bangladesh, Seminar Resource Person, 7/78
- Outputs:** REPORT OF SEMINAR ON PEOPLE'S PARTICIPATION IN RURAL DEVELOPMENT IN NEPAL, Kathmandu: Agricultural Projects Service Centre, August 1978.
- "Rapport sur le Colloque et Journees d'Etudes Consacrees a la Participation des Populations du Nepal au Developpement rural" (French translation of above report, done by USAID/PPC for distribution through AID missions in Francophone West Africa)
- See following report on Kathmandu seminar:

## memorandum

DATE: September 15, 1978

REPLY TO  
ATTN OF: PPC/PDPR/CP, Jonathan Silverstone

SUBJECT: Weekly Report

TO: AA/PPC, Mr. Alexander Shakow

The Blue Star Report

This week we received a report of the seminar/workshop on "People's Participation in Rural Development in Nepal", which was held at the Hotel Blue Star in Kathmandu on 24-26 July 1978. The seminar/workshop was co-sponsored by the Ministry of Home Panchayat and the Agricultural Projects Services Centre, with financial support from AID.

Eighteen years ago, Mahendra, the King of Nepal, decided to get rid of politicians who might criticize him and to administer the country's business, including its national economic development efforts, in a fashion that would be free of politics or of politicians who were not his men. For this purpose, he established his power as absolute and instituted a four tier system of councils, or panchayats--village panchayats elected by direct vote, district panchayats, zonal panchayats, and a national panchayat. This structure has been kept in place; and the government continues to exercise considerable influence over the selection of panchayat members at all levels, including the village level.

King Mahendra also purged the bureaucracy, getting rid of the leading men in agriculture and planning, many of whom were American trained. According to Eugene Mihaly (Foreign Aid and Politics in Nepal), "the delicate fabric of administrative competency which had been painstakingly created by time and experience and with foreign assistance, mainly American, was ripped to shreds."

Although disappointed, we committed ourselves to support the King's approach, with particular attention, as stated in a 1961 project agreement, "to those activities which are calculated to involve



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the villager, directly or indirectly, and influence and assist him in achieving a more effective use of his productive resources."

In 1961, our Director also publicly announced in Kathmandu what he said was a change in U.S. thinking about economic development. We used to believe that capital and technical know-how were the major requirements for underdeveloped countries, he asserted, but now we know that will and determination are the critical factors, as these are needed in the all-important areas of land and tax reform, on which he hoped Nepal would push forward.

In order to make will and determination effective, we concluded that public administration and management must be improved, and major efforts were made in this sector.

At the July 1978 seminar/workshop, a new generation of Nepal officials reflected on what has been done and learned in the intervening period. And they listened to addresses by our current Mission Director and Bangladesh's Secretary of Agriculture.

Mr. Butterfield said that experts have found it is useful to let local people make some decisions for themselves "within the overall framework set out by the central government". The primary objective of "the developer", he said, is not popular participation in decision-making, but in the distribution of benefits to the people. To get participation in benefits, it may be "necessary and useful" to allow popular participation in decision-making, and even in the evaluation of programs. But we must not go too far along this line, he warned. "Naturally, not all decision-making regarding the design, budgeting, and organization of a development project can or should be taken out of the hands of government experts."

The Bangladesh Secretary of Agriculture attacked those who talk about "target groups", a phrase which Nepal's Agriculture Minister had used in his introductory remarks. "The whole concept of 'target groups' smacks of the old patron-client relationships which we are trying to get away from", the Bangladesh official, A.Z.M. Obaidullah Khan, declared.

After quoting Abraham Lincoln on government of, by, and for the people, he observed that "what we are experiencing, at least in most developing countries, is government administered to the people. It is the policy makers, the bureaucrats, the technocrats who along with the donors decide what is good for the rural people. Then they try to impose that package on the rural population. What is attempted generally goes beyond the understanding of the people and they become

confused and more dependent. This has happened with many of the cleverly and rationally designed 'packages' of rural development."

Without major changes, "it will remain the officials who control the development process and the line ministries will continue to trickle down their favors and patronages to various groups," said Mr. Obaidullah Khan, who headed a recent review by the UN of all its activities in rural development.

The overall seminar/workshop report includes reports from nine discussion groups made up of Nepal officials. The subjects are agriculture, human resources, rural works, local organizations (two discussion groups), paraprofessionals, land tenure, relations between civil servants and rural people and factors of difference in sex, caste, and ethnic status.

Here are some excerpts:

factors of difference

"In spite of the equal provisions made by the law, the factors of caste and ethnic discrimination still continue to yield a negative influence on opportunities available to underprivileged groups."

relations between civil servants and rural people

"Programs for rural development are prepared on the basis of technicians' reports and administrators implement them with no chance for people's participation in shaping such programs. The bureaucratic mechanism has developed in such a way that it avoids the rural people's participation. Under the existing system of rules and power within the administration, civil servants become more boss-oriented than client-oriented."

land tenure

"If development is to be meaningful to all the rural people, and particularly to the poorer sections, attention needs to be paid to differences in land tenure as they affect people's opportunities for participation."

local organizations

"In many cases, it has been noticed that bureaucrats bypass local panchayats and assert their own will. To avoid such a situation, government agencies should be made responsive to local panchayats ... People's participation is a two-way process. We have realized that in the absence of effective coordination among the bureaucrats, technocrats, and people at all levels, it might degenerate into a ritualistic affair only."

rural works

"...it was noted that actual cases proved, time and again, that indigenous, even rudimentary technology was (and is) better suited to rural conditions than exotic, borrowed ones, which did not elicit participation because they could not be easily understood. So government technical support should not foist unnecessarily complicated technologies on the people as this discourages participation."

agriculture

"There was some talk about efforts to help the majority of farmers realize better what their needs are, but it was also said in conclusion that only those who wear a shoe can know where it pinches. So in this we need to look to the opinions and ideas of the rural people themselves, to get a proper basis for promoting more rapid and effective development in the agricultural sector."

The seminar/workshop report was published by the Agricultural Projects Services Centre, GPO Box No. 1440, Lazimpat, Kathmandu, Nepal.

Quotation for the Week - Donor Procedures

"Finally, the participatory approach also carries important implications for donor agencies. We too are extremely vulnerable to the bureaucratic tendencies of 'top-down' behavior. Our institutions frequently work to standardize policies and procedures from the center such that there is insufficient flexibility to adapt programs to the specific situations of different countries, let alone to local areas within a country. Rural development and a participatory approach can all too easily be rendered ineffective through a lack of donor flexibility. Donors' rules must allow local people to genuinely participate in making the decisions regarding their own development. What is called for is the same attitude of humility, patience and willingness to learn on the part of donor agencies that is required of the host country's development officials in the field."

Sam Butterfield, quoted in Report of Seminar/Workshop on People's Participation in Rural Development in Nepal, p. 33.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

ASIA (#4)

- Country:** Philippines I
- Activity:** Decentralization and Provincial Development Administration Applied Research
- Purpose:** Examine center-local relationships and implementation of decentralization policies by the Government of the Philippines, with special reference to the Provincial Development Assistance Program (PDAP), supported by USAID.
- Program:** Field research covering 214 municipalities in 8 provinces, conducted in cooperation with the Ministry of Local Government and Community Development (MLGCD); continuation of applied research begun January 1978 with support from the Ford Foundation. The portion of the work covered by RDPP included intensive field work in 16 municipalities in 8 provinces and the interviewing of 1,250 barangay residents including participation variables.
- Linkages:** RDPP researcher worked closely with the Ministry of Local Government and Community Development while being retained as a Consultant to the Ministry under the Bureau of Local Government (BLG); he was also a Visiting Research Associate with the Local Government Center (LGC), College of Public Administration, University of the Philippines. He also had frequent contact with the Ministry of Finance, National Economic and Development Authority (NEDA), and the Ministry of Human Settlements; MLGCD provided substantial inputs to the research, as reported below; interaction with USAID/Manila mission particularly during latter part of 1979, followed by the mission appointing researcher to three-month consultancy, January-March, 1980, paid for by the mission.
- Personnel:** Arthur G. Williams, Graduate Research Associate, Government, Economics and Public Administration, 1-12/79  
 Julia Marquez, Research Assistant, Nutrition, University of the Philippines  
 Lorna de la Pena, Research Assistant, Public Administration, University of the Philippines  
 Ulysses S. Musico, Researcher (assigned to project by MLGCD), Local Government Officer I, BLG/MLGCD  
 Victoriano Hababug, Researcher (assigned to project), Chief, Local Government Section, BLG/MLGCD  
 Tomas Taboada, Research (assigned part-time to project), Senior Local Government Officer, Region VII, MLGCD

## Outputs:

"Local Taxation and the Location of Industry," LOCAL GOVERNMENT BULLETIN, (Philippines), 14:1, January, 1979.

ATTITUDES OF CITIZENS TOWARD TAXATION AND EXPENDITURES IN METROPOLITAN CEBU, Manila: Manila: MLGCD, 1979.

"Metropolitan and Local Governance," in BUREAUCRATIC THEORY AND BUREAUCRATIC PRACTICE: THE PHILIPPINE AMERICAN EXPERIENCE, ed. M. Ladd Thomas, DeKalb: Northern Illinois University, 1980.

IN THE EYES OF THE MAYOR: A REPORT ON INTERVIEWS WITH TWO HUNDRED FOURTEEN FILIPINO MAYORS, Manila: MLGCD, 1980.

IN THE EYES OF THE MAYOR: A REPORT ON THE MAYORS OF PAMPANGA, Manila: MLGCD, 1980.

PLANNING CAPABILITIES AND THE PROVINCIAL DEVELOPMENT ASSISTANCE PROJECT (PDAP): AN EVALUATION REPORT. Consulting report to USAID/Manila, 1980 (under consultancy agreement with mission).

MEASURING LOCAL GOVERNMENT PERFORMANCE: ASSESSING MANAGEMENT, DECENTRALIZATION AND PARTICIPATION. RDC Monograph, 1981.

CENTER, BUREAUCRACY AND LOCALITY: A STUDY OF CENTRAL-LOCAL GOVERNMENT RELATIONS IN THE PHILIPPINES, doctoral dissertation, Department of Government, Cornell, 1981.

"Poverty Research in the Philippines: Analysis Without Synthesis?" PHILIPPINE ECONOMIC JOURNAL, forthcoming.

"The Local Administration Development Program (LADP) Revisited: A Multiple Regression Approach to the Evaluation of Training," PHILIPPINE JOURNAL OF PUBLIC ADMINISTRATION, forthcoming.

Consultation with MLGCD on revised Local Government Code and on evaluation of its technical assistance program to localities, and with National Tax Research Center, NEDA, on measures to improve local finance and building local capabilities.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

ASIA (#5)

**Country:** Philippines II

**Activity:** AID Country Program Decentralization and Participation Consultancy

**Purpose:** Assist mission Provincial Development Administration Project and Rural Service Center project evaluations and in thinking through regional/local level program and institution building implications for FY82 CDSS; review draft evaluation reports, join in evaluation discussions and relate evaluation findings and consultant's own extensive experience with Philippine government to development improvement of organization and management systems needed to implement a regionally-focused AID assistance strategy, including new project formulation involving local organization development.

**Program:** Work with mission director and staff on assessment of mission program and Country Development Strategy Statement for FY 1982 and 83; visit projects as appropriate; discuss with mission director and staff the consultant's conclusions and draft reports on them; consultant assisting only part-time 1980-81 with RDPP, full-time in 1981-82 on separate but related agreement of USAID with the National Association of Schools of Public Affairs and Administration.

**Linkages:** Work is principally with AID/Philippines mission; consultant is associated with the Ford Foundation/Manila and also with Cornell RDC, through which his services were made available.

**Personnel:** David Korten, Project Specialist in Population and Social Development Management, Ford Foundation/Manila, and Asian Institute of Management, Manila.

**Outputs:** LOCAL CAPACITY BUILDING, David Korten, Paper prepared for USAID/Manila, April 25, 1980.

LOCAL CAPACITY BUILDING: NOTE #2, David Korten Paper prepared for USAID/Manila, May 5, 1980.

Outputs are reflected primarily in mission programming documents as outcomes of the ongoing process of meetings and consultations with mission staff.

**D. LATIN AMERICA  
AND CARIBBEAN**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#1)

- Country:** Jamaica I
- Activity:** Integrated Rural Development Project: Applied Research on Local Organization and Participation
- Purpose:** Assess functioning of local organizations in project area for AID-supported Integrated Rural Development Project (Pindars River and Two Meetings watersheds); monitor introduction of Development Committees in project area; study and analyze constraints to small farmer participation in project, in particular land tenure factors and employment alternatives; advise USAID and Project leadership on approaches for better implementation of Project.
- Program:** Field research on local organizations, particularly the Jamaica Agricultural Society and commodity organizations in the Pindars River and Two Meetings areas, 1-7/79; follow-up research on Development Committees in Pindars River and Two Meetings areas, and on farmer participation in Project with regard to soil conservation, land tenure, economic stratification and other factors. Design of impact evaluation for the project on the practices and production capabilities of participating farmers, 1-5/81.
- Linkages:** RDPP team worked directly with Integrated Rural Development Project staff, Ministry of Agriculture, in consultation with AID/Jamaica mission; informal links to Institute of Social and Economic Research, University of the West Indies, Mona campus.
- Personnel:** Harvey Blustain, Team Leader, Senior Research Associate, Anthropology, 1/79-9/81  
Arthur A. Goldsmith, Graduate Research Associate, Government, 1/79-8/81  
Tom Davis, Professor, Economics, 1/81, 5/81
- Outputs:** FARMERS' ORGANIZATIONS AND LOCAL INSTITUTIONS IN THE TWO MEETINGS AND PINDARS RIVER WATERSHEDS, Harvey Blustain and Arthur Goldsmith, Report prepared for USAID/Jamaica Mission, Kingston, June 1979.
- Integrated Rural Development Project Goals and Performance: Analysis of Project Paper and Budgets by Component, Memorandum to IRDP by Harvey Blustain, September 16, 1979, as guide to project planning 1979-80.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY — JAMAICA LATIN AMERICA (#1)

Outputs:  
(continued)

Memoranda to Dudley Reid, IRDP Project Manager on Benchmark Production Data, March 19, 1980, and Analysis of Farm Plans, Harvey Blustain, April 9, 1980.

LOCAL ORGANIZATION AND PARTICIPATION IN INTEGRATED RURAL DEVELOPMENT IN JAMAICA, Arthur Goldsmith and Harvey Blustain, RDC Monograph, April 1980.

Memoranda to Dudley Reid, IRDP Project Manager, on Benchmark Production Data on Red Peas, June 1, 1980, and Benchmark Production Data on Irish Potatoes, July 15, 1980.

SOCIAL ASPECTS OF RESOURCE MANAGEMENT IN THE SECOND INTEGRATED RURAL DEVELOPMENT PROJECT, Harvey Blustain, Report to IRDP and USAID/Jamaica, July 1980.

THE POLITICS OF AGRICULTURAL STAGNATION: RURAL DEVELOPMENT AND LOCAL ORGANIZATION IN JAMAICA, Arthur Goldsmith, doctoral dissertation, Department of Government, Cornell, August 1980.

Meeting the Needs of Farmers, Paper for IRDP Retreat, Etham, St. Ann's, Harvey Blustain, September 18, 1980.

Assistance to Jamaica Broadcasting Corporation in analyzing needs-assessment and audience-profile surveys for radio extension programs, Harvey Blustain, 1980.

"An Assessment of the Second Integrated Rural Development Project. Part I: The Impact of the Project Upon Farmers. Part II: Assumptions and Goals: A Review of the Project Paper," Report submitted to USAID and the Ministry of Agriculture, June 1981.

Counterpart training of Sociologist hired by IRDP to take over socio-economic analysis from Harvey Blustain after June 1981.

Goals, Outputs and Participation in a Jamaican Integrated Rural Development Project, Harvey Blustain, RURAL DEVELOPMENT PARTICIPATION REVIEW, Spring 1982.

RESOURCE MANAGEMENT AND AGRICULTURAL DEVELOPMENT IN JAMAICA: LESSONS FOR A PARTICIPATORY APPROACH, Harvey Blustain, RDC Monograph, Special Series on Resource Management, 1982.

Social Issues in Technology Choice: Soil Conservation in Jamaica, Harvey Blustain, JOURNAL OF SOIL AND WATER CONSERVATION, Winter, 1983 (forthcoming).

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#2)

- Country:** Jamaica II
- Activity:** Organization for Small Farmer Development
- Purpose:** Analyze organizational means, both formal and informal, for overcoming barriers to increasing agricultural productivity of small farmers in rural sector of Jamaica.
- Program:** Preparation of joint publication between Cornell RDC and Institute of Social and Economic Research staff, University of the West Indies, Mona, analyzing experience with the small farmer sector in Jamaican agriculture, assessing informal and formal mechanisms for channeling labor into small farmer agriculture and for marketing outputs of small farm sector, assessing formal organizations in agriculture sector such as Jamaica Agricultural Society and commodity associations and new organizations such as Development Committees and Community Councils; planned workshop to review drafts and integrate analysis for final publication.
- Linkages:** RDPP collaborating with staff of University of the West Indies (Institute of Social and Economic Research) in preparation for publication; one member of ISER/UWI (LeFranc) spent six months at Cornell working on parts of publication.
- Personnel:** Harvey Blustain, Senior Research Associate, Anthropology  
Milton J. Esman, Professor, Government and Public Administration  
Arthur Goldsmith, Graduate Research Associate, Government  
Elsie LeFranc, Professor, Sociology, UWI  
Tony Lewars, Agricultural Marketing Corporation  
Norman Uphoff, Associate Professor, Government
- Outputs:** Conference on Strategies for Small Farm Development in Jamaica held at the UWI, April 1981.
- STRATEGIES FOR ORGANIZATION OF SMALL FARM AGRICULTURE IN JAMAICA, book published by RDC and ISER, 1982.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#3)

- Country:** Costa Rica I
- Activity:** Rural Sector Applied Research and Consultancy: ITCO Land Titling Loan (ITCO now IDA, Institute for Agriculture Development)
- Purpose:** Assist USAID/Costa Rica mission in analysis of rural sector programs, emphasizing participation dimensions of programs; specifically assist in the design and implementation of loan to Land and Colonization Institute (ITCO) for titling smallholders and squatters in the Atlantic zone of Costa Rica, and assist ITCO in the monitoring and evaluation of its program, with special attention to participation issues.
- Program:** Provide consulting services to USAID/Costa Rica mission on rural sector programs; make inputs to design of ITCO loan project; work with ITCO on establishing capacity for evaluation of Atlantic zone titling program and of broader ITCO program to extent possible; work with other Costa Rican institutions having involvement in participatory dimensions of rural development.
- Linkages:** RDPP consultants initially based with AID mission in San Jose, also with Centro de Investigacion y Adiestramiento Politico-Administrativo (CIAPA); then directly based with ITCO, with team leader (Jantzi) serving as interim project advisor for three months in 1980-81; and with resident consultant (Nesman) assigned to Evaluation Unit within ITCO during his sabbatical year with that institution; some interaction also with the Instituto Tecnologico de Costa Rica (ITCR) which has some activities on rural development (see also next Activity Summary).
- Personnel:** Vernon Jantzi, Field Team Leader, Visiting Associate Professor, Rural Sociology, 7-8/80, 11-12/80, 2-3/81, 4-8/81, 12/81-2/82  
 Mitchell Seligson, Consultant, Political Science, 2-3/80, 5-7/80, 6-7/81, 7-8/82  
 William F. Whyte, Professor, Sociology/ILR, 8/79, 2-3/80  
 Edgar Nesman, Faculty Associate, Rural Sociology, 8/81-8/82  
 Thomas Holloway, Associate Professor, History, 8/79
- Outputs:** Report on Potential Costa Rica Activity: Integrated Rural Development, Worker Management, and Regional Development/Irrigation/Colonization, Thomas Holloway and William F. Whyte, September 7, 1980.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY-COSTA RICA I LATIN AMERICA (#3)

Outputs:  
(continued)

Trip Reports, Mitchell Seligson, February 24, 1980, and William F. Whyte, March 7, 1980.

Institutional Analysis of El Instituto de Tierras y Colonizacion, Mitchell Seligson, Report prepared for USAID/Costa Rica, March 15, 1980.

THE IMPACT OF THE LAND TITLING PROGRAM IN COSTA RICA: AN ANALYSIS BASED UPON A PILOT SURVEY, Mitchell Seligson, May 1980.

\*Notes on Titling Program, Land Reform and Institution Building, Mitchell Seligson, Memorandum to ITCO Loan Team, May 22, 1980.

\*Notes on Justification for Loan, Components of the Loan, Institutional Support, Land Reform, and Titling, Mitchell Seligson, Memorandum to ITCO Loan Team, May 23, 1980.

\*Notes on Improvement of Poverty Measures in Costa Rica, Mitchell Seligson, Memorandum to Mary Kilgour, Assistant Director, May 27, 1980.

\*ITCO Titling, Mitchell Seligson, Memorandum to USAID/CR, June 11, 1980.

Inputs to Project Paper: Agrarian Settlement and Productivity (515-0148/Costa Rica), Mitchell Seligson and Vernon Jantzi, August 1980.

Notes on the Etiology of Poverty in Rural Costa Rica, Mitchell Seligson, Memorandum to CDSS Work Group, August 1980.

Participation in Seminario sobre Reforma Agraria, organized by ITCO, Ministry of Agriculture and USAID, San Jose, Mitchell Seligson, July 15-18, 1980.

Participation in Seminar on Data Processing, Office of Information of the Presidency, San Jose, Mitchell Seligson, July 28-August 1, 1980.

Assistance to team of anthropologists conducting research on rural poverty for CDSS working group, AID/CR, Mitchell Seligson and Vernon Jantzi, August 1980.

PEASANT PARTICIPATION IN COSTA RICA'S AGRARIAN REFORM: A VIEW FROM BELOW, Mitchell Seligson, RDC Monograph, 1982.

\*Done as consultant to mission, following consultancy for RDPP

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY-COSTA RICA I LATIN AMERICA (#3)****Outputs:  
(continued)**

**"Agrarian Reform in Costa Rica: The Impact of the Title Security Program," Mitchell Seligson, INTERAMERICAN ECONOMIC AFFAIRS, 35, Spring, 1982, pp.31-56.**

**Training Course on Data Processing, July, 1982, IDA, organized and conducted by Mitchell Seligson, with nine trainees plus four auditors from IDA/ITCO, one plus one from Office of Planning, five from Computer Center of ITCR, and 2 from government bank.**

**GUIA BREVE PARA PREPARACION DE ARCHIVOS DEL SPSS, Mitchell Seligson, July 1982 (Brief Guide for Preparation of Data Archives for SPSS Analysis, for IDA Evaluation Unit).**

**Special seminars and short courses for IDA staff on evaluation planning, organization for development, and participatory development; for Asociacion de Agronomos, University of Costa Rica, on social science and rural development; for staff of Caravanas de Buena Voluntad on participatory development; for OXFAM/WOLA study tour group on evolution of landholding in Costa Rica; for trainees of Agrarian Reform Institute (CIERA/INRA), Managua, on participatory investigation; for students of Spanish Language Institute on peasant mobilization, Edgar Nesman, 1981-82.**

**EVALUATION OF RURAL DEVELOPMENT PROJECTS, Guide prepared by Edgar Nesman for IDA/ITCO, September-October, 1982 (translated into Spanish)**

**INTRODUCING PARTICIPATORY DEVELOPMENT FOR LAND SETTLEMENT AND RURAL DEVELOPMENT: THE CASE OF COSTA RICA'S INSTITUTE FOR LAND AND COLONIZATION, Vernon Jantzi (monograph in preparation)**

**"Implementation and Impact of Land Reform in Costa Rica," Mitchell Seligson, Paper prepared for Conference on the International Dimensions of Land Reform, CIMMYT, Mexico City, January 3-5, 1983.**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#4)

**Country:** Costa Rica II

**Activity:** Worker Participation in Rural Industries Management

**Purpose:** Experiment with alternative methods of introducing forms of worker and self-management in project supported by USAID/Costa Rica.

**Program:** Work with the Instituto Tecnológico de Costa Rica (ITCR) which has funding from USAID mission to experiment with three alternative forms of worker management in Costa Rica; assist ITCR in overall experimental design, and specifically assist ITCR in setting up its form of worker management (one of the three); assist in setting up and conducting evaluation of the alternatives.

**Linkages:** RDPP team worked closely with the ITCR in the program described above; an exploratory trip in September 1980 was followed by several months of consultancy during the fall and winter.

**Personnel:** William F. Whyte, Principal Investigator, Professor, Sociology/Industrial Relations, 2-3/80, 2/81  
Ana Gutierrez-Johnson, Research Associate, Sociology/Industrial Relations, 9/80, 10-12/80  
Vernon Jantzi, Visiting Associate Professor, Rural Sociology, 3-8/81

**Outputs:** Design of ITCR experiment with cooperative form of worker management as part of larger AID-supported project and design of evaluation framework for comparative experimentation with worker management in Costa Rica, Ana Gutierrez-Johnson, October-December, 1980.

Note: Ana Gutierrez-Johnson was employed by ITCR subsequently as a consultant, beginning 4/81 to assist in implementation of its part of this AID project.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#5)

**Country:** Dominica

**Activity:** Local Government and Decentralization Consultancy

**Purpose:** Assess situation with local government structure and operations in Dominica with regard to contribution to development and participation; prepare draft law for reforming local government so it would contribute more to accelerated development and popular participation.

**Program:** Undertake initial survey of situation with interdisciplinary team and prepare report for Government of Dominica, as requested by Prime Minister; prepare draft law for local government reform based on second trip; assist Ministry of Local Government in documentation and acquiring comparative experience on decentralization and participation.

**Linkages:** Consultancy was with Ministry of Local Government, as arranged by USAID regional office in Barbados; Barbados office kept informed of work.

**Personnel:** Edward Lutz, Team Leader, Professor Emeritus, Agricultural Economics and Public Administration, 8/78 and 1/79  
Vera Green, Consultant, Anthropologist, Rutgers, 1/79  
Norman K. Nicholson, DS/RAD, Political Scientist, 8/78 and 1/79  
Ruth Young, Senior Research Associate, Rural Sociology, 8/78

**Outputs:** Interim Report for the Premier, the Honourable Patrick John, of the Study Team on Local Government Reforms, Norman Nicholson, Ed Lutz and Ruth Young, September 1978.

Trip Reports of Local Government Advisory Team to Government of Dominica, January 2-23, 1979, Ed Lutz and Vera Green.

Drafts of a District Government Act and a Village Government Act (as revised from the Village Councils Ordinance) for the Government of Dominica, Norman Nicholson, Ed Lutz and Vera Green, March 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#6)

**Country:** Dominican Republic

**Activity:** Methodology for Evaluation of Agricultural Sector Loan II

**Purpose:** Develop an evaluation framework for evaluating the Government of Dominican Republic's Agricultural Sector Loan II from USAID, identify areas of concentration for such evaluation, define detailed scopes of work for analysis of specific activities under Loan, and develop criteria for evaluation and a schedule of work; a second stage of activity, including analysis, findings, recommendations and consultations of future course of action would remain the responsibility of GODR and USAID. A primary focus of the effort was to determine the effects of the target group's participation in the development process of a broad-based agriculture sector program. (From Scope of Work)

**Program:** RDPP team to meet with USAID mission and with staff of Ministry of Agriculture to identify the nature of activities carried out under Ag Sector Loan II and to suggest appropriate means of evaluating these activities; evaluation itself was to be carried out by Government of Dominican Republic.

**Linkages:** RDPP team worked primarily with Department of Evaluation in Planning Subsecretariat of the Ministry of Agriculture's Secretariat.

**Personnel:** Tom E. Davis, Team Leader, Professor, Economics, 8/79  
Matt Drosdoff, Professor Emeritus, Agronomy, 8/79  
Patricia Garrett, Assistant Professor, Rural Sociology, 8/79  
Marc Lindenberg, Consultant, Public Administration, School of Public Affairs, University of Washington, 8/79

**Outputs:** Working papers on evaluation methodology for specific activities provided to respective units of Ministry of Agriculture, 8/79.

DOMINICAN REPUBLIC AGRICULTURAL SECTOR LOAN II:  
SUGGESTIONS ON EVALUATION METHODOLOGY, Team Report,  
December 1979.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY

LATIN AMERICA (#7)

**Country:** Bolivia

**Activity:** Traditional Technology Project

**Purpose:** Acquire information on indigenous agricultural and household technologies in a participatory manner and analyze them so as to illuminate for technicians and government personnel the strengths and weaknesses of these technologies; this year-long program followed three years of working with male household heads and focused on adult women in the cooperating households.

**Program:** Teach Indian women record-keeping skills for recording daily subsistence activities, if necessary using school-age children as scribes to help illiterate women keep records; conduct group discussions in villages and hold conferences with women participants from the three ecological regions covered by project: (1) highlands, (2) temperate valley, and (3) tropical lowlands.

Women from 13 communities (5 in highlands, 41 women and 16 scribes; 4 in temperate valley, 40 women and 10 scribes; and 4 in tropical area, 26 women and 9 scribes) were supervised by two Bolivian paratechnicians, with total of four paratechnician supervisors for project, including data transcription and analysis. Activity was supervised on quarterly basis by Dr. Aquilas Lanao, a Peruvian economist and accountant, with results of research and record collection written up by Dr. John Hatch.

Record-keeping covered particularly, food preparation, health practices, marketing, management of animal stocks, cultivation, and arts and crafts. A first conference held in December 1981 built on narratives on health, hygiene, food preparation drafted by women participants and featured their lectures to each other regarding their practices. A second conference in July 1982 included 107 women, 35 scribes and 70 babies, and was conducted in three languages (Spanish, Aymara and Quechua).

**Personnel:** John Hatch, President, Rural Development Services, New York  
Aquilas Lanao, Consultant, RDS  
Billie Jean Isbell, Associate Professor, Anthropology

**Outputs:** Training of women participants in group discussion skills, leadership skills, and record-keeping skills in process of constructing nutritional profiles of rural households for all three regions.

Outputs:  
(continued)

Three-volume book in process of preparation by Dr. Hatch, analyzing and presenting traditional practices reported by these women.

The best diaries kept by participants have been transcribed (typed) into readable Spanish for used by faculty and graduate students at Cornell University as research materials for studies on Andean agricultural and social systems. (Costs of copying shared by RDC and International Agriculture Program).

Interdisciplinary graduate research seminar, conducted by Prof. Bilie Jean Isbell, Department of Anthropology, Cornell, spring semester, 1982, using diary materials; nine graduate students from six departments participating; two seminar papers prepared for presentation at outside conferences; three dissertation projects resulted from the seminar, one has been funded and two are at the stage of submission for funding during fall 1982.

On this program of participatory research methods, see: John Hatch, "Peasants Who Write a Textbook on Subsistence Farming: Report on the Bolivian Traditional Practices Project," RURAL DEVELOPMENT PARTICIPATION REVIEW, II:2, Winter 1981.

#### **IV. KNOWLEDGE GENERATION**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#1)

- Subject:** Rural Development Participation
- Purpose:** Analyze the operative elements of "participation" in rural development efforts; identify experience contributing to a better understanding of participation in rural development; disseminate such knowledge to participatory rural development.
- Program:** Review of literature to produce State-of-the-Art Paper on subject in initial year of project; present bibliographic material for others to make their own studies of the subject; present analysis and ideas to broader audience.
- Personnel:** John M. Cohen, Assistant Professor, Rural Sociology, and Harvard Institute for International Development, 10/77-6/78  
 Norman Uphoff, Project Director, Associate Professor, Government, 7-8/78, 1979-82  
 Arthur A. Goldsmith, Graduate Research Associate, Government, 10-12/77  
 Gladys Culagovski, Research Assistant, Rural Sociology, 10-12/77  
 Katsela Mengistu, Research Assistant, Nutrition, 10-12/77  
 David Scheinman, Research Assistant, International Agriculture, 1-5/78  
 Kathy Terrell, Research Assistant, Economics, 1-5/78  
 Diane Wolf, Research Assistant, Rural Sociology, 9/77-1/78
- Outputs:** Publications:
- FEASIBILITY AND APPLICATION OF RURAL DEVELOPMENT PARTICIPATION: A STATE-OF-THE-ART PAPER, Norman Uphoff, John Cohen and Arthur Goldsmith, December 1978.
- PARTICIPATION AT THE LOCAL LEVEL: A WORKING BIBLIOGRAPHY, John Cohen, Gladys Culagovski, Norman Uphoff and Diane Wolfe, December 1978.
- "Participation's Place in Rural Development: Seeking Clarity through Specificity," John Cohen and Norman Uphoff, WORLD DEVELOPMENT, March 1980, pp. 213-236.
- PROVIDING FOR MORE PARTICIPATION IN PROJECT PLANNING AND IMPLEMENTATION, Report for ST/RAD, Norman Uphoff, September 1981 (distributed to USAID missions).
- "Farmer Participation in Project Formulation, Design and Operation," Norman Uphoff, in PROMOTING INCREASED FOOD PRODUCTION IN THE 1980s: PROCEEDINGS OF THE SECOND ANNUAL AGRICULTURAL SECTOR SYMPOSIA, January 5-9, 1981, Washington: World Bank, pp. 231-279.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#1)

**Outputs:**                    BUREAUCRATIC REORIENTATION FOR PARTICIPATORY  
(continued)                    RURAL DEVELOPMENT, David C. Korten and Norman Uphoff,  
Working Paper No. 1, National Association of Schools of Public  
Affairs and Administration, Washington, December 1981.

**Papers:**

"Rural Development Participation and Family Planning Programs,"  
John Cohen and Norman Uphoff, presented to Population  
Conference of Institute of Society, Ethics and the Life Sciences,  
Hastings-on-Hudson, September 1978.

Increasing Participation in AID Projects, Memorandum to DS/RAD,  
Norman Uphoff, November 1980.

"Local Organization for Participatory Rural Development,"  
Contribution to Symposium on Law and Legal Resources in the  
Mobilization of the Rural Poor for Self-Reliant Development,  
International Center for Law in Development, University of  
Windsor, Norman Uphoff, March 1981.

"Farmer Participation in the Development Process," Norman  
Uphoff, Proceedings of Farming Systems Research Symposium on  
Small Farms in a Changing World: Prospects for the Eighties. Title  
XII Strengthening Grant, International Agriculture Program,  
Kansas State University, November 1981.

**Presentations:**

Presentation to meeting of USAID mission directors on "Rural  
Development Participation," Norman Uphoff, Washington,  
April 1978.

Presentation to Conference on Rural Development Research,  
Harvard Institute for International Development, John Cohen and  
Norman Uphoff, Cambridge, December 1977.

Panel presentation on "Participation in Rural Development:  
Report of Cornell Rural Development Participation Project," Rural  
Sociological Society annual meeting, Ithaca, August 1980; panel  
included Blustain, Colle, Fortmann, Lewis, Swanson and Uphoff.

Presentation on "Community Participation: An Overview" to  
American Public Health Association Workshop on Planning for  
Community Participation in Primary Health Care Projects in  
LDCs, Norman Uphoff, Washington, November 1980.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#1)

- Outputs:**  
(continued)
- Presentation on "Farmer Participation in Project Formulation, Design and Operation," Norman Uphoff, World Bank Second Agricultural Sector Symposia, January 7, 1981.
- Presentation on "Farmer Participation in the Development Process" for Conference on Small Farms in a Changing World: Prospects for the Eighties, Kansas State University, Norman Uphoff, November 5-7, 1981.
- Presentation to Seminar on "Access and Participation," Institute of Cultural and Social Studies, University of Leiden, Netherlands, Norman Uphoff, November 19-20, 1981.
- Presentation on "An Overview of Concepts and Strategies for Farmer Participation in Water Management" to National Workshop on Water Management, Agrarian Research and Training Institute, Colombo, Sri Lanka, Norman Uphoff, January 20-22, 1982.
- Presentation to National Workshop on "Popular Participation in Planning and Development," organized by Zimbabwe chapter of Society for International Development, at the University of Zimbabwe, Norman Uphoff, May 28-30, 1982.
- Training inputs for AID staff development: participation in Rural Development Committee interdisciplinary activities during graduate studies on rural development with special attention to "participation" issues: John Roberts, 1977-78, Richard Cobb, 1978-79, Wilbur Scarborough, 1980-81, Doug Clark and Dennis Wendel, 1981-82, on leave from USAID.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#2)**

**Subject:**                    **Paraprofessionals in Rural Development**

**Purpose:**                    Ascertain in what ways the use of paraprofessionals, particularly in agriculture and health programs, can contribute to more effective and participatory rural development.

**Program:**                    Review of available literature on paraprofessionals and preparation of "concept paper" on subject; holding seminar with graduate students and interdisciplinary faculty group on subject to plan field research; recruitment and training of field researchers; carrying out six field studies of use of paraprofessionals in programs in Bolivia, Guatemala, Senegal, Upper Volta, Philippines and Sri Lanka; write-up of field studies and synthesis of these findings with literature review to write state-of-the-art paper on subject.

**Personnel:**                    Milton J. Esman, Principal Co-Investigator, Government and Public Administration (part of time contributed)  
 Roy Colle, Principal Co-Investigator, Communication Arts and Sociology (part of time contributed)  
 Lin Compton, Associate Professor, Extension Education (time contributed)  
 Norman Uphoff, Associate Professor, Government (time contributed)  
 Peter Berman, Research Assistant, Agricultural Economics  
 Forrest Colburn, Field Researcher, Government (Guatemala)  
 Douglas Gritzinger, Research Assistant/Field Researcher, Regional Planning (Philippines)  
 Robert Hall, Field Researcher, Rural Sociology (Senegal)  
 Caroline Kueneman, Research Assistant, Community Service Education  
 Cynthia Moore, Field Researcher, Extension Education (Sri Lanka)  
 Marge Savino, Field Researcher, Human Service Studies (Bolivia)  
 Ellen Taylor, Research Assistant/Field Researcher (Upper Volta)

**Outputs:**                    **PARAPROFESSIONALS IN RURAL DEVELOPMENT: A CONCEPT PAPER**, Roy Colle, Milton Esman, Ellen Taylor and Peter Berman, March 1979.

"Communication, Paraprofessionals and Health Care in Developing Nations," paper presented by Royal D. Colle to annual conference of Health Communication Division, International Communication Association, Acapulco, Mexico, May 1980.

Seminar for AID/Washington staff working agriculture and health program planning, Washington, June 1980.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#2)

Outputs:  
(continued)

PARAPROFESSIONALS IN RURAL DEVELOPMENT: 'THE STATE-OF-THE-ART, Milton Esman, Roy Colle, Norman Uphoff, Ellen Taylor and Forrest Colburn, RDC Monograph, September 1980.

GUATEMALA'S RURAL HEALTH PARAPROFESSIONALS, Forrest Colburn, RDC Case Study, 1981.

WOMEN PARAPROFESSIONALS IN UPPER VOLTA'S RURAL DEVELOPMENT, Ellen Taylor, RDC Case Study, 1981.

PARAPROFESSIONALS IN VILLAGE-LEVEL DEVELOPMENT IN SRI LANKA: THE SARVODAYA SHRAMADANA MOVEMENT, Cynthia Moore, RDC Case Study, 1981.

AGRICULTURAL PARAPROFESSIONALS IN THE PHILIPPINES: FARMER SCHOLARS, AGRICULTURAL COUNSELORS AND THE SAMAHANG NAYON DEVELOPMENT PROJECT, Douglas Gritzinger, RDC Case Study, 1981.

THE VILLAGE HEALTH WORKER APPROACH TO RURAL HEALTH CARE: THE CASE OF SENEGAL, Robert Hall, RDC Case Study, 1981.

COMMUNITY DEVELOPMENT PARAPROFESSIONALS IN BOLIVIA: NCDS PROMOTERS IN THE FIELD, Marge Savino, RDC Case Study, 1982.

PARAPROFESIONALES EN SALUD RURAL EN GUATEMALA (Spanish translation of previous publication published in English), Forrest Colburn, RDC Case Study, 1981.

FIELD-LEVEL STAFFING FOR AGRICULTURAL DEVELOPMENT, Milton J. Esman, Paper on use of paraprofessionals prepared for World Bank at its request based on analysis of World Bank project experience (paid for by World Bank), June 1982; final version to be published as World Bank Staff Paper, early 1983.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#3)

- Subject:**                    Participatory Agricultural Research and Extension
- Purpose:**                    Exmaine experience with new approaches to agricultural research and extension which involve farmers more actively in the identification of problems, the setting of criteria, the testing of alternative technologies and in the diffusion of information.
- Program:**                    Undertake field studies of several of the most innovative experiences with participatory agricultural research and extension; review the literature on this subject; commission collateral case studies on the subject; note: this activity draws on a program activity of the Rural Development Committee begun before the RDPP and under the direction of Professors William F. Whyte (Sociology) and Damon Boynton (Horticulture), involving over a dozen Cornell faculty in writing a collaborative book, still in process, on new approaches to agricultural research and extension; this work has been supported by the RDC concurrently with the state-of-the-art work funded by the RDPP; this means that more faculty have been involved in this activity than shown below. See also Latin America #7.
- Personnel:**                    William F. Whyte, Principal Investigator, Professor, Sociology/ILR  
Lynn Gostyla, Graduate Research Associate, Rural Sociology,  
Honduras field work, 1979, (field work in Guatemala, summer 1978, paid by RDC)
- Outputs:**                    Memorandum on Visit to Honduras: Discussions on Participatory Agricultural Research, William F. Whyte, March 1979.
- AGRICULTURAL RESEARCH AND DEVELOPMENT: THE EVOLVING HONDURAN MODEL, Lynn Gostyla and Bill Whyte, September 1979.
- ICTA IN GUATEMALA: EVOLUTION OF A NEW APPROACH TO AGRICULTURAL RESEARCH, Lynn Gostryla and William F. Whyte, October 1980 (research paid for by RDC).
- EL ICTA EN GUATEMALA: LA EVOLUCION DE UN MODELO DE INVESTIGACION Y DESARROLLO AGRICOLAS, Lynn Gostyla y William F. Whyte, October 1980 (Spanish translation of preceding study).
- PARTICIPATORY APPROACHES TO AGRICULTURAL RESEARCH AND DEVELOPMENT: A STATE-OF-THE-ART PAPER, William F. Whyte, 1981.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY . KNOWLEDGE GENERATION (#3)**

**Outputs:**  
**(continued)**

**PEASANT INNOVATION AND DIFFUSION OF AGRICULTURAL TECHNOLOGY IN CHINA, Mary Sheridan, 1981 (supported by RDC, not paid for by RDPP).**

**Collaborative Book (supported by RDC, not paid for by RDPP): HIGHER YIELDING HUMAN SYSTEMS: PARTICIPATORY APPROACHES TO AGRICULTURAL RESEARCH AND DEVELOPMENT, William F. Whyte and Damon Boynton, with Joseph Campbell, E. Walter Coward, Matthew Drosdoff, Milton J. Esman, Peter Hildebrand, David C. Korten, Gilbert Levine, Robert McDowell and Norman Uphoff, submitted to Cornell University Press for publication, 1983.**

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#4)**

- Subject:**                    **Role of Local Organization in Rural Development**
- Purpose:**                    **Assess contribution of various kinds of local organization under different circumstances to particular aspects of rural development, to produce knowledge useful to designing RD efforts.**
- Program:**                    **Review of literature and field experience with local organizations; commissioning various studies of local organization, some with RDPP support and others with RDC or other institutional support; preparation of a state-of-the-art paper by end of RDPP period.**
- Personnel:**                    **Milton Esman, Principal Co-Investigator, Government and Public Administration**  
**Norman Uphoff, Principal Co-Investigator, Government**  
**John M. Cohen, Assistant Professor, Rural Sociology, 10-12/77**  
**Harry W. Blair, Visiting Associate Professor, Political Science, Bucknell, SSRC and Fulbright fellowships**  
**K.C. Alexander, Visiting Fellow, Sociologist, National Institute of Rural Development, India, 5/78-4/79**  
**Halil Copur, Sociology, Middle East Technical University, Turkey**  
**Chris Brown, Graduate Research Associate, Government, 6-8/81**  
**Prachanda P. Pradhan, Public Administration, Tribhuvan University, Nepal, 9/79-1/80**  
**Forrest Colburn, Graduate Research Assistant, Government, 9/80-8/81**
- Outputs:**                    **LOCAL ORGANIZATION AND RURAL DEVELOPMENT: THE STATE-OF-THE-ART, Milton Esman and Norman Uphoff, September 1982.**
- Studies of Local Organization deriving from Applied Research and Consulting:**
- LOCAL ORGANIZATION AND PARTICIPATION IN INTEGRATED RURAL DEVELOPMENT IN JAMAICA, Arthur Goldsmith and Harvey Blustain (see LATIN AMERICA #1), RDC Special Series on Rural Local Organization, No. 3, 1980.**
- PEASANTS, OFFICIALS AND PARTICIPATION IN TANZANIA: EXPERIENCE WITH VILLAGIZATION AND DECENTRALIZATION, Louise Fortmann (see AFRICA #7), RDC Special Series on Rural Local Organization, No. 1, 1980.**
- RURAL SOCIETY AND PARTICIPATORY DEVELOPMENT: CASE STUDIES OF TWO VILLAGES IN THE YEMEN ARAB REPUBLIC, Jon Swanson and Mary Hebert (see NEAR EAST #1), 1981.**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#4)

Outputs:  
(continued)

RURAL LOCAL INSTITUTIONS IN BOTSWANA: FOUR VILLAGE SURVEYS AND ANALYSIS FOR KGATLENG DISTRICT, Chris Brown with others, RDC Special Series on Rural Local Organization, No. 6, 1982.

RURAL DEVELOPMENT AND LOCAL ORGANIZATION IN SRI LANKA, Norman Uphoff and R.D. Wanigaratne, in RURAL DEVELOPMENT AND LOCAL ORGANIZATION IN ASIA, Vol. I: South Asia, ed. Norman Uphoff, New Delhi: Macmillan, 1981 (prepared during 1979 while Uphoff in Sri Lanka on SSRC grant and Wanigaratne on ARTI staff).

## Additional Studies of Local Organization:

RURAL ORGANIZATIONS IN SOUTH INDIA: DYNAMICS OF LABORER AND TENANT UNIONS AND FARMER ASSOCIATIONS IN KERALA AND TAMIL NADU, K.C. Alexander (IDRC post-doctoral fellowship), RDC Special Series on Local Organization, No. 2, 1980.

RURAL LOCAL INSTITUTIONS AND PEOPLE'S PARTICIPATION IN RURAL PUBLIC WORKS IN NEPAL, Prachanda P. Pradhan (Fulbright fellowship), RDC Special Series on Rural Local Organization, No. 4, 1980.

LOCAL ORGANIZATION DIMENSIONS OF RURAL DEVELOPMENT IN TURKEY: SOCIO-ECONOMIC STRATIFICATION ORIENTATIONS TOWARD PARTICIPATION, AND ATTITUDINAL MODERNITY, Halil Copur (based on dissertation, supported in part by RDC), RDC Special Series on Rural Local Organization, No. 5, 1980.

THE POLITICAL ECONOMY OF PARTICIPATION IN LOCAL DEVELOPMENT PROGRAMS: SHORT-TERM IMPASSE AND LONG-TERM CHANGE IN SOUTH ASIA AND THE U.S. FROM THE 1950s TO THE 1970s, Harry Blair (research done under SSRC post-doctoral grant and Fulbright fellowship), RDC Monograph, 1982.

A REASSESSMENT OF ANIMATION RURALE: COMPARATIVE ANALYSIS OF EXPERIENCE IN NIGER, SENEGAL AND UPPER VOLTA, Robert Charlick (research and writing done in part under separate grant from DS/RAD) (see KNOWLEDGE GENERATION #7).

WOMEN'S INFORMAL ASSOCIATIONS AND THE ORGANIZATIONAL CAPACITY FOR DEVELOPMENT, Kathryn March and Rachel Taquu (see KNOWLEDGE GENERATION #6).

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#4)

Outputs:  
(continued)

FIELD LEVEL ORGANIZATION FOR RURAL DEVELOPMENT, Milton Esman, Paper presented to Senior Seminar at UN Centre for Regional Development, Nagoya, Japan, August 1980 (published by Maruzen Press, 1981).

"Popular Participation and Rural Leadership in the Saemaul Movement (South Korea)," Arthur Goldsmith, Paper for International Research Seminar on the Saemaul Movement, Institute of Saemaul Undong Studies, Seoul National University, December 1980, published 1981 (see KNOWLEDGE GENERATION #9).

Presentation to Conference on Local Political Organization and Rural Development Policy by Norman Uphoff, University of Iowa, September 1981 (conference funded by USAID/PPC).

LOCAL ORGANIZATIONS AND RURAL DEVELOPMENT: MOBILIZING THE THIRD SECTOR, Book manuscript by Milton J. Esman and Norman Uphoff (basis for state-of-the-art paper listed above), prepared for publication.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#5)**

**Subject:**                    **Landless and Near-Landless Participation in Rural Development**

**Purpose:**                    **Assess extent, causes and trends of landlessness and near-landlessness in LDCs, looking at impact of this on participation in decision-making and in benefits, and on organizational participation and effectiveness; present for USAID and other development agencies a policy-oriented analysis of the implications of landlessness and near-landlessness for development strategies and programs.**

**Program:**                    **Undertake review of available literature on landlessness and near-landlessness in countries of Asia, Latin America and Africa (data too limited for Near East review); prepare synthesis of data and findings in a state-of-knowledge paper; present country data in separate publications (African data also too limited for separate publication, but drawn on in synthesis volume); offer policy-relevant analysis of means to assist the landless and near-landless so as to increase their participation in development.**

**Note: this work was begun before RDPP under separate grant from DS/RAD, with conference on state-of-knowledge paper held at Cornell in June, 1977; follow-up work subsumed under RDPP, highlighting "participation" aspects of the problem and its analysis.**

**Personnel:**                    **Milton J. Esman, Principal Investigator, Professor, Government and Public Administration**  
**Norman Uphoff, Associate Professor, Government**  
**Cheryl Lassen, Graduate Research Associate, Rural Sociology**  
**David Rosenberg, Visiting Associate Professor, Political Science**  
**Jean Rosenberg, Visiting Fellow, Economics**  
**Shubh Kumar, Graduate Research Assistant, Agricultural Economics**  
**Laura McPherson, Graduate Research Assistant, International Agriculture**  
**Karim Mehtab, Graduate Research Assistant, Sociology and Demography**

**Advisory Committee:**

**Milton Barnett, Professor, Rural Sociology**  
**Don Freebairn, Associate Professor, Agricultural Economics**  
**Michael Latham, Professor, Nutrition**  
**J.M. Stycos, Professor, Sociology/Demography**

**RDP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#5)**

**Outputs:**

**LANDLESSNESS AND NEAR-LANDLESSNESS IN DEVELOPING COUNTRIES**, Milton J. Esman, RDC Special Series on Landlessness and Near-Landlessness, No. 1, October 1978.

"Reaching the Assetless Rural Poor," Cheryl Lassen, **DEVELOPMENT DIGEST**, January 1979.

**LANDLESS PEASANTS AND RURAL POVERTY IN SELECTED ASIAN COUNTRIES** (Bangladesh, India, Indonesia, Philippines and Sri Lanka), David Rosenberg and Jean Rosenberg, RDC Special Series on Landlessness and Near-landlessness, No. 2, October 1979.

**LANDLESSNESS AND RURAL POVERTY IN INDONESIA AND THE PHILIPPINES**, David Rosenberg and Jean Rosenberg, RDC Special Series on Landlessness and Near-Landlessness, No. 3, February 1980.

**LANDLESSNESS AND RURAL POVERTY IN LATIN AMERICA: CONDITIONS, TRENDS AND POLICIES AFFECTING THEIR INCOME AND EMPLOYMENT** (Bolivia, Brazil, Colombia, Costa Rica, El Salvador, Guatemala, Mexico, Peru), RDC Special Series on Landlessness and Near-Landlessness, No. 4, April 1980.

**DISTRIBUTION OF LAND, EMPLOYMENT AND INCOME IN RURAL EGYPT**, Iliya Harik with Susan Randolph (see NEAR EAST #3), RDC Special Series on Landlessness and Near-Landlessness, No. 5, December 1979.

**REACHING THE ASSETLESS POOR: PROJECTS AND STRATEGIES FOR THEIR SELF-RELIANT DEVELOPMENT**, Cheryl Lassen, RDC Special Series on Landlessness and Near-Landlessness, No. 6, October 1980.

Also contributing to this subject:

**RURAL ORGANIZATIONS IN SOUTH INDIA: DYNAMICS OF LABORER AND TENANT UNIONS AND FARMER ASSOCIATIONS IN KERALA AND TAMIL NADU**, K.C. Alexander (see KNOWLEDGE GENERATION #4), RDC Special Series on Rural Local Organization, No. 2, February 1980.

**PEASANT PARTICIPATION IN COSTA RICA'S AGRARIAN REFORM: THE VIEW FROM BELOW**, Mithcell Seligson, RDC Monograph, No. 6, 1982.

**THE IMPACT OF SECOND-GENERATION SETTLERS ON LAND AND WATER RESOURCE USE IN GAL OYA, SRI LANKA**, Shyamala Abeyratne, RDC Special Series on Resource Management, No. 3, 1982.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#6)**

- Subject:**                      **Women's Participation in Development**
- Purpose:**                      **Assess factors affecting women's participation in development; get more persons involved in work on women's participation; provide information for the design of rural development projects to contribute more positively to women's status and empowerment.**
- Program:**                      **Interdisciplinary seminar during spring 1978 to review state-of-the-art and formulate analytical framework for subsequent work; analyses of factors affecting women's participation in rural development, particularly role of local organization and informal associations involving women in rural development and field studies where possible. See also Latin America #7.**
- Personnel:**                      **Billie Jean Isbell, Associate Professor, Anthropology, 2-5/78 (Seminar co-leader, planning for future work)**  
**Kathleen Rhodes, Professor, Community Service Education, 2-5/78 (Seminar co-leader)**  
**Norman Uphoff, Associate Professor, Government, 2-5/78 (Seminar co-leader)**  
**Patricia Garrett, Assistant Professor, Rural Sociology, 4/78 (Seminar presentation, planning for future work)**  
**Gillian Hart, Graduate Student, Agricultural Economics, 2-5/78 (Seminar participation and presentation)**  
**Kathy March, Assistant Professor, Anthropology, 2-5/78, 9/78-5/79 (Seminar participation, presentation, planning for future work, research on informal associations)**  
**Kathleen Staudt, Visiting Professor, Political Science, 4/78, 7-8/78 (Seminar presentation, analytical paper)**  
**Rachel Taqqu, Research Associate, History and Women's Studies, 2-5/78, 9/78-5/79 (Seminar participation and summarization, research on informal associations)**  
**Louise Fortmann, Senior Research Associate, Rural Sociology, 5-6/79 (bibliography on women in development; research on women in African agriculture and rural development)**
- Outputs:**                      **Report on Seminar on Women's Participation in Rural Development, Rachel Taqqu, July 1978 (paid by RDC).**
- "Women and Tanzanian Agricultural Development," Louise Fortmann, in READINGS ON THE TANZANIAN ECONOMY, eds. K. Kim, R. Mabele and M. Schulteis, London and Nairobi: Heinemann, 1979.**
- "Women's Work in a Communal Setting: Ujamaa in Tanzania," Louise Fortmann, Paper presented at conference on African Women and Work, University of Illinois, April 1979.**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#6)

Outputs:  
(continued)

WOMEN AND PARTICIPATION IN RURAL DEVELOPMENT: A FRAMEWORK FOR PROJECT DESIGN AND RESEARCH, Katny Staudt, RDC Occasional Paper, February 1980.

TILLERS OF THE SOIL AND KEEPERS OF THE HEARTH: A BIBLIOGRAPHIC GUIDE TO WOMEN AND DEVELOPMENT, Louise Fortmann, RDC Publication, February 1980.

"Women's Involvement in High Risk Agriculture: The Botswana Case," Louise Fortmann (see AFRICA #1).

Supplementary Baseline Data Collection and Monitoring Questions Concerning Women and the Household at Gal Oya, Paper prepared by Ingrid Palmer for Water Management Group, Agrarian Research and Training Institute, Colombo, based on Field Trip to Gal Oya, August 1980 (see ASIA #1).

"The Plight of the Invisible Farmer: The Effect of National Agricultural Policy on Women in Africa," Louise Fortmann, in WOMEN AND TECHNOLOGICAL CHANGE IN DEVELOPING COUNTRIES, eds. Roslyn Dauber and Melinda Cain, Boulder: Westview, 1982. (Paper prepared for AAAS conference on Women and Technology, briefing U.S. delegation to Vienna U.N. Conference on Technology and Development.)

"The Structure of Economic Opportunity for Women in Costa Rica," Susan Berk-Seligson, in Richard Bath, ed., PROCEEDINGS OF THE 1982 ANNUAL MEETING OF THE ROCKY MOUNTAIN COUNCIL ON LATIN AMERICAN STUDIES, El Paso: University of Texas at El Paso, 1982 (paper based on study done for AID/Costa Rica mission in summer 1981 on status of women).

WOMEN'S INFORMAL ASSOCIATIONS AND THE ORGANIZATIONAL CAPACITY FOR RURAL DEVELOPMENT, Kathryn March and Rachel Taquu, RDC Monograph, 1982.

See also outputs under AFRICA #5 and LATIN AMERICA #7.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#7)

- Subject:** Participatory Resource Conservation and Management
- Purpose:** Examination of participatory requirements and approaches to resource conservation and management in LDCs, integrating technical and social analysis; preparatory to applied research and consulting on this subject.
- Program:** Interdisciplinary seminar during spring 1980 and fall 1981, literature review and consultation with faculty in various disciplines; preparation of paper on participatory resource conservation and management; teams in Botswana and Jamaica working on these issues in the field, also Sri Lanka.
- Personnel:\*** Elaine Aderhold, Graduate Research Assistant, Natural Resources and Civil Engineering, 2-6/80  
Pratima Dayal, Graduate Research Assistant, Agricultural Economics, 1-5/80  
Peter May, Graduate Research Assistant, Agricultural Economics, 9-12/80, 9/81-5/82 (work-study)  
Harvey Blustain, Research Associate, Anthropologist, 9/80-7/81  
Emery Roe, Research Associate, International Agriculture, 9/80-3/81  
Norman Uphoff, Project Director, Government, 2-6/80
- Outputs:** SOCIAL ASPECTS OF RESOURCE MANAGEMENT IN THE SECOND INTEGRATED RURAL DEVELOPMENT PROJECT, Harvey Blustain, Report to IRDP and USAID/Jamaica, July 1980.
- SEASON AND STRATEGY: THE CHANGING ORGANIZATION OF THE RURAL WATER SECTOR IN BOTSWANA, Emery Roe and Louise Fortmann, RDC Special Series on Resource Management, 1982
- RESOURCE MANAGEMENT AND AGRICULTURAL DEVELOPMENT IN JAMAICA: LESSONS FOR A PARTICIPATORY APPROACH, Harvey Blustain, RDC Special Series on Resource Management, 1982
- Social Issues in Technology Choice: Soil Conservation in Jamaica, Harvey Blustain, JOURNAL OF SOIL AND WATER CONSERVATION, Winter 1983 (forthcoming)

\*Faculty and graduate students attended interdisciplinary seminars from April, 1980-June, 1982 from the following disciplines: agricultural economics, agricultural engineering, agronomy, anthropology, geography, landscape architecture, natural resources, political science, regional planning, resource economics and rural sociology.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#8)

- Subject:**                    Local Leadership for Rural Development
- Purpose:**                    Comparative examination of positive and negative roles of local leadership, often known as local elites, in design and implementation of rural development programs; assessment of factors making for positive roles under certain conditions so these could be promoted; identification of ways to strengthen local organization for participatory development through more positive leadership roles.
- Program:**                    Review of literature on role of local leadership in rural development; case studies of local leadership in local organization to assess factors making for more positive (poverty-alleviating) outcomes; get more persons involved in work on this complex subject. (Note: Greater concentration on applied research in field and on knowledge generation on local organization meant that this program remained small in terms of time and resources.)
- Personnel:**                    Norman Uphoff, Project Director, Government (research during 1978-79 done with support from Cornell University for sabbatical and from SSRC as post-doctoral grant; RDPP contributed \$1500 to expand field research scope)  
   Arthur Goldsmith, Graduate Research Assistant, Government, 6-8/78; field research in South Korea, 7-8/80 (paid by Seoul National University)  
   Gregory Schmidt, Graduate Research Assistant, Government, 6-8/78, 9-12/79
- Outputs:**                    "Factors Affecting Developmental Local Leadership," Literature Review by Norman Uphoff with Arthur Goldsmith and Greg Schmidt, October 1978.
- "Assessing the Possibilities for Organized Development from Below in Sri Lanka," Norman Uphoff, Paper presented to Ceylon Studies Seminar, University of Peradeniya, July 1979.
- Panel on "Reaching the Poorest of the Poor: The Role of Local Elites in Poverty-Oriented Development Programs," American Political Science Association annual meetings, organized and co-chaired by Donald Emmerson, University of Wisconsin, and Norman Uphoff, Cornell, Washington, D.C., August 1980 (no RDPP funding).
- "Popular Participation and Rural Leadership in the Saemaul Movement," Arthur Goldsmith, in TOWARD A NEW COMMUNITY LIFE, REPORTS OF INTERNATIONAL RESEARCH SEMINAR ON THE SAEMAUL MOVEMENT, edited by Man-Gap Lee, ISUS, Seoul National University, 1981.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#9)

- Subject:** Animation Rurale: Local Organization and Participation
- Purpose:** Assess experience in Francophone West Africa and Haiti with alternative approaches to animation rurale; draw conclusions about project and program design for effective participatory rural development.
- Program:** Program initially started with separate grant from DS/RAD to Professor Robert Charlick, Cleveland State University for comparative study; initial work done while a visiting fellow with RDC with financial support from DS/RAD; subsequent work under RDPP auspices included other work such as Community Development consultancy in Cameroon (see AFRICA #2, and KNOWLEDGE GENERATION #3); additional work for completion of project contributed by Charlick, with papers to be published by RDC.
- Personnel:** Robert Charlick, Visiting Professor, Political Science, 9/78-2/79 under DS/RAD grant, 3/79-8/79 under RDPP  
Cynthia Moore, Graduate Research Assistant, Extension Education, 2-5/79, and part-time during 1979-80 as editorial assistant for project.
- Outputs:** "Animation Rurale: Experience with 'Participatory' Development in Four West African Nations," Robert Charlick, RURAL DEVELOPMENT PARTICIPATION REVIEW, I:2, Winter 1980.
- ANIMATION RURALE AND RURAL DEVELOPMENT: THE EXPERIENCE OF SENEGAL, Sheldon Gellar, Robert Charlick, and Yvonne Jones, RDC Special Series on Animation Rurale, No. 2, 1980.
- ANIMATION RURALE AND RURAL DEVELOPMENT: THE EXPERIENCE OF UPPER VOLTA, Robert Charlick, Richard Vengroff and Althea Rudd, RDC Special Series on Animation Rurale, No. 3, 1982.
- A REASSESSMENT OF ANIMATION RURALE: COMPARATIVE ANALYSIS OF EXPERIENCE IN NIGER, SENEGAL AND UPPER VOLTA, Robert Charlick (see KNOWLEDGE GENERATION #4).

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE GENERATION (#10)

- Subject:** Methodology for Rural Development Participation
- Purpose:** Identify and present methodological approaches and innovations for analyzing and promoting more participatory rural development, including monitoring and evaluation of decentralization and local organization; application of analytical techniques to AID mission needs for identifying and assisting the under-participation rural poor.
- Program:** Various published outputs drawing on work of RDPP activities in different countries, as described below.
- Personnel:** David Korten, Consultant, Business and Public Administration, Ford Foundation, Manila, 12/80  
Susan Randolph, Graduate Research Associate, Government, Economics, 6-8/80  
Arthur Williams, Graduate Research Associate, Government, Economics and Public Administration, 4-8/80  
Frank W. Young, Professor, Rural Sociology, 5/80
- Outputs:** Seminar for DS/RAD and PPC/Office of Evaluation on Organizational Methodologies for Strengthening "Participatory" Dimension of AID Programming, David Korten, Washington, July 2, 1980.
- "Strengthening Capacity for New Directions Programming in USAID," Discussion Paper by David Korten and Frances Korten, July 28, 1980.
- DESIGN FOR A MICROCOMPUTER BASED RURAL DEVELOPMENT INFORMATION SYSTEM, Frank W. Young, Fernando Bertoli and Sandra Bertoli, Department of Rural Sociology, Cornell Rural Sociology Bulletin No. 115, August 1980 (application of microcomputer and macro social accounting methodology to monitoring of regional decentralization program).
- "Community Organization and Rural Development: A Learning Process Approach," David Korten, PUBLIC ADMINISTRATION REVIEW, September-October 1980 (article written with discussion and inputs from RDPP key personnel)
- Consultation with DS/RAD and other AID divisions on integrating "participatory" and "decentralized" approaches into country programs and projects, David Korten, October 1980.
- Increasing Participation in AID Projects, Memo to DS/RAD from Norman Uphoff, November 24, 1980.

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY      KNOWLEDGE GENERATION (#10)

Outputs:                    PLANNING FOR MORE PARTICIPATION IN PROJECT  
PLANNING AND IMPLEMENTATION (see Knowledge Generation  
#1)

MEASURING LOCAL GOVERNMENT PERFORMANCE:  
ASSESSING MANAGEMENT, DECENTRALIZATION AND  
PARTICIPATION, Arthur Williams, RDC Occasional Paper, No. 11,  
1981. (application of new index using available data for targeting  
most efficient use of outside resources and diagnosing sources of  
inefficient resource use with reference to more decentralized and  
participatory government programs).

MEASURES OF ABSOLUTE POVERTY AND THEIR  
APPLICATIONS IN PROGRAM PLANNING AND EVALUATION  
FOR INCREASING PARTICIPATION, Susan Randolph, RDC  
Occasional Paper, No. 13, 1982. (improvement upon conventional  
"poverty line" analysis to target "the poor," drawing on RDPP work  
in Egypt constructing poverty profile there and on literature more  
generally to suggest better ways to identify groups whose  
participation is to be promoted).

"Taking the Data Back to the Village," Louise Fortmann, RURAL  
DEVELOPMENT PARTICIPATION REVIEW, III:2, Winter, 1982.

**V. KNOWLEDGE DISSEMINATION**

**AND NETWORKING**

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#1)**

- Subject:** State-of-the-Art Papers
- Purpose:** Assess and synthesize existing knowledge and experience on topics of concern to practitioners of rural development.
- Program:** Conduct reviews of literature, and if feasible and necessary, carry out field studies, to acquire knowledge to be presented in SOAP.
- SOAP #1:** FEASIBILITY AND APPLICATION OF RURAL DEVELOPMENT PARTICIPATION: A STATE-OF-THE-ART PAPER, December 1978.
- Norman Uphoff, Government  
John M. Cohen, Rural Sociology  
Arthur Goldsmith, Government
- David Scheinman, International Agriculture  
Kathy Terrell, Economics
- SOAP #2:** PARAPROFESSIONALS IN RURAL DEVELOPMENT: THE STATE-OF-THE-ART, December 1980.
- Milton Esman, Government  
Roy Colle, Communication Arts  
Ellen Taylor, Human Service Studies  
Norman Uphoff, Government
- Forrest Colburn, Government  
Doug Gritzinger, Regional Planning  
Robert Hall, Rural Sociology  
Cynthia Moore, Education  
Marge Savino, Human Service Studies  
Lin Compton, Education
- SOAP #3:** PARTICIPATORY APPROACHES TO AGRICULTURAL RESEARCH: THE STATE-OF-THE-ART, January 1981.
- William F. Whyte, Sociology/I&LR  
Lynn Gostyla, Rural Sociology
- Damon Boynton, Horticulture  
Norman Uphoff, Government

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#1)**

**SOAP #4: THE ROLE OF LOCAL ORGANIZATIONS IN RURAL DEVELOPMENT: THE STATE-OF-THE-ART, September 1982.**

**Milton Esman, Government  
Norman Uphoff, Government**

**Chris Brown, Government  
Forrest Colburn, Government  
Katrina Eadie, Rural Sociology  
Farhat Haq, Government  
Virginia Haufler, Government  
Cynthia Moore, Education  
Darryl Roberts, Government  
Nancy St. Julien, Regional Planning**

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#2)

**Subject:** Special Studies—Publications

**Purpose:** Present experience and analysis thereof for practitioners and academics working on problems of rural development.

**Program:** Prepare and publish monographs and papers through the Rural Development Committee publications program; copies distributed to AID missions and staff; RDC distributes copies to persons working on rural development problems upon request, charging if appropriate and possible.

The RDC has a special account for its publications, and the price for publications is set so that some can be given free, particularly to LDC scholars and practitioners. The account fluctuates as new publications' costs are charged against it, and as sales of publications are made. Prices are set to make this a break-even operation, with the stocks of publications in hand serving as capital to cover any deficiencies in the account. In this way, the publications coming from the RDPP can be kept in print as long as there is sufficient demand.

**Outputs:** Not all Special Studies have been published and some are still being completed, as listed in other Activity Summaries. The following listing includes Special Studies and State-of-the-Art papers originating, though not all funded from RDPP:

**Monographs and Occasional Papers:**

Rural Development Participation: Concepts and Measures for Project Design, Implementation and Evaluation by John Cohen and Norman Uphoff \$7.00, 317 pp., 1977

Feasibility and Application of Rural Development Participation: A State-of-the-Art Paper by Norman Uphoff, John Cohen and Arthur Goldsmith \$7.00, 338 pp., 1979

Development of Livestock, Agriculture and Water Supplies in Botswana Before Independence: A Short History and Policy Analysis by Emery Roe \$4.00, 56 pp., 1980

The Political Economy of Participation in Local Development Programs: Short-Term Impasse and Long-Term Change in South Asia and the U.S. from the 1950s to the 1970s by Harry W. Blair \$6.00, 196 pp., 1982

Peasant Participation in Costa Rica's Agrarian Reform: A View from Below by Mitchell A. Seligson \$5.00, 150 pp., 1982

**Special Series on Rural Local Organization**

Peasants, Officials and Participation in Rural Tanzania: Experience with Villagization and Decentralization by Louise Fortmann \$4.50, 136 pp., 1980

Rural Organizations in South India: The Dynamics of Laborer and Tenant Unions and Farmer Associations in Kerala and Tamil Nadu by K.C. Alexander \$3.50, 95 pp., 1980

Local Organization and Participation in Integrated Rural Development in Jamaica by Arthur Goldsmith and Harvey Blustain \$4.50, 140 pp., 1980

Local Institutions and People's Participation in Rural Public Works in Nepal by Prachanda Pradhan \$3.50, 103 pp., 1980

Rural Local Institutions in Botswana: Four Village Surveys and Analysis for Kgatleng District by Chris Brown, with Victor Bontsi, Kesitegile Gobotswang, Kelebogile Kgabi and Tihomamiso Selato \$4.50, 115 pp., 1982

Local Organization and Rural Development: The State-of-the-Art by Milton J. Esman and Norman Uphoff \$4.50, 120 pp., 1982

Organizational Strategies for Small Farm Development in Jamaica edited by Harvey Blustain and Elsie LaFranc \$8.00, 200 pp. (published with Institute for Social and Economic Research, University of the West Indies, Mona, 1982)

**Special Series on Paraprofessionals**

Paraprofessionals in Rural Development by Milton Esman, Royal Colle, Norman Uphoff, Ellen Taylor with Forrest Colburn, Douglas Gritzinger, Robert Hall and Cynthia Moore \$5.00, 149 pp., 1980

Guatemala's Rural Health Paraprofessionals by Forrest D. Colburn \$3.50, 53 pp., 1981

Women Paraprofessionals in Upper Volta's Rural Development by Ellen Taylor \$3.50, 56 pp., 1981

Paraprofessionals in Village-Level Development in Sri Lanka: The Sarvodaya Shramadana Movement by Cynthia Moore \$3.50, 64 pp., 1981

The Village Health Worker Approach to Rural Health Care: The Case of Senegal by Robert E. Hall \$3.50, 64 pp., 1981

Agriculture Paraprofessionals in the Philippines: Farmer Scholars, Agricultural Counselors and the Samahang Nayon Development Project by Douglas Gritzinger \$3.50, 55 pp., 1981

Community Development Paraprofessionals in Bolivia: NCDS Promoters in the Field by Margaret Savino \$3.50 (forthcoming)\*\*

Paraprofesionales en Salud Rural en Guatemala by Forrest D. Colburn \$3.50, 51 pp., 1981 (Spanish version of #2 above)

**Special Series on Agricultural Research and Extension**

**Participatory Approaches to Agricultural Research and Development: A State-of-the-Art Paper** by William F. Whyte \$5.00, 111 pp., 1981

**El ICTA en Guatemala: La Evolucion de un Modelo de Investigacion y Desarrollo Agricolas** by Lynn Gostyla and William F. Whyte \$4.00, 103 pp., 1980 (Spanish version of #3 below)

**ICTA in Guatemala: The Evolution of a New Model for Agricultural Research and Development** by Lynn Gostyla and William F. Whyte \$4.00, 48 pp., 1980

**Special Series on Natural Resource Management**

**Season and Strategy: The Changing Organization of the Rural Water Sector in Botswana** by Emery Roe and Louise Fortmann \$6.00, 257 pp., 1982

**Resource Management and Agricultural Development in Jamaica: Lessons for a Participatory Approach** by Harvey Blustain \$5.00, 159 pp., 1982

**The Impact of Second-Generation Settlers on Land and Water Resource Use in Gal Oya, Sri Lanka** by Shyamala Abeyratne \$4.50, 130 pp., 1982

**Special Series on Animation Rurale** (research funded under separate contract from DS/RAD with Professor Robert B. Charlick, assisted by RDPP)

**A Reassessment of Animation Rurale: Comparative Analysis of Experience in Francophone West Africa and Haiti** (title tentative) by Robert B. Charlick (forthcoming)

**Animation Rurale and Rural Development: The Experience of Senegal** by Sheldon Gellar, Robert B. Charlick and Yvonne Jones \$6.00, 211 pp., 1980

**Animation Rurale and Rural Development: The Experience of Upper Volta** by Robert Charlick, Richard Vengroff and Alethea Rudd \$6.00, 175 pp., 1982

**Special Series on Landless and Near-Landless** (research begun under separate grant from DS/RAD with additional work supported by RDPP)

**Landlessness and Near-Landlessness in Developing Countries** by Milton J. Esman \$4.00, 71 pp., 1978

**Landless Peasants and Rural Poverty in Selected Asian Countries** by David Rosenberg and Jean Rosenberg \$4.00, 108 pp., 1978

**Landless Peasants and Rural Poverty in Indonesia and the Philippines** by David Rosenberg and Jean Rosenberg \$4.00, 133 pp., 1980

**Landlessness and Rural Poverty in Latin America: Conditions, Trends and Policies Affecting Income and Employment** by Cheryl Lassen \$4.50, 184 pp., 1980

**Special Series on Landless and Near Landless** (continued)

Distribution of Land, Employment and Income in Rural Egypt by Iliya Harik with Susan Randolph \$4.50, 166 pp., 1979

Reaching the Assetless Poor: Projects and Strategies for Their Self-Reliant Development by Cheryl Lassen \$4.00, 68 pp., 1980

**Women's Participation**

Women and Participation in Rural Development: A Framework for Project Design and Policy-Oriented Research by Kathleen Staudt \$4.00, 77 pp., 1979

Women's Informal Associations and the Organizational Capacity for Development by Kathryn March and Rachelle Taqqu \$6.00, 148 pp., 1982

**Papers on Methodology**

Measuring Local Government Performance: Assessing Management, Decentralization, and Participation by Arthur R. Williams \$4.50, 101 pp., 1981

Measures of Absolute Poverty and Their Applications in Program Planning and Evaluation for Increasing Participation by Susan Randolph \$4.50, 130 pp., 1982

**Bibliographies**

Participation at the Local Level: A Working Bibliography by John Cohen, Gladys Culagovski, Norman Uphoff and Diane Wolf \$4.50, 125 pp., 1978.

Tillers of the Soil and Keepers of the Hearth: A Bibliographic Guide to Women and Development by Louise Fortmann \$4.00, 53 pp., 1979

**Note:** This listing does not include publications originating under RDPP which were published under other series or other auspices, such as the Ministry of Agriculture and the Ministry of Local Government and Lands in Botswana or the Agrarian Research and Training Institute in Colombo, Sri Lanka.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#3)**

- Subject:** Rural Development Participation Review
- Purpose:** Bring to a wide audience of practitioners and academics interested in problems of rural development and participation some of the best and most current thinking and experience related to these problems.
- Program:** Publication three times a year of Review (16-32 pages), with:  
(a) lead articles, (b) project analyses, (c) notes on current activities, (d) reviews of recent publications on participation, (e) listing of recent publications of possible interest to readers.
- Personnel:** Harry Blair, Political Science, Bucknell  
Harvey Blustain, Anthropology  
Walt Coward, Rural Sociology  
Porus Olpadwala, Regional Planning  
Robbie Siy, Regional Planning  
Barbara Williams Smith, Managing Editor  
Kathy Terrell, Economics  
Norman Uphoff, Government
- Outputs:** Rural Development Participation Review  
Vol. I, Numbers 1-3 (1979-80)  
Vol. II, Numbers 1-3 (1980-81)  
Vol. III, Numbers 1-3 (1981-82)  
Combined Table of Contents follows:

**RDPR INDEX****ARTICLES**

<u>Author</u>	<u>Title</u>	<u>Issue</u>
K. C. Alexander (NIRD, India)	Some Aspects of Peasant Organizations in South India	I:1
Derick W. Brinkerhoff (Harvard Univ.)	Inside Public Bureaucracy: Empowering Managers to Empower Clients	I:1
Chris Brown (Cornell)	Locally-Initiated Voluntary Organization: The Burial Societies of Botswana	III:3
Coralie Bryant (American University)	Organizational Impediments to Making Participation a Reality: "Swimming Upstream" in AID	I:3
Robert Charlick (Cleveland State University)	ANIMATION RURALE: Experience with "Participatory" Development in Four West African Nations	I:2
John M. Cohen Norman T. Uphoff	The Cornell Rural Development Participation Project	I:1
Sean Conlin (Overseas Dev. Ministry, U.K.)	Peasant Participation in Agricultural Planning in Peru: The Impediment of "Expertise"	II:3
Louise Fortmann (Cornell)	Pitfalls in Implementing Participation: An African Example	I:1
	Taking the Data Back to the Village	III:2
Arthur Goldsmith (Univ. of Mass.)	Popular Participation in South Korea's New Community Movement	III:3
David D. Gow Elliott R. Morss (DAI)	Local Organization, Participation and Rural Development: Results from a Seven-Country Study	II:2
Bouwe Grijpstra (Univ. of Leiden)	Approaches to Initiating and Supervising Groups for Rural Development	III:2
John Harbeson (USAID)	Revolutionary Participation in Ethiopia	II:1
Ward Heneveld (Ford Foundation)	Developing Research and Planning Techniques Enhance Local Participation in Development Activities: Indonesia Experience	I:2
Winston Higgins (SWCC, Kingston)	Worker Participation in Jamaican Sugar Production	I:2

<u>Author</u>	<u>Article</u>	<u>Issue</u>
Marilyn W. Hoskins (Virginia Polytechnic)	Women in Forestry for Local Community Development	II:3
Guy Hunter (ODI, London)	Linking Levels of Planning and Action for Participatory Rural Development	I:3
Goran Hyden (Ford Foundation)	Cooperatives and the Poor: Comparing European and Third World Experience	II:1
Gary W. Knamiller (Univ. of Leeds)	Participatory Education: Using Children's Environment in Ghana	III:3
David C. Korten (Ford Foundation)	Rural Development Programming: The Learning Process Approach	II:2
Frances F. Korten (Ford Foundation)	Stimulating Community Participation: Obstacles and Options at Agency, Community and Societal Levels	II:3
Victor Nee (UC Santa Barbara)	Decentralization, The Market and Participation in Rural China	II:2
Md. Anisur Rahman (ILO)	Dimensions of People's Participation in the Bhoomi Sena Movement	III:1
Hans-Dieter Seibel (Univ. of Cologne)	Indigenous Self-Help Organizations and Rural Development: Some Liberian and Ghanaian Cases	III:1
Robert Y. Siy (East-West Center)	Sustaining Involvement in Rural Organizations: Techniques from Philippine Irrigation Schemes	III:2
Karen Smith and Mary Hollnsteiner (UNICEF)	Community Participation: The UNICEF Approach	III:3
Ellen Taylor and Cynthia Moore (Cornell)	Paraprofessionals in Rural Development: Reality and Potential	II:1
Barbara Thomas (Clark University)	The "Harambee" Self-Help Experience in Kenya	I:3
William Foote Whyte (Cornell)	Participatory Approaches to Agricultural Research and Development	III:1
Frank W. Young (Cornell)	Participation and Project Success: A Reanalysis of the Development Alternatives Study	I:3

## PROJECTS

<u>Author</u>	<u>Project</u>	<u>Issue</u>
Conner Bailey (ICLARM, Manila)	Natural Resource Management: A Basis for Organization of Small-Scale Fishermen	III:2
Harry Blair (Bucknell University)	The PIDER Rural Development Project in Mexico	I:2
Harvey Blustain (Cornell)	Goals, Output and Participation in a Jamaican Integrated Rural Development Project	III:3
Donald S. Chauls (MSH) P. R. Rajbhandari (HMG)	Nepal's Community Health Leader Project	II:1
E. Walter Coward, Jr. (Cornell)	Participation in Irrigation Development: A Philippine Example	I:1
N.G.R. de Silva (Irrigation Dept., GSL)	Farmer Participation in Water Management: The Minipe Project in Sri Lanka	III:1
James De Vries (Univ. of Dar es Salaam)	Participation and the Success of Communal Production Projects in Tanzania	III:2
John K. Hatch (Rural Development Services Inc.)	Peasants Who Write a Textbook on Subsistence Farming: Report on the Bolivian Traditional Practices Project	II:2
Kevin Healy (Inter-American Foundation)	Innovative Approaches to Development Participation in Rural Bolivia	I:3
George Honadle (DAI)	Beneficiary Involvement in Project Implementation: Experience in the Bicol	I:1
Richard Huntington (Harvard)	Popular Participation in Sudan: The Abyei Project	II:1
Ross Kidd (PRG, Toronto) Martin Byram (Univ. College, Swaziland)	A Fresh Look at Popular Theater in Botswana: Demystifying Pseudo-Freirian Non-Formal Education	III:1
Aklilu Lemma (WHO)	Schistosomiasis Control on a Community Self-Help Basis	II:3
David Lewis (Cornell)	Local Development Associations in the Yemen Arab Republic	I:2
Shaikh Maqsood Ali (NIPA, Dacca)	The Batasan-Durgapur Format for Rural Development in Bangladesh	II:3

<u>Author</u>	<u>Project</u>	<u>Issue</u>
Kris Merschrod (Cornell)	Participation in Program Evaluation at the Regional Level in Honduras	II:1
Prachanda Pradhan (CEDA, Kathmandu)	Baglung Suspension Bridges: Outcome of People's Participation in Nepal	I:1
John E. Roberts (USAID)	The Evolution of a Water Management Project by Participatory Demand: The Citanduy Basin Project in Indonesia	II:2
A. G. Talagune (Secretary of Rural Development, GSL)	"Change Agents" to Promote Participatory Village Development in Sri Lanka	III:3
John Williamson (United Mission to Nepal)	Using Local Peoples' Participation in a Food for Work Program in Nepal	II:3

### REVIEWS

<u>Author</u>	<u>Review</u>	<u>Issue</u>
Harry Blair (Bucknell Univ.)	"Rural Development in Pakistan" by Shoaib Sultan Khan	II:3
Harvey Blustain (Cornell)	"The Use and Misuse of Social Science Research in Nepal" by Gabriel Campbell, Ramesh Shrestha, and Linda Stone	III:2
Forrest Colburn (Cornell)	"The Rational Peasant: The Political Economy of Rural Society in Vietnam" by Samuel Popkin	II:1
Milton J. Esman (Cornell)	"Agricultural Development and the Rural Poor" edited by Guy Hunter; "Extension, Planning and the Poor" by Paul Devitt, Guy Hunter, and Janice Jiggins	I:3
Louise Fortmann (Cornell)	"Indigenous Knowledge Systems and Development" by David W. Brokensha, D.M. Warren and Oswald Werner, eds.	II:3
Susan Hadden (Univ. of Texas, Austin)	"Public Choice and Rural Development" by Clifford S. Russell and Norman K. Nicholson, eds.	III:3
Janice Jiggins (Univ. of Leiden)	"Farming Systems Research: A Critical Appraisal" by E. Gilbert, D. Norman, and F. Winch	III:2
Joan Nelson (Johns Hopkins University)	"Poverty and Problem-Solving Under Military Rule: The Urban Poor in Lima, Peru" by J.I. Dietz	II:3

Norman K. Nicholson (USAID)	"Politics and Policy Implementation in the Third World" by Merilee S. Grindle, ed.	II:2
David Scott Palmer (FSI, Washington)	"Political Participation in Latin America" by John Booth and Mitchell A. Seligson	I:3
Nancy St. Julien (Cornell)	"Rural Poverty Unperceived: Problems and Remedies" by Robert Chambers	III:1
Kathleen A. Staudt (Univ. of Texas, El Paso)	"Reaching the Peasant Farmer: Organization Theory and Practice in Kenya" by David Leonard	I:1
Katherine Terrell (Cornell)	"Health Needs and Services in Rural Ghana," by Institute of Development Studies, Sussex	I:2
John W. Thomas (Harvard Institute of Int'l Development)	"Self-Help and Popular Participation in Rural Water Systems" by Duncan Miller	II:1
Norman Uphoff (Cornell)	"Bureaucrats, Politicians, and Peasants in Mexico: A Case Study in Public Policy" by Merilee S. Grindle	I:2

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#4)

- Subject:** Seminar and Workshops on Participatory Approaches to Rural Development
- Purpose:** Acquaint LDC government officials and staffs of country missions and international organizations with current thinking about RDP and with experience in other countries that would be relevant to project and project formulation.
- Program:**
- (a) Yemen: Training Seminar on Rural Development for USAID, CYDA and other YARG staff, Sanaa, March 1978.
  - (b) Nepal: National Seminar on Experience with Rural Development and People's Participation in Nepal, Kathmandu, July 1978. (ASIA #3)
  - (c) Sri Lanka: Seminars on Participatory Experience in Water Management, Colombo (ARTI), January and August 1980; January 1981; January 1982; National Workshop on Water Management, January 1982 (ASIA #1)
  - (d) Lesotho: Workshop on Decentralization, Maseru, July 1980. (AFRICA #7)
  - (e) Jamaica: Seminar on Organizational Approaches for Small Farmer Development, at University of the West Indies, Mona Campus, April 1981 (LATIN AMERICA #2)
  - (f) Zimbabwe: National Workshop on Popular Participation in Planning and Development, Harare, May 1982 (AFRICA #8)
  - (g) FAO: Design and implementation of training course on participatory rural development for FAO staff in Rome and in the field to better acquaint FAO staff with principles and practices adopted by the World Conference on Agrarian Reform and Rural Development (WCARRD); preparation of training materials (drawing in particular on publications and Rural Development Participation Review -- KNOWLEDGE DISSEMINATION #2 and #3) and helping to conduct seminars, 1982-83 (under special contract with FAO-Rome).

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY    KNOWLEDGE DISSEMINATION (#4)**

**Personnel:**            Benjamin Bagadion, Deputy Administrator, National Irrigation  
                                 Administration, Philippines (Sri Lanka)  
                                 Randy Barker, Agricultural Economics (Sri Lanka)  
                                 Harvey Blustain, Anthropology (FAO)  
                                 John M. Cohen, Rural Sociology (Yemen)  
                                 E. Walter Coward, Rural Sociology (Sri Lanka)  
                                 Milton J. Esman, Government (FAO)  
                                 Louise Fortmann, Rural Sociology (Lesotho)  
                                 John Harbeson, Political Science (Lesotho)  
                                 Obaidullah Khan, Secretary of Agriculture, Bangladesh (Nepal)  
                                 David Korten, Public Administration (Sri Lanka)  
                                 Gil Levine, Agricultural Engineering (Sri Lanka)  
                                 David Lewis, Regional Planning (Yemen)  
                                 Norman K. Nicholson, Political Science (Yemen)  
                                 Porus Olpadwala, City and Regional Planning (FAO)  
                                 Norman Uphoff, Political Science (Nepal; Sri Lanka; Zimbabwe)  
                                 Manfred Wenner, Political Science (Yemen)

## RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#5)

- Subject:** Training
- Purpose:** Develop in-country capabilities for dealing with analysis and promotion of more participation in rural development efforts.
- Program:** Activities vary depending upon country needs and capabilities, and upon relations with mission and host country institutions. Some of the training is thoroughly non-formal and thus hard to specify. Some of the training which can be identified is:
- BOTSWANA:** Training of enumerators in Ministry of Agriculture in survey and analysis techniques for studying water point use and household well-being.
- TUNISIA:** Training of Central Tunisia Development Authority planning staff in use of microcomputers to process data; training of CTDA staff in survey methodologies for monitoring social and economic change within project area.
- SRI LANKA:** Working with Agrarian Research and Training Institute on the training of institutional-organizers to set up water-user/farmer organizations in Gal Oya project area; RDPP consultants include experts from National Irrigation Administration in Philippines with experience in such work there.
- COSTA RICA:** Assisting ITCO, the land reform agency, in training of staff to work more effectively, and in a participatory manner, with title recipients in new titling program in Atlantic Zone; also training staff of Evaluation and Statistics Unit in data gathering and analysis for purposes of monitoring and evaluation; course on computer data analysis.
- JAMAICA:** Integrated Rural Development Project has hired a sociologist to work with RDPP Research Associate as a counterpart project social scientist to be able to carry on the work after June 1981.
- FAO:** See (g) under KNOWLEDGE DISSEMINATION #4.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#6)**

**Subject:** Network Development

**Purpose:** Identify social scientists and practitioners with experience and analytical skills for dealing with problems of rural development participation, so that new knowledge can be disseminated among them, and so that their knowledge can be called upon for specific problem-solving.

**Program:** Search of U.S. dissertation abstracts from 1970 on in the social sciences to locate young social scientists who might not yet be published in the journals and who had done research on topics related to RD participation; search of bibliographies for names of authors who had written on topics related to RD participation; send letters inviting them to send complete information on their backgrounds and experience; send copies of Rural Development Participation Review (see KNOWLEDGE GENERATION #3); send letters to selected members of network for information on RDPP study topics; provide information to DS/RAD on persons who could make contributions on certain topics when requested.

**Personnel:** Diane Wolf, Rural Sociology (search of dissertation abstracts), 1977  
Gladys Culagovski, Rural Sociology, 1978-79  
Nancy St. Julien, Regional Planning, 1979-81  
Virginia Haufler, Government, 1981-82

**Outputs:** File of organized curriculum vitae, maintained by project.

Suggestions for materials to be considered in state-of-the-art research on Local Organization; also on Local Leadership, 1980.

**RDPP PROJECT REVIEW: ACTIVITY SUMMARY KNOWLEDGE DISSEMINATION (#7)**

- Subject:** Library and Bibliography
- Purpose:** Acquire and make available materials on rural development relating to participation.
- Program:** Catalogue materials and publications on rural development, most of which are sent free to the Rural Development Committee; publish bibliography on materials and publications.
- Personnel:** John M. Cohen, Rural Sociology, 1977-78  
Gladys Culagovsky, Rural Sociology, 1978-79  
Virginia Haufler, Government, 1981-82  
Katsela Mengistu, Nutrition, 1977-78  
Nancy St. Julien, Regional Planning, 1979-81  
Norman Uphoff, Government, 1977-78  
Diane Wolf, Rural Sociology, 1978
- Outputs:** PARTICIPATION AT THE LOCAL LEVEL: A WORKING BIBLIOGRAPHY, John Cohen, Gladys Culagovski, Norman Uphoff and Diane Wolfe, RDC Bibliography No. 1, 1978.
- Maintenance of RDC library materials on rural development and participation.

## **VI. THESES**

**THESES SUPPORTED UNDER THE RURAL DEVELOPMENT PARTICIPATION PROJECT**

**Completed**

Shyamala Abeyratne, Rural Sociology, M.S.

SECOND GENERATION SETTLEMENT IN THE GAL OYA PROJECT, SRI LANKA

Elaine Aderhold, Natural Resources/Civil Engineering, M.S.

RANGELAND MONITORING METHODOLOGY BASED ON LANDSAT DATA:  
CASE STUDY IN THE REPUBLIC OF BOTSWANA

Charles Bailey, Agricultural Economics, Ph.D.

KEEPING CATTLE AND THE DEVELOPMENT OF WATER RESOURCES IN  
EASTERN BOTSWANA

Arthur Goldsmith, Government, Ph.D.

THE POLITICS OF AGRICULTURAL STAGNATION: RURAL DEVELOPMENT  
AND LOCAL ORGANIZATION IN JAMAICA

Hammond Murray-Rust, Agricultural Engineering, Ph.D.

IRRIGATION AND WATER MANAGEMENT IN SRI LANKA: AN EVALUATION OF  
TECHNICAL AND POLICY FACTORS AFFECTING OPERATION OF THE MAIN  
CHANNEL SYSTEM

Arthur Williams, Government, Ph.D.

CENTER, BUREAUCRACY AND LOCALITY: A STUDY OF CENTRAL-LOCAL  
GOVERNMENT RELATIONS IN THE PHILIPPINES

**Still in Process**

Chris Brown, Government, Ph.D.

LOCAL INSTITUTIONS FOR PLANNING NATURAL RESOURCE MANAGEMENT  
IN BOTSWANA (support for fieldwork on action research project designed by  
Brown from Government of Botswana, 1982-83)

Milan Rodrigo, Communication Arts, M.P.S.

PROBLEMS OF COMMUNICATION CONCERNING WATER MANAGEMENT IN  
GAL OYA, SRI LANKA AND POSSIBLE MEASURES FOR IMPROVEMENT  
(fieldwork done summer 1982)

Nancy St. Julien, Regional Planning, Ph.D.

THE INSTITUTIONAL-ORGANIZER PROGRAM FOR WATER MANAGEMENT IN  
GAL OYA, SRI LANKA: AN ASSESSMENT OF THE APPLICATION OF A  
'LEARNING PROCESS' APPROACH TO RURAL DEVELOPMENT (fieldwork done  
summer 1982)

**Theses Assisted under RDPP**

Lynn Gostyla, Rural Sociology, M.S.

Thesis on the social organization of agricultural research in Guatemala and  
Honduras assisted by opportunity for fieldwork provided by RDC and RDPP in  
working with William F. Whyte on state-of-the-art project.

**Susan Randolph, Economics, Ph.D.**

Thesis on poverty and income distribution in Malaysia assisted by opportunity to do fieldwork in Egypt on this subject in support of project directed by Professor Iliya Harik to construct poverty profile; also given honorarium to write monograph assessing alternative measures of "poverty" which provided financial support during writing of thesis and related to thesis' literature review.

**Mark Svendsen, Agricultural Economics, Ph.D.**

Thesis on water management in Philippines worked on while serving as part-time consultant for RDPP with Agrarian Research and Training Institute in Sri Lanka; wife in Sri Lanka as consultant, and this gave some financial support during write-up and also in-depth experience with water management in another Asian context.

**Ellen Taylor, Human Service Studies, M.S.**

Thesis on using rural women paraprofessionals in Upper Volta, drawing on fieldwork done for RDPP state-of-the-art study on use of rural paraprofessionals.

**Yemen sub-project (no Cornell students with suitable language competence)**

**Sheila Carapico, Political Science, Ph.D., SUNY-Binghamton**

Thesis on Local Development Associations in Yemen; working with RDPP sub-project, having done extensive fieldwork in Yemen previously; summer 1982 fieldwork supported by Department of City and Regional Planning in connection with sub-project.

**Barbara Croken, History, Ph.D., Harvard**

Thesis on rural history of Yemen; engaged to do complete bibliographic review of literature in Arabic language on rural Yemen; has published annotated bibliographic review for RDPP Yemen sub-project; able to draw on this work in writing thesis.

**Mary Hebert, Anthropology, Ph.D., Harvard**

Thesis on social change in rural Yemen; spent over year doing fieldwork for Yemen sub-project in villages, writing several long field reports; had done field research in rural Yemen (on role of women) before joining RDPP sub-project; able to extend and deepen field research for thesis (being written up at University of Reading, U.K.)

### Theses Related to RDPP Involvement of Students

**Forrest Colburn, Government, Ph.D.**

Thesis on rural development and peasant participation in post-revolutionary Nicaragua (fieldwork funded by Doherty Foundation, Princeton; thesis being written presently)

**Katrina Eadie, Rural Sociology, Ph.D.**

Thesis on rural development projects in Costa Rica (supported by International Agriculture Program, Latin American Program and other sources; arrangements for access to data made with assistance from ITCO, the government land reform and colonization agency, with which RDPP collaborating)

**Ed Martin, Agricultural Economics, Ph.D.**

Thesis on small-scale irrigation development and management in Nepal (supported by International Agriculture Program, East-West Center and other sources; research concerning local organization and participation aspects of subject growing out of RDPP involvement)

**Peter May, Agricultural Economics, Ph.D.**

Thesis on forest resource management in Brazil (funded by foundation in New York; analysis grows out of his two years as research assistant with RDPP working on local management of natural resources)

## **VII. BUDGET**

BUDGET FOR RURAL DEVELOPMENT PARTICIPATION PROJECT, 1977-1982

<u>APPLIED RESEARCH AND CONSULTING</u>	<u>1977-80</u>	<u>1980-81</u>	<u>1981-82</u>	<u>Mission Contrib.</u>	<u>Total</u>
<u>Long-Term AR&amp;C</u>	<u>489,061</u>	<u>349,809</u>	<u>75,858</u>	<u>683,268</u>	<u>1,597,996</u>
Botswana	157,386	64,160	--	92,000	313,546
Costa Rica	42,835	81,427	24,629	56,000	204,891
Jamaica	82,036	24,061	--	27,000	133,097
Sri Lanka	63,575	79,452	51,229	149,135	343,391
Tunisia	52,023	34,186	--	109,733	195,942
Yemen (YAR)	91,206	66,523	--	249,400	407,129
<u>Short-Term AR&amp;C</u>	<u>261,089</u>	<u>20,000</u>	<u>85,000</u>	<u>46,145</u>	<u>412,234</u>
Bolivia	--	--	85,000	--	85,000
Cameroon	46,701	--	--	--	46,701
Dominica	19,709	--	--	--	19,709
Dominican Republic	14,286	--	--	--	14,286
Egypt	79,490	--	--	46,145	125,635
Indonesia	12,656	--	--	--	12,656
Nepal	20,750	--	--	--	20,750
Philippines	39,742	--	--	--	39,742
Other	27,755	20,000	--	--	47,755
<u>KNOWLEDGE GENERATION</u>	<u>435,506</u>	<u>126,720</u>	<u>43,645</u>	<u>--</u>	<u>605,871</u>
<u>KNOWLEDGE DISSEMINATION AND NETWORKING</u>	<u>118,664</u>	<u>89,435</u>	<u>61,887</u>	<u>--</u>	<u>269,986</u>
<u>ADMINISTRATION</u>	<u>234,854</u>	<u>140,000</u>	<u>98,610</u>	<u>--</u>	<u>473,464</u>
<u>TOTAL</u>	<u>1,539,174</u>	<u>725,964</u>	<u>365,000</u>	<u>729,413</u>	<u>3,359,551</u>

- Notes: (1) 1977-80 figures are allocations of program activity expenditures; allocations between and among the major categories (AR&C, KG, KD&N, and Administration) frequently had to be estimates because of overlapping of categories (such as AR&C and Knowledge Generation).
- (2) 1980-81 and 1981-82 figures are from budgets since not all accounting is completed for these years.
- (3) Mission contributions listed do not include expenditures made by missions in-country directly in connection with RDPP activities; additional amounts of \$22,000 and \$249,000 have been committed by missions in Botswana and Sri Lanka for continuing work.
- (4) Figures include overhead paid to Cornell University; they do not include the Cornell contribution to the cooperative agreement, a minimum of 5 percent of the total but in fact more than this.

PERCENTAGE DISTRIBUTIONS OF BUDGET CATEGORIES

<u>APPLIED RESEARCH AND CONSULTING</u>	<u>% of Category</u>	<u>% of Total</u>
<u>Long-Term AR&amp;C</u>	<u>100.0</u>	<u>47.6</u>
Botswana	19.6	9.3
Costa Rica	12.8	6.1
Jamaica	8.3	4.0
Sri Lanka	21.4	10.2
Tunisia	12.3	5.8
Yemen	25.6	12.2
 <u>Short-Term AR&amp;C</u>	 <u>100.0</u>	 <u>12.4</u>
Bolivia	20.6	2.5
Cameroon	11.3	1.5
Dominica	4.8	0.6
Dominican Republic	3.5	0.4
Egypt	30.5	3.7
Indonesia	3.1	0.4
Nepal	5.0	0.6
Philippines	9.6	1.2
Other	11.6	1.5
		<u>TOTAL</u> <u>60.0</u>
 <u>KNOWLEDGE GENERATION</u>		 <u>18.0</u>
 <u>KNOWLEDGE DISSEMINATION AND NETWORKING</u>		 <u>8.0</u>
 <u>ADMINISTRATION</u>		 <u>14.0</u>

- Notes: (1) If administrative costs were allocated proportionally among the three activity categories, they would be: Applied Research and Consulting 60.4% (54.2% + 14.2%); Knowledge Generation 20.5%; Knowledge Dissemination and Networking 9.1%.
- (2) Allocation of administrative costs among years is not shown because mission contributions made for period of activity, not specific years; but most mission-funded activity in 1980-81 and 1981-82, requiring greater expenditure on administration in those years.

**VIII. THE RURAL DEVELOPMENT COMMITTEE  
AT CORNELL UNIVERSITY**

### **The Rural Development Committee (RDC) at Cornell University**

The Rural Development Committee was organized during 1970-71 under the auspices of the Center for International Studies, Cornell University. Its funding initially came from the remainder of a Ford Foundation grant for international studies to Cornell. Since 1973, it has received a small annual subvention from the Center to cover secretarial and administration costs, plus modest support for seminars, publications and visitors. Any research activity outside of the University has required funding from other sources. The major RDC activity has been a five-year program of applied research and consulting on "Rural Development Participation" under a cooperative agreement with USAID's Office of Rural Development and Development Administration (DS/RAD).

The RDC has taken on problems and issues in rural development that require inter- or cross-disciplinary work, leaving to departments and individuals those subjects which can be treated within a particular discipline. It has also not worked on strictly technical or production-oriented issues, focusing rather on policy, institutional and strategic considerations, with special concern for the poor rural majority. At its initial meetings in 1970-71, it decided to address the groups and problems which had been up to that time largely ignored by more conventional approaches, those that had emphasized progressive farmers and diffusion of technology as the leading force for development.

Cornell University has a long and distinguished tradition of work on international agricultural development based in the College of Agriculture and Life Sciences. It has an International Agriculture Program headed by a director and assistant director, who work with faculty in the College and outside who have experience and interests in agricultural development. A concern for rural development is complementary with that for agricultural development, the latter being seen as focusing relatively on more technical and production-oriented issues. The IAP and RDC have cooperated closely over the years with their respective heads working ex-officio with the counterpart program. About half the faculty and graduate students involved with the RDC are in the College of Agriculture, about half from the other colleges and schools at Cornell.

The RDC is supervised by an Executive Committee made up of nine elected faculty members. Rather than elect simply at large or on the basis of college or disciplinary constituencies, the Executive Committee has three members who are principally concerned with "micro" issues and analysis (focusing on the rural household, family, community, farming enterprise, etc.), three concerned particularly with "macro" issues and analysis (focusing on policy, planning, politics, administration, etc.) and three more concerned with "technical" factors (dealing with the physical, biological, engineering and related aspects). These three focuses were defined through an initial collaborative teaching effort by RDC faculty members to introduce freshmen and sophomores to Third World rural development in 1972 and 1973. Faculty members vote for candidates on all three lists so there is no suggestion of exclusive constituencies.

One of the principal features (and attractions to participating faculty) is the collegial cooperation among social scientists and natural scientists in RDC activities. Social scientists who appreciate the importance of technical and physical factors, and who take the time to learn something about these, and natural scientists who see that accomplishing their objectives requires some understanding of social and institutional factors, find that they can be more productive researchers and better teachers for the interaction which the RDC activities provide.

The main activities of the RDC consist of (a) seminars, (b) teaching, and (c) working groups. Seminars on various topics relating to rural development are held on an ad hoc basis, usually once a week, open to any faculty and students interested. Most teaching is done on an individual basis, but the RDC has sponsored several interdisciplinary courses and currently provides, in cooperation with the International Agriculture Program, a graduate course on the administration of agricultural and rural development, which is team-taught. Most activity of the RDC is through interdisciplinary working groups, beginning with one organized at the request of USAID in 1972 to contribute to its Spring Review of Small Farmer Credit. Since then several other working groups, on rural local government, on rural development training and research institutions, on rural development participation, on new approaches to agricultural research and development, and on participatory management of natural resources, have been set up with USAID support. A list of such groups and their participants is attached.

In almost all of the activities, graduate students have been involved directly with faculty, since participation is a function of interest and expertise rather than status. Cornell is fortunate to have a great many qualified graduate students working for Masters' or Ph.D. degrees who have 3, 5 or more years of experience in rural development overseas, often having language proficiency and other skills from previous graduate education. RDC outputs are better for having input from the various graduate students participating in the activities. This participation contributes to their further education and professional development, and is one of the reasons why faculty support such activity, because it is in keeping with their and Cornell's teaching function.

Another aspect of RDC activity is the network development which had been going on for some years, before the RDPP. The RDC has built up contacts with colleagues at many institutions in the U.S., Europe and the Third World since 1970-71, through visiting fellows, visitors to campus, participation in workshops and professional meetings elsewhere. The Rural Local Government studies done in 1973-74, for example, were half of them written by colleagues at other universities in the U.S., India, Pakistan, Malaysia, Philippines, Israel and Yugoslavia. Recognizing that there are many persons in other institutions who share similar interests and have much to contribute to work on common problems, the RDC has involved many non-Cornellians in its activities, as much as resources permit. The RDPP has provided opportunities for collegial involvement of many persons from other institutions in RDC activities and this has been one of the positive features of the cooperative agreement.

## **Executive Committee**

### Current Members:

Randy Barker, Agricultural Economics  
 Lin Compton, Education  
 Davydd Greenwood, Anthropology  
 Thomas Holloway, History  
 Billie Jean Isbell, Anthropology  
 Michael Latham, Nutrition  
 Gil Levine, Agricultural Engineering (chairman)  
 David Thurston, Plant Pathology  
 Norman Uphoff, Governraent (vice-chairman)  
 Milton Esman, Director, Center for International Studies (ex-officio)  
 Sean Killeen, Executive Director, Center for International Studies (ex-officio)  
 Ed Oyer, Director, International Agriculture Program (ex-officio)  
 Larry Zuidema, Assistant Director, International Agriculture Program (ex-officio)

### Past Members:

Milton Barnett, Rural Sociology  
 John M. Cohen, Rural Sociology  
 Robert Crawford, Communication Arts  
 Tom E. Davis, Economics  
 Matt Drosdoff, Agronomy  
 Donald Freebairn, Agricultural Economics  
 William Goldsmith, Regional Planning  
 David Lewis, Regional Planning  
 John Mellor, Agricultural Economics  
 Joe Metz, International Agriculture  
 Henry Munger, Vegetable Crops  
 Kathleen Rhodes, Human Service Studies  
 Ken Robinson, Agricultural Economics

## **Rural Development Committee Activities**

Fall 1972: Undergraduate Interdisciplinary Course on Rural Development:  
 Peasants, Power and Productivity (CIS 211)

Davydd Greenwood, Anthropology  
 Gil Levine, Agricultural Engineering  
 Norman Uphoff, Government  
 Cynthia Gillete, TA, Anthropology  
 Cheryl Lassen, TA, Rural Sociology

Fall 1973: Randy Barker, Agricultural Economics  
 Walt Coward, Rural Sociology  
 Michael Latham, Nutrition  
 Aaron Segal, Visiting Professor, Government  
 Cheryl Lassen, TA, Rural Sociology  
 David Robinson, TA, Government

Fall 1972: Working Group for USAID Spring Review on Small Farmer Credit

Harry Blair, Visiting Fellow, SSRC, Government  
 James Converse, Rural Sociology  
 A. Doraswamy, GS, Agricultural Economics  
 \*Cynthia Gillete, GS, Anthropology  
 Davydd Greenwood, Anthropology  
 Gillian Hart, GS, Agricultural Economics  
 Patricia Kluck, GS, Anthropology  
 Norman Nicholson, Visiting Professor, Government  
 David Penny, Visiting Professor, Agricultural Economics  
 \*Norman Uphoff, Government

1973-74: Comparative Study of Rural Local Government in Asia

Ron Aqua, GS, Government  
 John Blackton, GS, Government  
 Harry Blair, Visiting Fellow, SSRC, Government  
 \*Milton Esman, Government and Public Administration  
 Mohinder Mudahar, Agricultural Economics  
 Norman Nicholson, Visiting Professor, Government  
 David Robinson, GS, Government  
 Ben Stavis, Research Associate, RDC  
 \*Norman Uphoff, Government

Summer 1974: Comparative Study of Rural Development Training and Research Institutions in Asia

Patrick Alleyne, GS, Extension Education  
 John Blackton, GS, Government  
 Walt Coward, Rural Sociology  
 Robert Crawford, Communication Arts  
 Milton Esman, Government  
 Kathleen Rhodes, Community Service Education  
 \*Norman Uphoff, Government

Summer 1975: Working Group on Water Management (workshop)

Milton Barnett, Rural Sociology/Anthropology  
 Walt Coward, Rural Sociology  
 \*Gil Levine, Agricultural Engineering  
 Les Small, Economics, Rutgers

Summer 1976: Working Group on Rural Development Participation

\*John Cohen Rural Sociology  
 \*Norman Uphoff, Government  
 Arthur Goldsmith, RA, Government  
 Richard Meyers, RA, Rural Sociology  
 Charles Perry, RA, Rural Sociology  
 Susan Randolph, RA, Economics  
 David Robinson, RA, Government

**Spring 1976-82: Graduate Course on the Administration of Agricultural and Rural Development (offered jointly by International Agriculture Program and RDC)**

Randy Barker, Agricultural Economics (years IV-V)  
 Milton Barnett, Rural Sociology (I-VI)  
 Fred Bent, Public Administration (I)  
 Lin Compton, Education (IV-VI)  
 Milton Esman, Government and Public Administration (II-VI)  
 Joe Metz, Agricultural Economics/IAP (III)  
 Ed Oyer, Vegetable Crops/IAP (II)  
 Dave Thurston, Plant Pathology (IV)  
 Norman Uphoff, Government (I-III, V-VI)  
 Larry Zuidema, International Agricultural Program (I-VI)

**1977-78: Working Group on Landless and Near-Landless in LDCs**

\*Milton Esman, Government  
 Shubh Kumar, Nutrition/Agricultural Economics  
 Cheryl Lassen, Rural Sociology  
 Karim Mehtab, Sociology/Demography  
 David Rosenberg, Visiting Professor, Political Science  
 Jean Rosenberg, Visiting Professor, Economics  
 Norman Uphoff, Government

**Advisory Group on Landless and Near-Landless**

Milton Barnett, Rural Sociology  
 Don Freebairn, Agricultural Economics  
 Michael Latham, Nutrition  
 Joe Stycos, Sociology/Demography

**1977-82: Working Group on New Approaches to Agricultural Research and Development**

Randy Barker, Agricultural Economics  
 Milton Barnett, Rural Sociology/Anthropology  
 \*Damon Boynton, Horticulture  
 Joseph Campbell, Agricultural Engineering  
 Walt Coward, Rural Sociology  
 Matt Drosdoff, Agronomy  
 Rada Dyson-Hudson, Anthropology  
 Milton Esman, Government  
 Gil Levine, Agricultural Engineering  
 Robert McDowell, Animal Science  
 David Thurston, Plant Pathology  
 Norman Uphoff, Government  
 \*William F. Whyte, I&LR/Sociology

\*Chairpersons or convenors

**Research Associates**

- 1972-76: Benedict Stavis, Political Science  
Making Green Revolution: The Politics of Agricultural Development in China; and The Politics of Agricultural Mechanization in China, Cornell University Press, 1979.
- 1974-75 Uma Lele, Agricultural Economics, The World Bank  
The Design of Rural Development: Lessons from Africa, Johns Hopkins Press, 1975.

**Visiting Fellows**

- 1972 (Spring) Norman K. Nicholson, Political Science, Northern Illinois University
- 1973-74 Harry Blair, Political Science, Bucknell University (SSRC)
- 1974 Manfred Schulz, Sociology, Technical University, Berlin
- 1974-75 G. Parthasarathy, Agricultural Economics, Waltair University, India (Agricultural Development Council)
- 1975-76 K.K. Singh, Social Psychology, Administrative Staff College, Hyderabad, India (IDRC)
- 1976-78 Minoru Ouchi, Law and Public Administration, Institute for Developing Economies, Japan
- 1977-78 David Rosenberg, Political Science, Middlebury College
- 1978 (Spring) Jack Kampen, Agricultural Engineering, International Crop Research Institute for Semi-Arid Tropics (ICRISAT), Hyderabad, India
- 1978-79 K.C. Alexander, Sociology, National Institute of Rural Development, Hyderabad, India (IDRC)
- 1979 (Fall) Prachanda P. Pradhan, Public Administration, Tribhuvan University, Nepal (Fulbright)
- 1979-80 Ward Heneveld, Education, Ford Foundation, Jakarta
- Victor Nee, Sociology, University of California, Santa Barbara (SSRC)
- Ahbab Ahmed, Executive Director, Civil Officers Training Academy, Bangladesh (Ford Foundation)
- 1979, 1982 Mary Sheridan, Sociology, York University
- 1981 (Fall) Nasir Islam, Public Administration, University of Ottawa
- 1982 (Summer) C. Chandrasekharan, Senior Forestry Economist (FAO)

**IX. INCREASING PARTICIPATION**

**IN A.I.D. PROJECTS**

November 24, 1980

To: Jerry French, DS/RAD  
 Through: John Harbeson, DS/RAD  
 From: Norman Uphoff, Cornell RDPP  
 Re: Increasing Participation in AID Projects

Under the cooperative agreement which our Cornell Rural Development Committee has with your office for applied research, consulting and knowledge generation on "rural development participation," we have been involved with a number of missions, assisting in socio-economic analysis and implementation to strengthen the participatory aspects of projects. The observations in this memo are "interim" for two reasons: (1) our work in the field ranges between one and two years so far, and (2) not all learning is yet accumulated centrally (we operate in a relatively decentralized manner, practicing what we preach). We will be preparing a more extensive and detailed analysis of what AID can do to promote participation in its projects, drawing more fully on the knowledge we have gained in many settings.

The missions and projects we have worked with most extensively are:

- (a) Jamaica: Integrated Rural Development Project;
- (b) Yemen: Local Development Association Project;
- (c) Botswana: Rural Development Sector Grant; and
- (d) Sri Lanka: Gal Oya Water Management Project.

We have worked with other missions less intensively or less directly on participation issues, but our interaction with them also contributes to our understanding of the problems of increasing participation in and through AID projects.<sup>1</sup>

The missions we have been working with have indicated a particular interest in working on problems of participation and we have valued and learned from the collaborative relationships. Under the cooperative agreement, our task is to be of assistance to missions and to be developing knowledge of broader use to AID and the

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<sup>1</sup>Cameroons (Community Development), Costa Rica (Land Titling and Community Development), Dominica (Local Government), Dominican Republic (Agricultural Sector Assessment), Egypt (Decentralization), Indonesia (Land Settlement Evaluation), Liberia (Training for Decentralization), Nepal (Participatory Rural Development), Philippines (CDSS and Project Formulation Participation), Tunisia (Monitoring Decentralization). In addition we have done case studies on participation in agricultural research in Guatemala, Honduras and Cameroons, in decentralization in Tanzania and Philippines, and in paraprofessional programs in Bolivia, Guatemala, Philippines, Senegal, Sri Lanka and Upper Volta.

development community. The latter efforts sometimes makes us look like "Monday morning quarterbacks," second-guessing persons who had to be calling the plays as they came along. It should be said that we have great respect for those with whom we have worked and we cannot say that we would always have done differently or better at that stage under the circumstances. We hope our comments will be received in the spirit they are given, not as fault-finding but as helping to build knowledge on a very important subject on which there is very little systematic knowledge to draw on. We focus here on what AID might do institutionally to promote and sustain participation, especially by the poor majority.

### **Approach**

1. There is need to be clearer and more concrete about participation in project documentation. Although participation is a complex subject, it can be analyzed and dealt with more tangibly than is done in most project planning and assessment.<sup>2</sup> Exactly what participation is expected, and from whom, should be thought through and stated, and responsibility for supporting this participation should be assigned. Even though the projects we have been working with are probably better than most when it comes to provision and support of participation (the Sri Lanka mission, for example, introduced water user organizations into the project design after the consultants and host government had ignored them), there is still considerable ambiguity on "participation" in a number of projects. This contributes to glossing over participation efforts once projects are underway. Neither mission leadership nor AID/W should accept generalities about "participation" when greater specificity is both possible and desirable.

2. All assumptions about participation need to be checked out with proposed participants/beneficiaries. Though it is unrealistic, as well as inconsistent with a participatory approach to development, it sometimes happens that projects call for farmer participation in bench terracing or in field channel cleaning, for example, without having consulted with the farmers to determine whether they are willing and able to do this and on what terms. Without wishing to further burden the documentation process, it seems there should be genuine consultation with proposed participants/beneficiaries concerning their participation, and some documentation on the outcome of this consultation.

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<sup>2</sup>Means for applying "participation" analysis are presented in John Cohen and Norman Uphoff, Rural Development Participation: Concepts and Measures for Project Design, Implementation and Evaluation, Cornell University, Rural Development Committee, 1977; also in Cohen and Uphoff, "Participation's Place in Rural Development: Seeking Clarity through Specificity," World Development, March 1980.

3. There is need to learn how to introduce and support participation in specific settings. Mechanistic approaches to participation and to setting up local organizations do not work. Everything we have seen supports the argument of David Korten that trying to develop a "model" or a "blueprint" and then to replicate it through staff who have not gone through the "learning process" from the outset is failure-prone.<sup>3</sup> It is best to start out with considerable humility and open-endedness, and to be prepared to experiment and adapt. This approach is needed to build up a cadre who thoroughly understand the problems, have confidence in their ability to cope, and are committed to seeing the effort through. Effective communication and problem-solving capacity cannot be decreed, but must be nurtured.

4. Realistic participation objectives should be set, with some flexibility in terms of schedule. The observations in paragraphs 1 and 3 above are not contradictory, though they may seem so on superficial examination. The objectives of participation need to be clear, formulated in accord with ~~to~~ paragraph 2; the means then need to be devised as suits the circumstances. One project we know specified a "target" of organizing 19,000 farmers within four years, when there was not yet even a framework or cadres for this in place. It might be possible to satisfy this target formalistically, but not in a way that would yield sustained and effective participation. As AID and others get more experience with participatory approaches it will become easier to set more realistic objectives and schedules for projects.

5. Care should be taken that "concrete" activities do not displace the experimentation and support needed for participation. Because more "progress" is shown by construction, which involves getting equipment in place and meeting tangible targets, there is tremendous temptation, even pressure, to short-cut the needed nurturing of participatory institutions and practices, including the reorientation of technical and administrative staff working with rural people, as discussed below. Especially as difficulties are encountered, and when "the people are not cooperating" to help meet project schedules, we see impatience and a wavering in the enthusiasm for participation. It is tempting to substitute physical accomplishments for real development of productive capacity in the country. But fencing ranches or dredging channels produces little benefit unless people are prepared and organized to utilize them. Supervisors of project managers need to be supportive of the "software" side of

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<sup>3</sup>Korten's analysis is one of the most valuable we have seen: "Community Organization and Rural Development: A Learning Process Approach," Public Administration Review, September-October 1980. He has been working with our project in Sri Lanka.

projects, because certain kinds of insistence on "results" will drive out efforts at institutional development.<sup>4</sup>

6. While there can be no direct "transfer" of models for participation, there can be useful interchange of experience. While the "learning process" approach described above requires in-country evolution of an appropriate framework and reliable cadre, learning from others' experience, particularly similar LDCs, can be very useful. Our consultants and researchers have been able to make useful suggestions and help persons in-country focus on key issues by drawing on experience elsewhere. We would also stress the value of direct exchange of experience, by bringing in officials or researchers from LDCs and sending key project personnel to visit places with some success in fostering participation. Under our cooperative agreement, for example, we have brought the Bangladesh Secretary of Agriculture, a knowledgeable proponent of participatory approaches, to Nepal, and Philippine officials experienced in organizing irrigation associations to Sri Lanka.

7. Work needs to proceed according to the local tempo, with due appreciation of local ways of doing things. This does not mean that project managers should not be "pushing" things along — they should and must. But the "touch" should be appropriately firm or delicate, depending on the people involved, the source of resistance, the cultural norms, etc. This has been particularly evident with the Yemen project. There are inevitable temptations, and pressures, to override local practices in order to meet project deadlines. Sometimes this is justifiable and may indeed open up new participation possibilities. But our caution, based on observation, is that forcing issues usually results in hollow victories; the schedule may be met, but the supportive behavior is not achieved. AID/W and mission leadership should treat schedules as indicative,

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<sup>4</sup>A project in Botswana before we started working there exemplifies this, the first Range and Livestock Management Project, designed, financed and staffed by AID. The aim of this project was to develop socially acceptable and economically viable groups of small stockholders which would utilize improved range and livestock management systems. Although the project was designed as a research program to foster and examine appropriate systems, its purpose became, instead, establishing over a dozen group ranches within communal areas along classic three-paddock lines — "Texas ranches for groups," as the Odells describe them. Unfortunately, AID involved no staff with any training or skills for dealing with the complex human relations tasks of organizing groups. "After largely futile and misunderstood initial attempts to develop group ranches, the goal was reduced to establishing only three such units. In 1977, the project was phased out having managed to get only one ranch, with 15 members, off to a very shaky and problematic start." Marcia and Malcolm Odell, "Pastoralism and Planning in a Semi-Arid Environment," paper prepared for Workshop on Pastoralism and African Livestock Projects, Harper's Ferry, West Virginia, September 1979, p. 25. An investment of staff and time in figuring out how to get such groups established, the original project purpose, would have produced more and better results.

emphasizing that results for the longer run are more important than checking off "accomplishments."

8. Care must be taken not to create exaggerated expectations. This is one of the most difficult admonitions because to some extent it contradicts paragraph 2 above. The mere presence of outsiders creates expectations, and the temptation of outsiders, in order to elicit cooperation or simply to reciprocate hospitality, is to make implied or explicit promises. This can end up slowing implementation unless everyone is clear about how things are expected to proceed, what will be the respective responsibilities of AID, government and local institutions, and how the project will have to evolve with local inputs. If expectations are aroused that an AID cornucopia is about to open, this seems to stall participation rather than fuel it. More, and more culturally sensitive, up-front discussions, even negotiations, with local representatives seem necessary to ensure that implementation will proceed with good will and cooperation.

#### **Data Base**

1. While a "process" approach involves much learning while doing, some more adequate pre-project applied research is usually needed. We would withhold such a recommendation as self-serving if we did not have experience in all the cases that misconceptions about rural people's needs, constraints, strategies and potentialities inhibited good project design. The Botswana government's focus on improving management of small dams by government-instigated groups makes less sense once one understands herders' strategies for utilizing many different water sources constituting a complex system. The soil conservation measures proposed in Jamaica took insufficient account of paradoxical but real labor shortages in the project area (though the economy is labor-surplus). Both the Yemen and Sri Lanka projects provided for extensive socio-economic data gathering with the start-up of the project, but some design features did not "fit" the situation as it became better understood. We appreciate the need to get activities started and to show some results, and the plea for "more research" should not be a substitute for activity. But there is by now enough evidence of unfruitful action predicated on insufficient understanding of the environment that missions should take seriously the motto of "walking on both legs," action and research. If one starts walking without full knowledge, one must be prepared to change course as more becomes known. This is the essence of a learning process approach, since some things can never be known except in the context of practice.

2. More participatory approaches to data gathering are appropriate. Even when efforts are made to get pre-project data or to monitor project implementation, too

often they are exceedingly "top-down," not involving the intended participants/beneficiaries in any substantive way. We find this to be a mistake, as outsiders (even nationals who do not live in the area) bring preconceptions and are likely to miss many things if they do not have long, open-ended, receptive interactions with local people. Our Botswana team stresses that findings should be brought back to the communities for discussion with the people concerned, to check out the inferences drawn from data, no matter how scientifically gathered and analyzed. This takes a little more time and some more resources, but the payoff is much more than proportional. This is not to argue for long, drawn-out data gathering, since "quick and dirty" methods are often justifiable. But the latter methods to be useful require even more involvement with local people than do conventional research methods, and not just with a few leaders.

3. The data to be gathered in consultation with local people include not only socio-economic matters but technical questions as well. It is recognized that local practices, organization, needs, etc. can be better understood by talking with local people. But we would stress their having technical knowledge worth soliciting and heeding, to guard against unrealistic plans and designs. Even in technical judgments as "concrete" as the design of a dam, we have examples where farmers told the designing engineers that the planned structure would not withstand the flow of water at floodtide. There were some very embarrassed engineers when the dams did indeed wash out a few months after completion.<sup>5</sup> In all the projects we are working with, there could usefully have been more interaction with local people on technical as well as organizational and socio-economic matters. There are many things which it does not require a college degree to understand, and which may not be understood by those with degrees.<sup>6</sup>

4. What data gathering is done is usually produces aggregate or average statistics; implementing a participatory strategy requires spatial information. In our experience, not enough attention has been paid to getting adequate maps. Aggregate numbers do not tell us about concentration or dispersions of population, about travel

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<sup>5</sup>The washout of the NIA dam at Laur in the Philippines is reported in Korten, "Community Organization and Rural Development," op. cit. A similar instance in Nepal with a project is described in a very instructive case study by Bihari Shrestha, in The Practice of Local-Level Planning, U.N. Economic and Social Commission for Asia and the Pacific, Bangkok, 1980.

<sup>6</sup>If farmers had been consulted on terrace construction techniques in Jamaica, it seems unlikely they would have approved of the plan to bring in caterpillar tractors for the job, since they could have pointed out that the sites for construction were often inaccessible to heavy machinery, and getting there would require knocking down the coffee, banana and other trees that provided a family livelihood and protection for the soil.

times, or jurisdictions. In Jamaica, where project areas were delineated according to hydrological boundaries, existing communities were divided. Participation was more difficult to get when some communities were half in the project area and half out; and some were even divided among three or four project sub-areas, each to work through a different committee. In Sri Lanka, engineers needed more spatial information on the irrigation system to be rehabilitated, but also our efforts to plan an organizational strategy were impeded by lack of information on field channels and distributaries, not knowing how much area and how many farmers there were throughout the system, and not knowing how they were distributed. In Botswana our team took out a graduate student to do maps from aerial photographs so it could carry out its study of water points; those maps quickly became "hot items" for all government departments and donor agencies. Our experience has brought shown how important it is to "think spatially!" when undertaking planning and promoting participation — and to have the data (maps) to do this.

5. Data to be gathered in project planning include "historical" information on what has been done or tried before. AID like the governments it works with has little "institutional memory." More effort should be made to learn from past experience. In Jamaica, it turned out that 20 years earlier there was an almost identical project in the same area, but no connection had been made with this in project planning. It was farmers who told us about this earlier experience, and about the problems that project encountered, very similar to what was happening now. The consultants who designed the Sri Lanka project took no note of an extensive government evaluation of the Gal Oya scheme done just 8 years before. It reported farmers' grievances that affected our efforts to get their participation in system rehabilitation, but the project design did not reflect these. For lack of historical perspective, we keep re-inventing faulty wheels. More participatory approaches require sensitivity to past experience and should also elicit such experience from proposed participants/beneficiaries for consideration.

### **Local Organization**

1. There is a need to assess existing organizational arrangements and potentialities in the project area when designing a participatory strategy. This is the kind of work we have been involved in with the RDPP and we think the experience shows how useful this is. There is a tendency in project design either to try to lay a lot of responsibilities on existing organizations for which they are not suited or at least not prepared to undertake, or to bypass them entirely and to start up new organizations. Our general conclusion so far is that efforts should be made to try to work out

arrangements with existing organizations, though sometimes new organizations are necessary.<sup>7</sup> The time and effort involved in setting up the latter is likely to be underestimated in project planning.

2. Care should be taken about "overloading" participatory organizations and expecting too much from them at the start. Whether working with new or existing organizations, this caution applies. The imposition of formal "Western" practices in organizations seems often to bring out their weaknesses without capitalizing on their strengths. In Sri Lanka our strategy is to defer establishing formal water user groups until the members have been involved in planning and helping rehabilitate the system through ad hoc mechanisms. Farmers are cynical about "another" organization initiated by government (they have seen many over the years), so it is important to establish the utility of specific group action, and to bring forth task-oriented rather than status- and power-oriented leadership. Our review of experience with many other local organizations supports the generalization above, as we find most successful organizations starting with a limited set of responsibilities, sometimes only a single function, and then evolving broader responsibilities as members' confidence and leaders' competence increases.<sup>9</sup>

3. There is a danger of AID efforts being "coopted" in ways that counter its aim of helping the poor majority. This should not immobilize efforts, but project managers and supervisors should be conscious of it. This cooptation can be at two levels. The

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<sup>7</sup>The Jamaica mission asked us to do such an assessment of existing organizations in the project area, and our team concluded that the Jamaican Agricultural Society branches, though not always operating effectively, offered a reasonable channel for participation. (Their membership paralleled the size distribution of landholdings in the area, and women were active in them, frequently serving as officers.) For whatever reasons, the project management (not AID) decided to set up entirely new organizations, comparing (we think) the imagined ideal operation of these with the actual unimproved performance of JAS. We were asked to continue working with the project and to monitor the establishment of Development Committees, which have become de facto JAS branches. The Botswana project referred to in footnote 4 above was another example of trying to introduce new organizations without appreciating the experience and possibilities of existing organizations.

<sup>8</sup>The small dam management groups we have been working with in Botswana were told to collect user fees (per head of cattle taking water from the pond) without having calculated how much money was needed for what kind of maintenance. Much less was needed than government rules provided for, so the whole mechanism fell into disuse. This was a source of friction between farmers and government staff, who basically did not understand farmers' use of resources in that eco-system anyway.

<sup>9</sup>We are doing a systematic analysis of many dozens of local organizations, supplementing what we are learning from our field work, to prepare a state-of-the-art paper. This should give more detailed guidance on these matters in project design and implementation.

government may try to use the organizations being established or assisted to further its objectives even at the expense of what rural people see as their interests, or local elites may dominate the organizations and exploit resources for their own advantage. We have seen these possibilities particularly in the Yemen and Sri Lanka projects, and AID staffers are aware of this. This danger must be handled deftly and diplomatically, seeking to broaden participation while maintaining the necessary support of government and local leadership.

### **A.I.D. Organization**

1. AID procedures and practices often impede participatory approaches to development. AID personnel are often more acutely aware of this than we are, and they are in a better position to suggest changes. The pressures to work according to set schedules and with quantified targets of performance have already been referred to. Used carefully, schedules and targets are helpful management tools, but they tend to become ends in themselves and can displace the activities and thought which need to go into making participation a reality. One thing we would emphasize is for AID staff and contractors to spend time, even sustained periods, in the project area. Otherwise they are not part of the "learning process" and even become impediments themselves because they do not know and appreciate field conditions. Priority is too often given to desk responsibilities, keeping staff in the office, and there are frequently transport problems which thwart good intentions. AID/W and mission leadership should be able to reshape their policies and practices so as to support more participatory approaches, particularly by getting staff more often into the field.<sup>10</sup>

2. The larger the project, the less likely it is to be participatory. This is not an iron law; with conscientiousness and imagination, participatory provisions can be built into large projects. But the general correlation between size and less participation is clear.<sup>11</sup> Project design and approval processes have gotten so cumbersome that it is

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<sup>10</sup> Many of these issues are discussed in Coralie Bryant, "Organizational Impediments to Making Participation a Reality: 'Swimming Upstream' in AID," Rural Development Participation Review, Spring 1980.

<sup>11</sup> A study just completed by the Agricultural Projects Service Centre in Nepal, dealing with a random selection of small-scale irrigation projects found: (a) projects designed to irrigate larger areas proved to be less suited for popular participation than ones designed for smaller areas, and (b) heavily funded projects failed; successful participation in projects was inversely correlated with outside financial and administrative assistance. The APROSC study also found that (c) local participation in the decision-making process helped to identify more technically viable projects (recall paragraph 3 above under Data Base), and (d) there was a positive correlation between popular participation and agricultural improvement.

"inefficient" in terms of administrative costs to deal with smaller projects, but if the larger projects are themselves inefficient in use of economic resources, as they usually are, the case for smaller projects is still strong. The distorting effects of pressures within AID (as within the World Bank and other development agencies) to "move money" are widely recognized by practitioners within the agencies. As suggested, these pressures are built up by the organization's own procedures and reward structure and can only be changed by the organization itself.

3. The legislative requirement that projects be "planned" thoroughly in advance, especially as presently interpreted, inhibits participation. Some of the most serious efforts within AID to prepare participatory (and broadly effective) development projects, such as the Rapti IRDP in Nepal and the Arusha Region Planning and Village Development Project in Tanzania, have been hamstrung by the way section 611a of the Foreign Assistance Act has been applied. We have not been associated directly with these projects but know about their difficulties from persons who were actively involved. Perhaps Congress, which says it wants more participation, has to re-think this provision. This issue deserves attention at the highest levels of AID. It is clear, for instance, that the Small Farmer Development Project in Nepal, which an IFAD mission called "one of the best models of participatory rural development in Asia" could not have gotten funded by AID, though now that it is successfully started by FAO, other donors including AID are trying to incorporate its elements into their projects.<sup>12</sup>

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<sup>12</sup>On the SFDP, see the case study by Shrestha cited in footnote 5. Groups of 10-15 small farmers, assisted by a Group Organizer from the Agricultural Development Bank, get group loans for productive enterprises, and as members become willing, branch out into activities like adult literacy, family planning, public sanitation. Some remarkable improvements in income and well-being have already been documented by APROSC and other agencies.

A former Finance Secretary of His Majesty's Government, B.B. Pradhan, suggests that external financing agencies pose a potential danger to the SFDP. "In spite of some relaxation in the appraisal of 'new-style' projects, they look for a project with concrete components without which the economic rate of return, an essential indicator (for them), cannot be determined. Such a project formulation goes against the very concept of SFDP. It is up to the beneficiaries to decide about the sub-projects; the outside agencies must keep their hands off."

He voices the further caution: "Another possibility is that the subject-matter specialists assigned to appraise the projects have no feel for the project and naturally seek the (same) sophistication as in a conventional project...the investment scale of the sub-projects in the SFDP under preparation range from a mere \$8 to a maximum of \$8,895, the average being \$173...an expert costing \$200 a day to assess investment projects worth \$173 on the average beggars imagination." "Strategy of the Development of Small Farmers through Group Approach: The Case of Nepal," paper for workshop on Small Farmers Development and Credit Policy, organized by Ohio State University under cooperative agreement with DS/RAD, Kathmandu, April 1980, pp. 45-46. The SFDP has been getting results which larger, more expensive undertakings, like the World Bank's IRDP in the same area, could not achieve.

4. Project design should not be treated as a "pre-project" activity only. Our experience gives a lot of credence to Albert Hirschman's thesis about "the hiding hand" (Development Projects Observed, Brookings, 1966). A project design effort seeks to identify problems and find technical and organizational solutions. However, the most fundamental and critical problems often become apparent only after project implementation begins. In the Sri Lanka case, now that the Water Management Project is underway, we along with the mission are becoming ever more aware of a problem treated only lightly in the design: the orientation of the Irrigation Department's engineers toward working with farmers. The cooperative agreement gives us some flexibility to bring some resources to bear on this fundamental problem, but we are working against the pressures described in paragraph 5 under Approach—the tendency, in this case literally, to pay more attention to "concrete" activities than to training and organizational efforts. One of our faculty members has concluded that most projects should be planned to be re-designed after two years, when implementation has made clear what the "real" problems are. Of course, if the project is designed so as to be effectively participatory, such mid-course corrections can be introduced routinely. (This assumes the problem raised in the previous paragraph has been resolved.)

### Special Problems

1. Women's participation continues to be a difficult problem to deal with. The projects we are working with are probably at least average in the attention devoted pre-project to women's participation, and those implementing the projects are sensitive to these issues. But whether the problem is marketing systems in Jamaica, domestic water supply in Sri Lanka, access to productive resources in Botswana, or village decision-making in Yemen, pressures for implementing what is seen as the "core" of the project tend to lower the priority given to solving problems that particularly affect women. We have been working on some of these problems with missions and know how difficult it is to resolve many of them.<sup>13</sup> At any rate, we conclude that relevant women's participation needs to be designed into the "core" and not be formulated as one of many project components.

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<sup>13</sup> See for example, Louise Fortmann, "Women's Involvement in High-Risk Agriculture: The Botswana Case," paper prepared for Ford Foundation Workshop on Women in Agricultural Production in Eastern and Southern Africa, Nairobi, April 1980. One of our anthropologists doing village studies of LDA decision-making is a woman with previous research experience in rural Yemen. It may be that while women have no public role in decision-making, they may have a substantial and now even decisive role through private consultations.

2. Obstacles to greater participation from the poor majority often lie with the government bureaucracy rather than with the people themselves. There is a tendency when trying to promote involvement to focus on small farmers, women, artisans or others and to see them as the source of the problems restricting their wider project participation. We are finding that people's participation or non-participation is often a "rational" response to their environment, which is shaped by the technicians and administrators of the government. This has been most evident in the case of water management, but the principle applies more generally. Our greatest concern in trying to promote participatory irrigation organizations in Sri Lanka is that unless and until technical staff change their attitudes and behavior, one cannot reasonably expect farmers to change theirs. We are concluding that a major element of any effort to increase participation has to be a deliberate program, supported from the highest levels of government, to reorient administrators and technical staff toward working more cooperatively and respectfully with the poor majority. Interestingly, the first request we got from an LDC government after our cooperative agreement started was for assistance in setting up just such a program.<sup>14</sup> It will be part of our activity for the missions in both Sri Lanka and Costa Rica, where they and at least some top government officials see the bureaucracy's orientation as a barrier to participation. Experience gained in the National Irrigation Administration of the Philippines, with technical assistance from Ford Foundation advisors, points up the possibilities for such a program paying off. As stated above (paragraph 3 under Data Bases), there are sound technical reasons for fostering closer communication and cooperation between officials and intended participants/beneficiaries. However, prevailing attitudes that pervade the educated class inhibit such exchange. It is not certain how, or how much, reorientation can be accomplished. But we see it as a necessary effort in many if not all projects seeking participation.

These observations and suggestions grow out of a wide range of experience, though we would be the first to say that our understanding of the issues and solutions is still developing. We look forward to what we can learn from our continuing interaction with missions and will be prepared to state recommendations with more confidence and refinement in the future.

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<sup>14</sup>The head of the planning office in the Ministry of Agriculture in Peru when he heard about our project on Rural Development Participation, wanted to develop a program for his Ministry's ingenieros agronomos, whose relations with campesinos were often conflictual and usually unproductive. Unfortunately from our viewpoint, the mission director at the time was not interested in having us work with the Ministry. The need for such a program is graphically portrayed in Sean Conlin's article on Peru, "Participation versus Expertise," International Journal of Comparative Sociology, 1974.

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