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TOWARDS SUSTAINABLE DEVELOPMENT BENEFITS:
A Community-based Regional Planning & Development Strategy

REPORT OF A REORIENTATION STUDY FOR THE TRIBAL AREAS DEVELOPMENT PROJECT (TADP) AND THE NORTH WEST FRONTIER AREA DEVELOPMENT PROJECT (NWFADP)

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MAIN REPORT

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PREFACE

This study, while focusing on some of the most remote and underdeveloped areas of Pakistan, summarizes some of the dilemmas facing development planners and decision-makers today. These include the basic problem of trying to improve the quality of life for deprived yet expanding populations within a system of scarcity; of attempting to increase productivity and efficiency while simultaneously reducing dependency among people and governments; of laying the foundations for the sustainability of both a fragile natural environment and an institutional delivery system without access to the resources necessary to provide needed incentives; and -- perhaps most challenging of all -- to provide viable and attractive income alternatives for those who might instead be producing narcotics.

The study offers a strategy for comprehensive regional social and economic development, with both short-term tasks that can be undertaken within the limits of budget and time constraints, and long-range objectives. It sets forth a road map of proposed actions to be taken as additional resources become available, be they from the US, the Government of Pakistan, other donors, or the resources of the private sector through expanding opportunities for public-private partnerships.

Focusing on remote hill and tribal areas of Pakistan's North West Frontier Province, this report represents a first step in a process of strategic planning and decision-making that hopefully will continue for years to come. The product of three months of research by an international team of regional planning, information systems, rural development, and agricultural specialists, this document provides a useful model for an on-going strategic planning process. In that sense it can serve as a resource for both donors and local authorities as they work together to define the problems in greater detail and refine the recommendations into action plans.

A unique feature of the study was the iteractive feedback process used to keep local authorities involved with each phase of the research. Supported by USAID's Coverdale/Louis Berger Three Year Workshop Project, the study team held consultative workshops at the beginning, in the middle, and at the end of the study, providing an opportunity for local input at all stages. In the final workshop the participants were given a thoughtful critique of the study findings and main problems, and perspectives on conclusions and recommendations by a two person, "panel of experts," the first example in what is hoped to be an expanding network of critical thinkers who can be called upon to help shape future action plans. Following their presentations, the workshop participants reached a consensus both on a basic strategy and on the major recommendations for implementation.

Some of these recommendations and action plans can and will be supported through USAID's area development projects, thus demonstrating a process of assessment, analysis, and strategic decision-making that draws on a network of both local and outside expertise. It is hoped that this demonstration of the strategic planning process will serve as a model that the GOP can adapt to their specific needs and with which they can attract the support of other donors.

The training which USAID is already committed to provide over the next three years can help support requirements in each phase of the planning process--i.e. data gathering, analysis, decision-making assessment, and the participation of communities and local authorities in the overall planning, implementation, and assessment process.

EXECUTIVE SUMMARY

From October 5 through December 10, 1991, the reorientation study team for the Tribal Area Development Project (TADP) and North West Frontier Area Development Project (NWFADP) conducted field visits, interviews, and conferences to prepare a report to assist Government and USAID decision-making on how to increase and sustain the flow of development benefits from these major investments. This document and the accompanying annexes (Vol. II) reflect the results of that process as well as the direct input of a number of senior government officials gathered through a consensus-building workshop held in Peshawar on December 1, 1991.

A. The Critical Issues

The TADP funding allocation is US$ 27 million while that for the NWFADP is about US $55 million. Of this approximately US$ 13 in TADP resources US$ 8 million in NWFADP funds remain in the pipeline before the project completion dates (PACD) in 1994 and 1993, respectively. Of these funds at least US$ 8 million are available for reorientation programming within the terms of AID's "useful units of assistance." Judiciously combined with Government and community investments these funds could, if adequate time were available, contribute to initiating a process of economic growth with equity in the tribal and Gadoon-Amazai areas of North West Frontier Province (NWFP).

The reorientation study team concentrated on how, during the next three years, USAID/GOP resources can be used most effectively to help:

a) Insure a sustainable flow of benefits to communities; and
b) Increase government and community institutional capabilities to support this process.

The study also focuses on three areas for short- and long-term sectoral investment that are critical for future economic and social growth and development in the target areas:

- Developing planning and information systems
- Increasing community participation and resource contributions
- Improving agricultural planning and agribusiness development

At the request of USAID the study focuses on the TADP because the NWFADP has been evaluated recently and a separate reorientation plan is already under review. Consideration of linkages between the projects and areas of commonality among them were, however, maintained throughout the study.

B. Major Findings

The people of the tribal areas along Pakistan's North Western border and the hill areas of Gadoon-Arnazai have struggled for decades to make a living from their remote and difficult environment. Despite advances they remain relatively poor and have limited access to basic social services and physical infrastructure. The TADP and NWFADP, as part of a joint GOP/USAID commitment to lagging areas, have made important contributions to the integration of these remote hill populations into the mainstream of Pakistan's economy. Roads, irrigation channels, wells, small buildings, equipment, non-formal education, and training have contributed to improved communications, agriculture, social services, computerization, and planning capabilities, and helped raise the visibility, status, and training of women. While enormous obstacles remain in the quest for prosperity and equity, these contributions to infrastructure and local institutions build on well-established traditions of independence and self-reliance in settled and tribal areas. Together these provide a foundation upon which a sound program of participatory community-based planning and development can be built.

These foundations are jeopardized not only by the enormity of the problems still facing the lagging areas but also by an insidious dependency syndrome that has been developing for decades. In tribal areas, for example, local people are dependent on their appointed Maliks, Maliks are dependents on the Political Agent, the Agent and line agencies are dependent on Government, and Government is increasingly dependent on outside donors. With regard to planning, while some capacity exists within Government's Planning and Development Department (P&D), the resources, personnel, and training allocated to the Special Development Unit (SDU) that oversees both the TADP and NWFADP are extremely limited. Furthermore, the planning process for the settled and tribal areas generally tends to be top-down, expedient, and ad hoc in nature, concentrating on the programming of scarce resources.

Although the merits of involving communities in generating sustainable development have long been recognized by Pakistan's policy planners, a participatory development strategy has not been effectively adopted, primarily because of lack of clarity regarding the mechanisms for implementing such a strategy. The study examines the constraints and opportunities for popular participation. Among the constraints identified were government's law and order priority, a deeply rooted tradition of subsidies, restricted access to the target group, and the limits of time, budgets, and social organization expertise. The study reveals a number of promising areas for early action, including the strong individual-group relationships in tribal society, a tradition of local collective initiative, recognition by Government of the need for a participatory approach, and the availability of a number of proven tools for implementation, including viable non-government organizations.

The agrarian economy, while providing the backbone for rural incomes, operates in an environment of scarce natural resource endowment and limited physical and social infrastructure. With the notable exception of an improved horticulture subsector, and development of some new irrigation facilities, production follows traditional subsistence lines. Linkages are weak with provincial research, extension, input supply, and marketing systems requiring a mix of interventions involving Government, the private sector, and the farmer.

Poppy cultivation, which once dominated the Gadoon-Amazai area of the NWFADP, has been virtually eliminated and the local production and consumption system has been integrated into the provincial economy. These gains are in jeopardy, however, because of inadequate enforcement and the absence of modern technology packages for substantially increasing agricultural incomes. Counteracting the spread of opium cultivation in tribal areas will require significant expansion of horticultural and other private sector agribusiness alternatives.

C. The Proposed Strategy

The study proposes the initiation of a development strategy that moves from a concentration on physical infrastructure provided directly by Government and donors to a decentralized approach that is directed primarily toward building the institutional and social infrastructure necessary to increase production and net incomes of people in rural areas. If, during the next three years, such a strategy is built upon sound planning and maximum feasible community involvement in decision-making (with resulting local resource commitments), then the prospects for a sustainable flow of development benefits are improved.

Further, the study emphasizes the importance of the systematic and time-phased transfer of project-related, development decision-making and support functions from USAID to responsible government agencies during the next two to three years. Such a transfer is not likely to be successful unless it involves a genuine partnership among Government, USAID, and/or other donors. While financial constraints are real for all partners, planning must begin immediately for Government to provide adequate staff and recurrent budget resources so that USAID commitments to training and technical assistance can be harnessed for a rapid, though planned, transfer of current project resources to the Government.

D. The Main Recommendations

To implement this strategy, consensus was reached at the December 1 workshop around two main recommendations:

1. Government should move to a decentralized, information-based regional planning process, generating the vision and plan for dynamic and equitable growth.

2. Government, working in cooperation with NGOs and other private organizations, should place high priority on maximum feasible community participation in future TADP and NWFADP initiatives.

To accomplish these two interrelated objectives, further consensus was reached on the following subsidiary recommendations:

1. Priority in training and technical assistance should be on building provincial and local regional planning capabilities.

2. SDU/P&D should be developed as an institution for the provision of planning, technical support, and monitoring and evaluation services for externally-financed development initiatives in the defined areas. Under a phased plan, to be developed with the United Nations Drug Control Program (UNDCP), key resources of USAID's Technical Support Planning Unit (TSPU), TADP, and NWFADP should be integrated into SDU's structure as the Government expands its staffing and resource commitments.

3. Project management units (PMU) for externally funded projects should operate under SDU supervision, with each project, plus the government, contributing the necessary personnel and financial resources to perform central functions. More specifically, SDU, with USAID assistance, should immediately create TADP's PMU, with provision for supporting resources to SDU central functions.

4. SDU/P&D should take the lead in information systems design and technical support in the defined areas. TADP should fund the preparation of an information systems plan plus ongoing training and technical assistance. The Government should create the mechanisms for hiring and retaining the services of highly qualified information systems experts.

5. TADP's socioeconomic profiles should be modified to improve their planning and decision-making value and be used as tools for introducing strategic planning for the defined areas, under the auspices of SDU/P&D.

6. Community participation approaches should be introduced and tested in TADP and other defined area projects.

7. Community participation should be built around existing government and social structures and managed, initially, by a cadre of social organizers in the TSPU, to be located under SDU/P&D. Subsequent community participation management options could include building social organization capacity at the local Agency level, within NGOs such as the SRSC, or within a newly established provincial foundation.

8. A plan and a monitoring system should be developed for covering all O&M costs by the Government and by the beneficiary communities.

9. A training and assistance program should be implemented to institutionalize in SDU/P&D and other nation-building departments the use of Participatory Rural Appraisal (PRA) as a local-level community organization and planning instrument.

For the short-term, given the real constraints on time, funds, and staff resources between now and FACD, it is imperative that emphasis be placed on four key tasks:

- Build up the SDU in Peshawar into a fully functioning planning, implementation, and monitoring unit that can support operational project management units for the TADP and NWFADP. Draw on USAID's TSPU and Gadoon Project Management Unit, augmented by counterpart GOP staff. Implement planned construction of new facility immediately.

- Provide skilled social organizers for both the SDU headquarters and field operations in selected tribal areas and Gadoon-Amazai and give the social organizers maximum possible opportunity to implement pilot projects and to test new approaches. Action should commence as soon as practical and should utilize existing NGO and government structures to the maximum degree possible.

- Support, on a case-by-case basis, participatory pilot projects at the community level within selected TADP and NWFADP areas; draw on existing and evolving social organization expertise and work through those Political Agents and line agencies, such as FATA/DC, which show high interest and where initial success is deemed most likely. Promising activities include infrastructure, agriculture, and female education.

- Continue to draw upon the Coverdale/DEG Three Year Workshop Project to facilitate ongoing dialogue, planning, and network development in support of TADP and NWFADP efforts; include an intensive program of study tours, training programs, workshops, and field exercises; use the tools of Participatory

Rural Appraisal (PRA) to promote increased awareness, skills, and expertise among senior, mid-level, and field staff, and among local farmers and community activists.

As these efforts proceed, SDU/P&D should initiate dialogue with other donors to provide a coordinated "umbrella" package of funding support to the SDU, Tribal Areas, and selected settled areas. The recommendations in this report and the annexes in Volume II provide a potential framework for such a long-range funding package. Components of such an integrated package include:

- Regional and community-level planning
- Community participation initiatives
- Agricultural and private sector agribusiness development
- Non-government organization development, including public-private partnerships, at grass-roots, intermediate, and provincial levels

In conclusion, time is the scarcest commodity among those needed by the TADP and NWFAD to achieve the important and complex reorientation tasks that lie ahead. It is thus recommended strongly that USAID provide these two important projects with a no-cost extension of their PACDs.

I.
INTRODUCTION

From October 5 through December 10, 1991, the reorientation study team for the Tribal Area Development Project (TADP) and North West Frontier Area Development Project (NWFADP) conducted field visits, interviews, and conferences to prepare a report to assist Government and USAID decision-making on how to increase and sustain the flow of development benefits from these major investments. This document and the accompanying annexes (Vol. II) reflect the results of that process as well as the direct input of senior government officials gathered through a consensus-building workshop held in Peshawar on 1 December 1991.

Development planners and managers in North West Frontier Province (NWFP) face a series of problems and dilemma. As with development efforts anywhere, there is a surge of activity with the flow of donor assistance funds, but the "balloon" frequently collapses when the funding ends. For TADP and NWFADP time and money will run out when project funding ceases in 1993 and 1994. The governments of Pakistan and the US are facing major recurrent budget crises. Yet an ongoing and equitable flow of benefits must be assured and the substantial investments already made must be protected. People remain poor; infrastructure remains inadequate; business, non-government organizations (NGO) and government institutions, especially the nation building departments, remain weak; health conditions, child mortality, education, and literacy, particularly among females, remain among the lowest in the world; the natural environment is decimated.

This report addresses this dilemma by providing a framework for sustainable development as well as short- and long-range actions which can help ensure sustainability. The document introduces a regional perspective for participatory planning and development. It recognizes that, while implementation has yet to begin, USAID and the Government of North West Frontier Province (GONWFP) have already come to substantive consensus on the future implementation of a comprehensive program of participatory rural development. Although the necessary supporting framework of planning, decision-making, and resource allocation has received relatively less attention, consensus has been reached that the Special Development Unit (SDU), the implementation and oversight arm of GONWFP's Planning and Development Department (P&D) for the defined areas, requires significant strengthening. This study builds on the workshop consensus, recognizing that the link between planning and the community is essential. It suggests mechanisms to help forge that linkage by engaging local residents of the concerned communities in a dynamic and interactive planning and development process.

Planning for sustainability should be central to any development initiative. Planning was not a major part of the design of TADP and NWFADP, but the intention, time, and resources exist for building a system through which sound participatory planning and development decision-making that directly involves local residents can make a difference in people's quality of life and their control over their own, and their children's, futures.

A. Purpose of the Study

The purpose of the study is to assist GONWFP and USAID to review activities undertaken since 1989, to assess current strategies and directions, and to make recommendations for maximizing the impact and sustainability of project activities after the termination of project assistance in the TADP and NWFADP project areas. Essentially, the study seeks means of achieving three main objectives:

- Maximize impact: ensure that the resources--financial, material, and human--invested under these programs promote, to the maximum degree possible, economic growth and social justice

- Achieve sustainability: promote the ongoing flow of benefits from these inputs after funding ceases

- Protect investment: ensure that the inputs provided by both Government and the donor result in appropriate financial and socio-economic returns

The study also focuses on three areas for short- and long-term sectorial investment that are critical for future economic and social growth and development in the target areas:

- Developing planning and information systems
- Increasing community participation and resource contributions
- Improving agricultural planning and agribusiness development

To achieve these objectives requires establishing a context, including a basic framework for analysis and a review of parameters and achievements, within which findings and conclusions can be put forward for discussion. This paper attempts to synthesize the study's main conclusions and recommendations as a starting point for that discussion. In-depth treatment of the complex issues raised here is presented in the study's detailed annexes (Vol. II).

B. A Basic Development Framework

The basic approach taken by the study is grounded in two assumptions about the rural development process drawn from the accumulated experience of seasoned development professionals in Pakistan and elsewhere in Asia, Africa, the Middle East, and Latin America:

- Sustainable development is possible only when there is a reliable flow of economic returns and benefits to target populations who have the capability to solve their own problems, with responsive public and private sector support mechanisms.

- To achieve that sustainable flow of benefits, in turn, requires a clear and workable planning strategy for regional growth and development; that strategy should be built upon ready access to and the intelligent utilization of information for decision-making, and should devolve authority and responsibility to the local level, empowering people and their local institutions, rather than building dependency.

C. Study Approach and Methodology

The Development Economics Group/Louis Berger team consisted of:

Team leader/ Rural Development Specialist	Malcolm J. Odell, Ph. D.
Social Scientist/Economist	Shahid Perwaiz, M.A./M.Sc.
Agricultural Planner	Mian Mumtaz Ali, M. Sc.
Regional Planner	Charles F. Sweet, Ph. D.
Information Systems Analyst	Shahid Mir, M. Sc.
Public Administration Specialist	Moh'd. Yaqub Bajwa, M. Sc.

The team was joined by agriculture, engineering, rural development, public administration, and women in development specialists from GONWFP and USAID, who contributed information, insights, and written reports to the study.

The study began October 5, 1991 with approximately one week of background research and interviews with Government and USAID officials in Peshawar. This was followed by a planning workshop on October 14 with a reference group representing GOP and USAID which sought guidance and support regarding goals, objectives, methodology, resources, and field visits. (See Annex Q for a summary of the collaborative workshop approach used.) Next came an extensive program of site

visits that involved approximately 5000 km. of air and road travel, interviews with over 100 officials and 125 smallholders in 30 towns and villages of Bajaur, South Waziristan, North Waziristan, Kurram, and Khyber Agencies, and in Kohat, Charsadda, Mardan, Swabi, (Gadoon-Amazai) Districts.

The team was also accompanied by the USAID Women in Development Specialist for several of the field visits who provided insights into gender issues and enabled approximately two dozen interviews with female respondents to be included in the sample.

The team leader also visited three urban settlements and rural villages in Sindh Province to examine models of participatory development being tested by the Orangi Pilot Project and to discuss preliminary study findings with rural development expert, Dr. Akhter Hameed Khan. (See Annex N for selected and annotated field notes and interviews.)

A mid-term review was held with the reference group on 5 November to share preliminary findings and conclusions of the study. This was followed by in-depth discussions with selected authorities augmented by several supplementary site visits. Field research used a combination of structured and unstructured interviews within a Rapid Rural Appraisal framework and pretested some of the Participatory Rural Appraisal techniques recommended by the study. (See Annex H.)

The final review workshop was held 1 December 1990 at the Pearl Continental Hotel, Peshawar, to review and seek consensus on the recommendations of the study team and to specify an action plan for their implementation. For this workshop short Summary Discussion and Working Papers were circulated. These papers, together with the comments of a panel of two independent experts, Dr. Tariq Banuri and ACS Khalid Aziz, served as the basis of the consensus-building discussions. (See Annex O.)

On January 27, 1992, DEG sponsored a Development Forum for the NWFP Chief Secretary Azam Khan covering critical past and present policy, operational and institutional issues and decision making in the NWFP and tribal areas of Pakistan. Some of the areas covered included privatization and private sector development, effective planning for dynamic economic development, environment and natural resources, public-private partnerships, information system development, and institution building. This afforded the Chief Secretary, Frank Pavich of USAID/Pakistan, and representatives of firms working in the NWFP and tribal areas the opportunity of exchanging views on these subjects and sharing the preliminary findings of this study. These discussions will feed into the Coverdale/DEG project number 391-0471-C-00-1794.

Acknowledgements

We would like to extend our particular thanks to Frank Pavich and Iftikhar Hussain of U.S.A.I.D./Pakistan, as well as, those people noted in Appendix E for their imput to the report.

D. Organization of the Report

The report consists of two volumes, the first being of an overview of the problems addressed and a summary of the findings, conclusions, and recommendations of the study. It takes into account the input of the consensus-building process utilized throughout the study. It also includes a proposed critical events calendar together with a list of the key officials and documents consulted during the research process. The second volume, consisting of six sections and 19 annexes, brings together the detailed data and analysis upon which the report in Volume I is based.

The first section of Vol. II consists of a paper entitled Tribal Areas Development and Issues for TADP Redirection. The paper provides a political, administrative, economic and social profile of tribal regions adjoining North West Frontier Province , and highlights issues for TADP reorientation. The major issue discussed in the paper relates to TADP priorities, program as against project funding, project implementation responsibilities, community participation, private sector development, opium poppy abatement, and the sustainability of TADP activities.

Section two focuses on regional planning and its role in the reorientation of both the NWFADP and TADP. It includes four annexes, Regional Planning Concepts and Approaches (Annex B), TADP's Socio-Economic Profiles: An Assessment and Recommendations for the Future (Annex C), Developing Effective Information Systems (Annex D), and Improving Development Planning and Results (Annex E).

Section three of the study examines constraints and opportunities for popular participation and attempts to suggest mechanisms for implementing a participatory development strategy in tribal and settled regions of NWFP. It is comprised of four papers: Community Participation in the Federally Administered Tribal Areas Adjoining North West Frontier Province (Annex F), Local Initiatives: Building Blocks for Community Participation (Annex G), Starting a Community Participation Initiative: Participatory Rural Appraisal and Planning (PRAP) (Annex H), and Assessment of Sarhad Rural Support Corporation (Annex I).

Section four reviews the agriculture-related issues in tribal and Gadoon Amazai areas under four papers: Improving Agricultural Planning in TADP (Annex J), Improving

Agricultural Planning in Gadoon Amazai (Annex K), Generating Irrigation Systems Benefits (Annex L), and Agribusiness and Small-Scale Enterprises (Annex M).

Section five covers field visits to Tribal Agencies and discussions with Government Officials and Rural Development professionals, as well as including details of the workshop process. It is comprised of two papers: Selected and Annotated Field Notes (Annex N) and The Workshops (Annex O).

A final section includes a list of key people interviewed, itinerary for the study team, scope of work, and selected bibliography.

II.
THE MAIN STUDY FINDINGS

A. The TADP and NFWADP Development Objectives

The TADP and NWFADP are both part of a joint GOP/USAID commitment to the advancement of disadvantaged areas of NWFP. The specific goal of the TADP is to strengthen the capacity of Government and private institutions/NGOs to plan and implement economic development programs in the Tribal Areas as well as in lagging areas of the province. The project, funded at US $27 million, began in September 1982 and is to be completed by September 1994. An NGO component is being planned that will help develop a provincial organization to establish village organizations, conduct socio-economic surveys and profiles, support physical infrastructure projects, and train village specialists and office bearers.

The goal of the NWFADP is to support GOP efforts in Gadoon Amazai and other major NWFP poppy producing areas to change the local economy from one based on poppy cultivation to a diversified system with strong ties to the national economy. A secondary goal, beyond the scope of this study, is to assist the GOP in its drug awareness and demand reduction efforts. The project is funded at about US $55 million, started in August 1983, and is scheduled for completion in August 1993.

B. Summary of Project Progress and Accomplishments

The people of the tribal areas along Pakistan's North Western border and the hill areas of Gadoon-Amazai have struggled for decades to make a living from their remote and difficult environment. Despite advances they remain relatively poor and have limited access to basic social services and physical infrastructure. The study confirms the results of recent evaluations that the TADP and NWFADP have made important contributions to the integration of their remote hill populations into the mainstream of Pakistan's economy by helping improve communications, agriculture, social service, and planning capacities and services. The cumulative impact of the two projects has been notable. Together they have produced hundreds of kilometers of roads, irrigation channels, wells, schools, clinics, and village water supplies. They have helped introduce agricultural/horticultural improvements, established female non-formal education centers, and trained thousands of Pakistanis, including over 1000 women. In addition, they have helped computerize 5 government departments, established a national drug abuse prevention resource center and provided start-up funding for the Sarhad Rural Support Corporation, an independent provincial rural development NGO now supporting productive activities and savings programs in over 50 villages of NWFP.

The investments of the NWFADP have made up a substantial portion of total Government investment in the Gadoon-Amazai area and, relative to populations served, have been far greater than those in tribal areas. Its outputs to date include the design and construction of 74 miles of rural roads, 246 irrigation schemes, 179 potable water supplies, 153 schools (including 4 schools serving 500 girls from 6 villages), 40 electrified villages, and 9 health facilities. Immunization services are being provided to women and children of 4 Union Councils. Sixty female teachers have been trained and are teaching in 21 functioning NFE centers which have provided new skills to nearly 1200 women. The project also has established fruits and vegetables on 80% of the 2,000 acres of irrigated land, developed social forestry projects in 10 villages, and completed and handed over to GONWFP 21 veterinary dispensaries and 4 artificial insemination centers. Initial subsidies for wheat, fertilizer, orchards, and forestry have also been phased out. Institutional development and training programs have enhanced the computer capabilities of five implementing agencies, and provided advanced professional training for 157 Pakistanis locally and abroad.

In the case of TADP, project inputs amount to approximately 5% of the total GOP capital investment budget for tribal areas. With TADP funding significant, though less visible, achievements have been made. Fifty-one kms. of road have been built while 181 kms. have been surveyed and designed; 5 watercourses and 11 irrigations schemes are complete and 9 are underway; 13 tube wells/test wells have been drilled and 5 more are planned; 27 rural development schemes (mainly buildings, schools, clinics) are completed and another 79 are in process including 4 girls schools under construction; 117 Pakistanis have been trained locally and 25 abroad; 28 computers have been installed in project implementation agencies and staff training has been provided; and a short-term agriculture extension program for tribal areas has been completed and a second one launched.

Between the two projects a total of approximately US$ 21 million remain available for activities until the PACDs while approximately US$ 8 million remained uncommitted at the time of this study. If adequate time were available, this $ 8 million is thus could make an important contribution to implementing the recommended participatory planning and development activities within the parameters of AID's "useful units of assistance" for the "completion of basic infrastructure, agriculture, and institutional development."

C. Summary of Main Findings

1. From Independence to Dependence

Beyond summarizing the project outputs of the TADP and NWFADP, the study confirms that foundations are in place to build a successful participatory community-based planning and development strategy for improving production and incomes in both settled and tribal areas. The lack of access to the villages, of basic infrastructure and services, and of modern technology remains acute, particularly in the remote and underdeveloped tribal areas. However, as the following sections and Annexes in Volume II outline in detail, the potential exists for developing a viable partnership with local communities to increase agricultural production, economic development, and profitability.

The foundation for future development is the tradition of fierce independence and self-reliance of the tribal society. There is a long-standing commitment among tribal people to maintain their own cultural and economic identity. There is a well-established pattern of looking to their own resources for solving local problems. This does not mean that tribal society exists in isolation from the world, even if that outside world is routinely denied access to its communities. Tribesmen have long maintained active trading and smuggling ties with others, and their acuity in international commerce and their skill in playing off outside authorities to the benefit of tribal interests are world renowned.

Beyond this legendary independence, and the corollary tradition of conflict among factions and clans, is a relatively less well documented pattern of collective action in support of economic and social activities. Field study reveals that, contrary to conventional wisdom, communities frequently rise above their differences, both to face a common foe and to build and maintain productive economic infrastructure. Evidence of collective action for social services also exists. Together these factors provide a foundation for participatory community-based economic planning and development.

Despite this history of rugged independence, even isolation, tribal society has, in recent years, started to become highly dependent on Government. Local Maliks and their tribesmen bargain with the prevailing powers for amenities and services. They are expert at making demands and avoiding responsibilities. Under the Constitution of Pakistan, tribals are exempted from paying normal income and land taxes and frequently avoid paying such fees as electric charges, despite obligations to the contrary. Furthermore, it has become an accepted practice for Government to pay an "entry fee" for the privilege of building a road into a tribal area. Long lines of people bearing petitions or letters of supplication typically surround the offices of Project

Directors, Political Agents, and Commissioners in both settled and tribal areas. The Project Director, Gadoon, for example, typically has 20-25 people waiting in his courtyard on any given business day, seeking jobs, favors, or projects for themselves, their relatives, or communities. In the words of a seasoned Political Agent, confirmed by counterparts at a recent meeting in Peshawar:

> "Development is almost at the bottom of a very long list....A substantial portion of our time is taken up...with the endless procession of individuals who come though our offices asking for favors, concessions, and advice. Planning and strategic decision-making get precious little time or attention, our full schedules being devoted to brush fires."

During the hour that the study team spent in that office, at least half a dozen such people interrupted with such requests.

Thus, an insidious dependency syndrome has been developing in both tribal and settled areas for decades. In tribal areas local people are dependent on their appointed Maliks, Maliks are dependent on the Political Agent, the Agent and line agencies are dependent on Government, and Government is increasingly dependent on outside donors. In settled areas, like Gadoon-Amazai, the people have become dependent on their local Khan and/or Project Leader who, in turn, has become dependent on the Project Director or Commissioner who, similarly, looks to the government in Peshawar, and onward to Islamabad and another foreign donor. That such a dependency syndrome exists is not the issue. Rather it leads to two important questions that the study seeks to address:

1) Has this syndrome killed local initiative?
2) Is there a role for planning and policy action to restore, encourage, and/or sustain local initiative?

2. An Emerging Pattern of Local Initiatives

The answer to the first question is clearly "No." Local initiative, while definitely undermined by existing policy and development planning and decision-making systems, is alive and well in rural Pakistan. Analysis of both qualitative and quantitative data suggests four factors that stand out with regard to local initiative and dependency:

- Local communities are investing their labor and resources in both social and physical infrastructure, including schools, roads, horticulture, and irrigation.

- Agriculture, and especially the development of irrigation systems, is the major concern related to production and income generation.

- Local leadership and traditional institutions are the most important and effective planning and management tools used to implement projects.

- Access to resources, including questions of tenancy and poverty, play a key part in a community's readiness and ability to undertake local production and income generating initiatives.

Despite well documented reports of conflict and rivalries in tribal society, it can also be said that communities frequently rise above their well publicized differences, both to face a common foe and to build and maintain productive economic infrastructure. Evidence of collective action for social services is well documented. Together these initiatives provide a foundation for participatory, community-based economic planning and development.

During the relatively short research time (one month) which the study team was able to spend in the villages of both tribal and settled areas, a significant number of local initiatives became evident, although at the beginning of the research process such initiatives were difficult to identify. As the study team traveled through the tribal areas and discussed development issues with knowledgeable authorities in NWFP and the Agencies, a frequently asked question was:

Do the local people or communities undertake any development-oriented initiatives on their own?

To this a common response was:

No, not at all. They only look to Government, always making demands, but never taking responsibility for themselves.

Examples of Government-built roads, schools, clinics, and tube wells were often given, with frequent mention of unpaid electric bills, clinics being turned into hujras, and schools being built in order to get the Government allowances paid for Class 4 employees.

Further probing, however, revealed that local initiative was by no means dead. In follow-on group discussions with knowledgeable local officials from the Political Agent's office and line agencies it was discovered that someone always recalled that one community had built a school, another a link road. Such discussions, once started, invariably generated a list of such projects, the examination of which would

have taken twice the field time available to the team. An informal survey of such initiatives in Bajaur, South and North Waziristan, Kurram, Swabi, Kohat, and Charsadda uncovered the following projects undertaken with no government assistance:

- 10 shingled roads totaling 36.5 km., serving 23 villages
- 2 schools with 3 rooms, serving 5 villages
- 7 irrigation channels/water courses totalling 35 km., serving 36 villages
- 1 mini-hydroelectric plant serving 50 households
- 4 water-powered grain mills serving 8 villages
- 1 horticultural nursery and 5 on-farm propagation nurseries
- 1 independent social welfare society supporting female education and public health activities

In addition to these projects, which themselves constitute a very small proportion of all such activities in the combined NWFADP and TADP areas, the team saw literally hundreds of hand-dug wells and over 40 km. of traditional hand-dug underground water courses (Karezes).

Political Agents frequently reiterate a theme heard in the tribal areas and from those intimately acquainted with the structure and function of tribal society: the local institutions are intact and uniquely suited to promoting development interests. In fact, like many other knowledgeable observers, Agents generally find that these institutions are, in fact, working better than their counterparts in settled areas. In their view, in settled areas these local tribal institutions have been eroded by two centuries of colonial interventions, the chaos of partition, and the swinging pendulum of national politics that, by fluctuating between dictatorship and democracy, has undermined local institutions both philosophically and in practical administrative terms. The isolation and fierce independence of the tribal areas have protected local institutions from these destructive forces, leaving them relatively intact for planning and managing a decentralized development process built around local resources and management. In the words of another experienced Political Agent:

> "Contrary to conventional wisdom the traditional tribal system often works better in tribal areas than in settled areas. Tribal law, for example, can be a great help to the development process rather than the hindrance often alleged. Crime rates are actually quite low in tribal areas, despite what you might think from all the guns you see, and the stories you hear. During my tenure here for the past 2 years there have only been 4 hijackings (all resolved satisfactorily), oil explorers have been working undisturbed for 4-5 months, and there have been only 2 murder cases. These cases are fewer than in many comparable settled areas and they have all generally been

solved in a matter of days where it may take years in settled areas using modern legal procedures."

The tribal system is seen by most local people to be fair, firm, and efficient by comparison to that elsewhere. The tribal system of democracy is based on fierce independence, firm punishment of wrong-doing, and structured public debate that is articulated through a tribal consensus-reckoning and decision-making process...that promotes relative peace and security, which in turn encourages investment and economic development.

Independent confirmation by the team indicates that crime rates on a per capita basis are proportionately low in tribal areas, that poppy cultivation appears restricted to relatively limited areas, and that, generally, local institutions and decision-making systems are both intact and reasonably efficient, in spite of the erosion that has taken place since the colonial period.

While it appears that local leadership and traditional institutions have critical catalyzing, planning, implementation, and management functions to play, equity considerations require another arrow in the quiver. There is a crucial need for the Government, TADP, and NWFADP to establish contact with those villages and/or sectors of society, especially women, which do not have access to resources and information, nor have a voice that can be heard by the planning and decision-making systems which control resource allocations. Without a strong social organization capacity, therefore, a system built exclusively on existing local institutions and leadership structures will be like the stool with a missing leg: destined to collapse.

If the insidious process of dependency is to be stemmed, then the planning and decision-making system supporting development initiatives in the project areas must build on and support the tradition of self-reliance that has prevailed for centuries.

3. Planning and Information Systems

This leads to the second question, "Is there a role for planning and policy action to restore, encourage, and/or sustain local initiative?" The answer to this question, the study reveals, is a clear "Yes." To a large extent Government development planning is short-term or tactical and as yet bears little direct relationship to local initiatives or indigenous planning priorities. Annual plans are based on development funds, influenced more by political considerations than local consensus and systematic planning. Integrated area-specific or regional planning for the longer term is rarely being done. While most line departments have, on paper, planning units, they have inadequate and undertrained staff who seldom perform more than routine programming functions. (Annex B)

The SDU has virtually no planning capacity, in terms of staffing and support, and at the Tribal Agency level none exists at all. Line department and community leadership, appointed rather than elected in tribal areas, brings requests for projects to the Political Agent who, at his discretion, passes them on to provincial decision-makers. He, in turn, often responds as much to political considerations as to articulated policies, priorities, and analysis based on reliable information. Computer systems, while relatively highly developed within P&D headquarters, involve little more than the presence of equipment and basic expertise within most other departments. In the vast majority of cases computers are used for little more than word processing. (Annex B)

The PMU of the NWFADP provides a useful example of an exception to this pattern. Unlike tribal agencies and most settled districts, the NWFADP has a rudimentary planning capacity, utilizes project selection criteria according to agreed standards, and is supported by a relatively effective computer center. Yet planning is difficult at best. The Project Director, like his counterparts in tribal areas, is constantly besieged by local leaders and special interest groups to provide jobs and special favors. Furthermore, the political dynamics surrounding poppy cultivation have placed projects and all planning decisions under intense pressure. Said a former Project Director:

> "The PMU now employs over 400 people when we really need perhaps one-quarter that number to do our job. Of course, by phasing out poppy cultivation, people faced great economic hardship and we had to generate alternative incomes. Creating 'make-work' jobs is not the answer, but rational planning has been very difficult, sometimes impossible.

To deal with this extremely difficult problem the NWFADP, in a collaborative process that has involved villagers, local leaders, project staff, and leadership from the concerned GONWFP departments, has developed a carefully phased plan for staff reduction and hand-over of resources and responsibilities during the last two years of the project. While not without negative repercussions from the necessary but painful cut-backs, this collaborative planning process, and the planning capacity of the NWFADP itself, provides both a learning experience and potential resource for the SDU and the TADP as they look to the future.

The Role of Regional Planning

Regional planning is a learning-based process to encourage dynamic economic growth and to respond to quality-of-life concerns. More specifically, the process helps the Government to promote economic development through supporting economic and social investments, with people involved in the planning and implementation of

initiatives contributing their resources to, and sharing the benefits from, these initiatives. (Annex B)

The efforts to increase both local involvement in development planning and decision-making, and local resource commitments must be supported by sound planning, built on effective information systems. Preliminary efforts have been made to develop these capabilities; in particular, a strong data base has been created by the Planning and Development Department for the settled areas. Movement toward developing a similar data base has been made through both the offices of FATA Section of P&D and the socio-economic profiles prepared by the TADP of five agencies, but each of these data sources is still limited and their usefulness is likely to remain limited without further development. The analysis and narrative included in the socio-economic profiles, while making them more useful than the largely quantitative summaries now available from P&D for settled areas, will continue to be constrained by incomplete and suspect data until, for example, the national census is extended into the tribal areas.

The Role of Decentralization

The process of ad hoc centralized decision-making leads to a number of problems that suggest the need for a decentralized approach to planning and implementation. Furthermore, the current structure of information activities can be characterized as an inverse pyramid, with information flowing upward when, instead, the requirements for planning and decision-making are local. The reasons for this need to begin decentralizing the planning and decision-making process are manifold:

- The geographic size of the province, with its settled and tribal areas and its diverse population, makes provincial level planning difficult, if not unmanageable.

- Development initiatives must be tailored to the particular circumstances of different localities; only through ongoing local involvement in decision-making (with technical guidance and support) can effective development be identified and designed so as to respond to local needs.

- Development must be planned in the context of current and potential economic returns at the local level; only through decentralized local involvement will communities be willing to make the resource commitments which are necessary for achieving sustainable benefits.

- Decentralization of government planning and resource control contributes to the interactive process between officials and communities; it increases

accountability for government officials who can no longer blame the provincial and federal government for inappropriate interventions.

- Decentralization concentrates information and organizational activities at the level where they are most useful.

- Decentralization will reduce political interference because working relations will be concentrated and evolved at the district and tribal area levels, lessening manipulation at the provincial and federal levels.

- Decentralized planning and decision-making is more cost effective because communities and local officials know what exists, what is needed, and how inputs can be integrated to achieve desired development results.

The implications of these problems have been articulated clearly by a senior GONWFP official:

> "Together we must rationalize planning. In particular, we must move away from political criteria for decision-making and, instead, decentralize the planning process to involve local communities. This means that over the long-term we have to promote the development of grass-roots local government to promote community-based self-help activities."

As Government and donors contemplate the means by which decentralization might serve the interests of tribal and settled areas, attention should be given to distinguishing between bureaucratic decentralization--delegation of authority to appointed local officials--and political decentralization--reform of political structures to transfer functions to locally elected officials or to local communities acting collectively. What appear missing to date, whether bureaucratically or politically, are effective mechanisms by which members of a community are directly involved in making the collective decisions which affect their lives. If such mechanisms are to be devised then consideration will need to be give to the incentives, or lack thereof, which may be standing in the way of successful implementation.

III.
TOWARDS AN ACTION PLAN: STUDY CONCLUSIONS AND RECOMMENDATIONS

A. The Main Conclusions

The findings of the study lead to one major conclusion that applies to each of the three sectors reviewed; planning, community participation, and agriculture:

- While bringing substantial benefits to the project areas, TADP and NWFADP have also contributed to a cycle of continuing dependence on Government and donors.

This leads to two fundamental supporting conclusions:

- Planning and implementation have been largely "top-down" due to the unique characteristics of both project areas, which has made information, access, and communications problematic.

- Effective planning, based on the rational and effective use of information systems, is not taking place, nor are the available resources being tapped.

Development planners face a multi-faceted dilemma. Three questions stand out:

How can Government seek to reduce dependency while simultaneously trying to improve efficiency?

How can program and project planning be improved when both the center and the periphery are ill-equipped and communication between them is plagued with difficulties?

How can long-range planning and institutional development be undertaken within the limited time and resources of the TADP and NWFADP?

While there are clearly no easy answers to such tough questions, it seems reasonable to use the opportunities presented by both the available funds and impending deadlines to formulate an overall strategy and plan of action, select those areas where an immediate start is feasible and necessary, and lay out the longer-term issues to be addressed with other resources over the years ahead. This section will seek to contribute to such a planning process by suggesting an overall strategy, identifying

critical areas for action, and suggesting those steps that might be undertaken in the short term and those which might become part of future endeavors.

To date sub-projects have largely been externally planned and implemented, with little or no community participation, rather than built on the strong traditional institutions and fierce independence of the tribal and semi-tribal hill populations. Commitments within each project to implement a participatory approach to planning and development, while sound, have yet to progress beyond the planning stage. Moreover, the supporting planning and information system capabilities are not in place.

In order to promote production and income generation it is necessary to capitalize on the strong local institutional structures at the tribal level which have made possible the local initiatives documented here and upon which a participatory development strategy can be built. This will require both leadership and resource support from Government that, in turn, requires both a strong and independent planning and decision-making capacity at the Agency and Provincial levels. At the Provincial level this requires a strong and efficient P&D Department and, for the TADP and NWFADP, an effective SDU, equipped with planning, development, and social organization capacity.

At the Agency level decisions must be made by Government concerning the appropriate means for providing planning, development and social organization support to the Political Agent's office, which serves as the focal point for all development initiatives in the Agencies. The role of Project Management Units must be weighed against utilization of existing local, Agency, and Provincial institutions in light of the experience of the Local Government and Rural Development Department. Such examination should include consideration of accountability, efficiency, replicability, and organizational sustainability issues.

To promote equity and social justice, as well as to help identify, train, and support local leadership and consensus-reckoning institutions, the role of the social organizer is particularly important, and positions must be created and identified as such. Without that identification, the pressing demands of day-to-day brush fires, law and order issues, and the long lines of individuals seeking special favors can easily consume any additional capacity added to the Political Agents' already over-stretched institutional resources. The appropriate questions of administrative placement and accountability need to be carefully considered.

Finally, if communities are to be put in charge of their own development they, too, will need enhanced planning and management capacity. This suggests the appropriateness of a grass-roots participatory rural appraisal and planning methodology

for directly involving communities in the planning and management of their natural and human resources.

B. The Main Recommendations

1. Improved Planning for Income Generation, Decentralization, and Community Participation

- USAID & GOP must implement a decentralized, participatory income-generating development strategy, in both the TADP and NWFADP project areas, that is built on the development and conservation of natural resources, especially in agriculture and forestry.

- Value should be added through beneficiary involvement in the planning and implementation of productive infrastructural and agricultural development and the processing and marketing of production.

Physical and social interventions should be limited to the removal of constraints to productive income generation that are identified by beneficiaries.

2. Five Fundamental Supporting Recommendations

Of particular importance for ensuring sustainable benefits from the TADP is the very difficult issue of covering ongoing operations and maintenance (O&M) costs. This suggests five further recommendations central to the future of the TADP & NWFADP:

I. Benefit flow from sub-projects completed or begun must be sustained by GONWFP, taking up O & M and improving planning, monitoring, and evaluation in line departments, including ensuring that the Special Development Unit becomes a permanent home for ongoing project management.

II. Benefit flow from future sub-projects should be sustained by seeking every feasible means of putting those sub-projects directly in the hands of communities, from planning and identification through implementation and maintenance.

III. A decentralized planning process at provincial, tribal, and community level should be developed and strengthened, increasing the use of criteria and information-based decision-making while reducing ad hoc planning; the use of existing systems to provide information for decision-making,

including reducing costs and improving effectiveness should be improved.

IV. Appropriate incentive systems should be examined for recruiting and keeping the necessary levels of skilled staff required to implement a successful and sustainable community-based regional planning and development strategy. Particular attention must be paid to highly qualified information systems and social organization expertise within the concerned departments beyond the termination of donor funding.

V. The role and efficiency of Project Management Units must be weighed against utilization of existing line departments in light of the experience of the Local Government and Rural Development Department. Such examination, which may well warrant a careful management study, should include consideration of accountability, efficiency, replicability, and organizational sustainability issues.

3. The Proposed Strategy

The study proposes initiation of a development strategy that moves from a concentration on physical infrastructure provided directly by Government and donors to a decentralized approach. As in Gadoon Amazai, where such a strategy is already being introduced, the implementation of this approach should be a top priority during the next three years. It should focus on building the institutional and social infrastructure necessary to increasing production and net incomes of people in rural areas. If this strategy is built upon sound planning and maximum feasible community involvement in decision-making (with resulting local resource commitments), the prospects for a sustainable flow of development benefits over the long-term are improved.

Further, the study emphasizes the importance, during the next two to three years, of the systematic and time-phased transfer of project-related, development decision-making and support functions from USAID to responsible government agencies. Among the resources recommended for transfer are the staff and supporting requirements of USAID's TSPU and TADP teams together with the information systems staff and equipment now with the NWFADP in Topi. This means an early commitment by Government to provide adequate counterpart staff and supporting recurrent budget resources. This should be coordinated with USAID commitments to training, appropriate technical assistance, and a rapid, though planned, transfer of current project resources to the Government.

C. Specific Conclusions and Recommendations

1. Regional Planning

Main Conclusion

Overall, effective planning, based on the intelligent use of information systems, is not taking place, for the defined areas; nor are the available information resources being tapped, particularly for the tribal areas.

Supporting Conclusions

- Current planning is centralized and ad hoc; largely confined to tactical considerations, with a primary emphasis on the preparation of the Annual Development Plan; and responding frequently to political considerations.

- Strategic or longer-term planning for either the settled or defined areas is almost non-existent, even though such planning is essential for helping to ensure a sustainable flow of benefits.

- Information systems are developed without analytical frameworks or regard to decision-making requirements and basic planning methodologies.

- The SDU is evolving as an institution for project implementation and monitoring, but is understaffed so it cannot perform the planning and other functions necessary for the development of the defined areas.

- Institution building mechanisms and linkages for direct community participation in the planning and development process are missing or severely constrained.

- Short duration of tenure of senior SDU staff, Political Agents, and TADP and NWFADP Project Directors has negatively affected continuity, project implementation, and the flow of benefits.

To a large extent, the structure and processes of USAID's assistance through TADP and NWFADP have reinforced these weaknesses rather than build longer-term capabilities. Functions have been carried out directly by, or under the control of, USAID, or by USAID-financed project management units that will collapse with the phase-out of resources.

Currently, the primary planning, management, and evaluation entity for development initiatives in the defined areas is P&D's SDU. Originally, it was established for

narcotics-related activities but now provides coordination for the majority of NWFP's donor funded rural area development programs. Its primary source of funding, however, continues to be the UNDCP.

The SDU has the mandate and potential to take the lead in the planning and evolution of its supporting information systems for the development of the tribal and other defined areas. For this to occur, there is a need to institutionalize the SDU and its functions.

Recommendation #1

> Priority in training and technical assistance should be on building provincial and Agency regional planning capabilities.

2. SDU/P&D Institutional Capabilities

Main conclusions

- SDU institutional capabilities are extremely limited
- SDU institutional linkages are weak

SDU is currently a shell organization though it is responsible for oversight, planning, and implementation of more than US$ 200 million in project resources. The need is clear and the provincial government is willing to expand the SDU's staff and capabilities. Ideally, this unit would supervise the individual Project Management Units and perform the functions of:

- Strategic regional planning
- Coordinating activities and programs
- Monitoring project funding, inputs, and outputs
- Technical inspection and guidance
- Undertaking ongoing and comparative evaluation
- Developing supporting information systems (see below)
- Providing support and guidance to participatory community-level planning
- Promoting a generalized process to decentralize planning and development management functions to the Agency and community levels

If the SDU is to take on these responsibilities effectively it will need to develop the capacity to update, automate, and analyze data from existing socio-economic profiles, as well as the two now being prepared by USAID. The unit will also need to be able to add primary data and insights in order to increase the profiles' usefulness for

planning and decision making. Moreover, assistance will be needed to develop models for participatory rural appraisal and planning and to implement these at the community level. (See 6, Community Participation, below.)

Recommendation #2

SDU/P&D should be developed as an institution for the provision of planning, technical support, and monitoring and evaluation services for externally-financed development initiatives in the defined areas. Under a phased plan, to be developed with the United Nations Drug Control Program (UNDCP), key financial and human resources of USAID's Technical Support Planning Unit (TSPU), TADP, and NWFADP should be integrated into SDU's structure as the Government expands its own corresponding staffing and resource commitments.

Recommendation #3

Project management units for externally funded projects should operate under SDU supervision, with each project, plus the government, contributing the necessary personnel and financial resources to perform central functions. More specifically, P&D/SDU, with USAID assistance, should create TADP's PMU immediately.

Supporting Recommendations

Special Development Unit

- Encourage UNDCP to adopt a five-year, institution-building plan for the SDU.

- Build SDU staff and financial resources through project-specific contributions for performing its central functions. USAID and other donors should provide appropriate resources to help support those SDU central functions necessary for the effective management of their separate projects.

- Establish and implement a time-phased action plan for integrating USAID's Technical Support Planning Unit (TSPU), TADP, and NWFADP resources into the SDU central and PMU structures, as the Government of NWFP increases its own personnel.

- Work with the DG/SDU to institute a series of training sessions to help develop SDU and line agency strategic planning capabilities.

- Expedite the current plan for renting office space and, within the next two years, construct a TADP PMU/SDU office facility; USAID to finance the capital costs of the new building and GOP to cover all recurrent costs.

3. Decentralized Planning and Management

Decentralize planning and decision-making to the agency level. On an experimental basis, SDU/P&D and TADP should establish units at the tribal agency level to test and to develop models for decentralized and participatory development planning and decision making

4. Information Systems

Main Conclusion

Informations systems are isolated, underutilized, and understaffed

Information systems at P&D, line agencies, and project offices have often been developed in isolation from each other and without a comprehensive information systems plan. P&D's center is the most advanced; the GAADP office in Topi has also developed databases on training, agriculture, and forestry, but system linkages with line departments are weak. Skill levels of staff are low and decision-makers are not aware of the proper use and potential of the systems. USAID analysts have played a major role, but are being phased out before the systems are sustainable due to failure of departments to sanction posts, recruit, and/or hire necessary staff. Community participation in planning is frequently limited to the presentation of demands and/or agreement to accept projects planned or implemented by others.

Recommendation #4

SDU/P&D should take the lead in information systems design and technical support in the defined areas. TADP should fund the preparation of an information systems plan plus ongoing training and technical assistance. The Government should create the mechanisms for hiring and retaining the services of highly qualified information systems experts.

Supporting Recommendations

Information Systems Planning:

Implement "Model A" -- The Ideal Model (See Annex D)

- Strengthen the SDU computer center with highly qualified, experienced computer professionals to guide planning, design, development, and implementation of information systems for both the SDU and all organizational units/projects.

- Develop a comprehensive information systems plan covering all information needs of all organizational units of different projects, including the supporting donor agencies.

- Design and implement a comprehensive training plan for all the organizational units covering top management, end users, technical users, and computer operational staff. Train instructors in computer capability and problem-solving for each operational unit.

- Initiate planning for an independent provincial computer bureau, staffed by highly qualified senior information and computer specialists. (This would help to ensure proper planning, policy development, applications standards, software and hardware acquisition, systems and utilities development, personnel policy, staffing, and training in support of all GONWFP departments.) Support decentralized systems and networking within and among departments and agencies.

- Develop a computer center employee retention strategy, addressing the problem of high staff turnover, by providing relative independence to the computing centers and making provision for high level (possibly grade 19) posts in the computer centers as a career growth path.

- Empower the end user through decentralized computing, utilize local area networks, and provide training in applications utilization to key personnel at each center.

5. Socio-Economic Profiles

Main Conclusion

TADP socio-economic profiles are underutilized

Considerable TADP resources have been invested in the preparation of comprehensive socioeconomic profiles for five tribal agencies, which have increased understanding of these areas as well as improved the availability and reliability of data. They have already helped rationalize planning in those Tribal Agencies where specific Political Agents have insisted on their use in local decision-making. They have also been used in briefing the Provincial Governor, resulting in some useful short-term decisions.

These profiles, however, are not yet organized, and reliability of data is still inadequate for ongoing systematic analysis, planning, and development decision-making; nor are the data coded and computerized for retrieval, revision, and analysis. Direct inputs from local communities in the form of key data, development needs, and priorities are missing. With further refinement these useful profiles can become increasingly effective planning tools.

Recommendation #5

TADP's socioeconomic profiles should be modified to improve their planning and decision-making value and be used as tools for introducing strategic planning for the defined areas, under the auspices of SDU/P&D.

Supporting Recommendations

- Modify the format of the profiles based on a sound development framework and basic regional economic analyses and planning, and update the five profiles; establish priority data needs.

- Code and computerize the key data tables from the profiles; link to provincial data bases when possible.

- Prepare the profiles for the remaining two tribal agencies.

- Develop a cooperative agreement with the Institute for Development Studies (IDS) to assist with the applied research and analysis necessary for improved planning.

- USAID and SDU should initiate a dialogue with concerned departments, political agents, and other potential users, through individual discussion and workshops, to develop a commitment to a regional planning strategy and process, with specific reference to the improvement and effective utilization of socioeconomic profiles.

- Prepare decision-making documents, in consultation with appropriate government officials, on the basis of the socioeconomic profiles, identifying information gaps.

- Encourage GOP to expand census and other national and provincial studies to include the now excluded tribal areas.

6. Community Participation

Main Conclusion

Planning and implementation has been largely "top-down" due to the unique characteristics of both project areas which have made information, access, and communications problematic.

Previously, little was known about the project areas, and what was known was subject to error in fact and interpretation. Even the minimal mechanisms present in settled areas for involving local communities in the planning, implementation, and maintenance of development schemes have been lacking or insufficient. In tribal areas, for example, Union Councils do not exist, while in the Gadoon-Amazai area they are weak. Political Agents, line agencies, and self-appointed local leaders are usually relied upon to identify, evaluate, and implement projects, rather than the intended beneficiaries, their villages, or Union Councils. Project committees in Gadoon, while ostensibly involving communities, have had a tendency to be dominated by local elites who have enjoyed a disproportionate share of the benefits. Maliks have benefitted similarly in tribal areas. While both project leaders and Maliks have been an essential part of the process, experience elsewhere in NWFP suggests that it is necessary to involve a broad cross-section of the target community if the flow of economic benefits is to be equitable and sustainable.

This "top-down" approach to planning is exacerbated, particularly in the tribal areas, because of dependence on a largely "managerial model" rather than a "representational model" policy, and implementation decisions are made by managers rather than through elected representatives.

Supporting Conclusions

- Effective participatory planning requires a social organization approach that puts communities in charge of their own development, and provides them with the tools they need to undertake the analysis, planning, and decision-making required for sound resource management and income generation.

- Sufficient funds and flexibility exist within the "useful units of assistance" being supported by USAID pipeline funding to build a viable participatory approach into a significant number of project activities.

Participatory rural appraisal (PRA) is a simplified socioeconomic survey method used as a first step in the implementation of a community participation initiative. PRA uses adapted rapid rural appraisal (RRA) techniques in collaboration with local people to promote participatory village level planning. This method, used effectively by village development programs worldwide, including AKRSP programs in other countries, may be particularly relevant to the problems and needs outlined above for several important reasons. Basically, PRA/P:

- Puts local people in charge of their own planning and development process.

- Is easily understood by both villagers and outsiders.

- Promotes active dialogue and discussion around local needs, priorities, and resources among villagers themselves and between villagers and outsiders.

- Provides a foundation for local resource commitments.

- Does not promise outside help; it is a planning process, not a give-away process.

- Provides important planning data for both local people and those up the line.

- Can be easily taught to students, researchers, local activists, and line agency staff.

- Is low in cost where budgets are limited.

- Provides quick results where time is short.

- Provides the basic training, experience, and information that new or prospective social organizers need to be effective.

Provision has been made in most PC-1s already prepared and/or approved to enable utilization of a community participation approach. Combined with the resources of the Coverdale/Louis Berger Three Year Workshop Project, the resources and mechanisms are in place to facilitate the implementation of Participatory Rural Appraisal as an important first step. GOP and USAID policy-makers and project staff have a commitment to implementing a participatory approach. Selected line agencies and departments have begun or have showed willingness to begin implementing participatory programs. Training mechanisms and support systems are available to support such initiatives.

Recommendation #6

Appropriate models to increase community involvement in planning and development decision-making, as well as in local resource commitments, should be introduced and tested in NWFADP and TADP and other defined area projects.

Supporting Recommendations

- Initiate a dialogue with relevant line departments to determine the feasibility of their introducing Participatory Rural Appraisal and Planning approaches into their existing systems, particularly in the selection and siting of small rural development projects with a production and income-generation focus.

- Test models for Participatory Rural Appraisal and Planning through existing institutions such as the SRSC, Pakistan Academy for Rural Development, and/or the Agriculture University Outreach Center/IDS; link as appropriate with socio-economic profiles.

- Explore with the above institutions the feasibility of developing a cadre of students interested in using PRA/P procedures, with an eye to their becoming social organizers at some time in the future; include discussion of linkages with socio-economic profiles.

- Provide awareness and skill training for providing PRA/P for staff of existing line departments, professors, and students.

- Draw upon local and international talent to provide initial curriculum design, and follow up with training-of-trainers program to multiply skilled practitioners locally.

7. Increasing Institutional Support Capabilities for Popular Participation

Main Conclusion

A participatory development strategy has not been effectively adopted primarily because of lack of clarity on the mechanisms for implementing such a strategy.

Supporting Conclusions

- Local self-help initiatives by communities in both settled and tribal areas provide the foundation for building a successful participatory community-based planning and development strategy.

- The institutions needed to develop and support a participatory development strategy are already in place--including, for example:

  -- Special Development Unit
  -- Local Government and Rural Development Department
  -- Political Agent system
  -- Line departments (including FATA/DC)
  -- Peshawar University departments with special expertise in participatory development
  -- Pakistan Academy for Rural Development
  -- Malik and Khan systems
  -- The consensus-reckoning Jirga system at the community and Agency levels
  -- Sarhad Rural Support Corporation (SRSC) (See below)
  -- Coverdale/Louis Berger Three Year Workshop Project (See below)

Recommendation #7

Community participation should be built around existing government and social structures and managed, initially, by a senior social organizer in the TSPU, to be located as soon as possible within the SDU/P&D. Subsequent community participation management options could include expanding social organization within the SDU and building similar capacity by posting social organizers at the local Agency level, within the Gadoon-Amazai project area, and in NGOs such as the SRSC, and/or within a newly established provincial foundation.

Supporting Recommendations

- Support immediate application of a community participation approach on a pilot basis in both TADP and NWFADP project areas.

- Initiate participatory rural appraisal dialogues, in selected areas identified by Project Directors, Project Officers and local authorities; expand as resources and support systems permit.

- Appoint experienced Sr. Social Organizer to SDU to oversee implementation of a participatory planning and development strategy in the Tribal Areas.

- Accelerate recruitment of Sr. Social Organizer recommended and agreed upon by USAID and GONWFP for NWFADP/Gadoon-Amazai Area Development Project.

- Accelerate recruitment of USAID/TSPU Community Development Program Specialist; ensure that appointee has strong professional grounding, and practical field experience, in social organization.

- Ensure provision of female social organizers to support women's programs in all project areas; if recruitment and placement is difficult, examine feasibility of recruiting husband/wife social organizer team(s) to increase social acceptability.

- Initiate pilot program in participatory rural appraisal and planning in Gadoon-Amazai, using students who have already participated in prior rural surveys in the project area; follow-up with PRA/P program in selected tribal areas.

- Initiate comprehensive community participation study tour, training, and internship program for provincial, District, Agency, and community-level decision- makers and activists (see 'Training' below).

- Implement plans for using remaining funds within the already prepared and/or approved PC-1s by adding/increasing participation and by building on traditional agency and tribal institutions and procedures; use experienced NGO resources as a source of expert consulting support to provide guidance and to promote equity within a larger community participation approach.

- Develop, in consultation with line agencies and political agents, pro-forma undertakings between line departments and communities that ensure beneficiary responsibility for implementation and O&M on a participatory basis.

- Form partnership with FATA/DC, which appears ready to implement a community-participation system for most of its programs (not just those funded by TADP). FATA/DC's pro-forma undertakings could be a model for developing similar undertakings for use with both TADP and NWFADP project components and/or sub-projects. Specifically:

  a. FATA/DC tube wells and conversions:

     - 100% of projects to have community participation.

     - Community undertakings will provide commitments to pay bills, list beneficiaries and their acreages, indicate tenancy arrangements. and take responsibility for all O&M.

     - Necessary irrigation channels/pipes for equitable water distribution are to be provided by the community before FATA provides the well.

  b. For other potential FATA projects

     - Explore if PC-1 can be amended to subdivide funds, to provide more and smaller wells, to provide dug wells, instead of only tube wells, in order to increase benefits to large numbers of beneficiaries more equitably than is feasible with tube wells.

     - Seek locations for initial projects where assets and benefits are relatively equitably distributed; avoid areas where these are highly skewed.

     - Examine means of increasing equity and the distribution of benefits; e.g., some communities have developed agreements that protect tenants from having to provide a larger percentage of a crop to a landlord if irrigation is provided through project-assisted funding; NGOs may be able to assist.

  c. Other infrastructure

     - The substantial majority, if not 100%, of projects should use community participation approaches, especially Small Rural Development Schemes, including:

- -- drinking water supplies (where not available through Public Health Engineering)
- -- small rural support infrastructure (schools, health clinics, etc.)
- -- bridle paths and improved tracks

- Funding should be made available to support community built initiatives, including:

  - -- technical assistance
  - -- imported materials (e.g., cement, reinforcing rod, explosives, wire, etc.)
  - -- machinery or machinery charges
  - -- blacktopping (to be provided if a community builds a road to the acceptable C&W standards)

d. Female education and NFE

(See Agriculture & Irrigation recommendations, below)

- Recruit female social organizers. (If obstacles persist as in the past, examine the feasibility of recruiting a husband/wife team to increase social acceptability; combine recruitment for Sr. Social Organizers, above).

- Give serious consideration to proposals made by PAs from South & North Waziristan for selected areas where community participation is viable; include commodity support.

- Support female education/NFE centers

  - -- Strengthen selected centers only
  - -- Promote teacher training, female education, female health training
  - -- Support training in grading and processing of fruits and vegetables; use A/V tapes
  - -- Initiate training and support for women's poultry, dairy, beekeeping, and sericulture programs, as appropriate
  - -- Provide agricultural and home business credit

8. Non-Government Organizations: The Sarhad Rural Support Corporation and Proposed Regional NGO Structure

Main Conclusions

- The Sarhad Rural Support Corporation, funded by the TADP, has a potentially important role to play in implementing a participatory development strategy and has vigorously pursued the initiation of village-level institutions. The organization, however, is young, is already fully committed, and the village institutions it has formed are barely one year old. A realistic assessment of SRSC's potential for expanding its commitments into TADP and NWFADP project areas may have to wait for some time.

- The NWFADP, having a commitment to initiating a community participation strategy, is faced with severe time constraints, with no appropriate institutional framework readily available; the NWFADP will need strong and immediate assistance in implementing its plans and should not await assessment of SRSC capacity.

Recommendations

Sarhad Rural Support Corporation

- Activate the SRSC Board of Directors and consult closely with its members

  SRSC's Board of Directors is comprised of distinguished rural development professionals, yet there is limited evidence of the Board members being actively involved in providing needed conceptual guidance. Not only should formal meetings of the Board of Directors be convened more frequently but the process of informal individual consultations should be vigorously pursued. Extended site visits by senior SRSC staff should be undertaken regularly to gain in-depth understanding of relevant activities, developments, and experience of individual Board members and the programs with which they are involved such as the AKRSP and Orangi Pilot Project.

- Specify SRSC development plans for existing village institutions

  The need to consolidate village institutions by strengthening linkages with SRSC's own technical staff and by promoting credit-based activities is well recognized within SRSC. Also acknowledged is the fact that the links between the village institutions and SRSC should be so structured as not to create

over-dependence of village institutions on SRSC, and that the former should be encouraged to forge bonds with public sector development agencies as well as the private sector. However, this has not found adequate expression in terms of implementation details in the SRSC's overall strategy (See Annex I). It may be advisable to go beyond the framework of an overall strategy and identify and document, in detail, potential village institution-specific medium and long-term development options for review by the Board of Directors, USAID/Pakistan, and a selected core of rural development practitioners.

- Experiment with alternative low-cost approaches

  SRSC, in conformity with its design mandate, has closely followed the AKRSP approach. Given the fact that Kohat and Charsadda are, to a degree, on a different socio-economic plane from the Northern Areas, it appears feasible to explore and test, on a pilot basis, alternative low cost development methods based on higher village resource commitment, private sector involvement, and/or credit.

- Conduct joint USAID/SRSC assessment

  SRSC represents a hefty investment under TADP and increased efforts should be made by SRSC management as well as by USAID/Pakistan to protect this investment by guiding SRSC to move in a sustainable direction. Like all nascent organizations, SRSC is passing through a trial-and-error phase where its activities and plans needs to be continuously analyzed and reviewed. As a part of this on-going learning process, it may be useful that USAID/Pakistan and the SRSC undertake a collaborative assessment geared to constructing a clear horizon for the future.

Recommendations

Proposed Provincial Foundation and/or NGO

- Move quickly to establish the proposed provincial foundation, or an agreeable alternative, and provide seed money

- Establish an endowment from funds remaining within the NWFADP

- Re-examine funding and expenditure commitments to seek reallocate US $ 2 million, required to fund adequately start-up of a regional foundation and Gadoon-Amazai field activities

- Draw upon currently available NWFADP resources, as may be required, to start appropriate community participation activities in Gadoon-Amazai, limiting expenditure to levels consistent with anticipated endowment income

- Retain flexibility for potential expansion and/or modification of the foundation's mandate to provide support to tribal areas, to enable future expansion into other areas, and/or to link or merge the foundation with the SRSC in a manner to be determined, should it be deemed appropriate to do so in the future

9. Agriculture and Irrigation

Main Conclusions

- Communities and individuals have undertaken a wide range of local self-help initiatives, including irrigation, horticulture, dug wells, and small nurseries, which provide a solid foundation for a participatory agricultural and social forestry development strategy.

- Project-funded agriculture, horticulture, and forestry programs, while limited, have shown promise, including yield increases of 20-30%, and are worth further investment.

- Government capacity to deliver improved agricultural and forestry technologies and inputs to project areas has and will remain severely constrained.

- Private sector marketing, particularly of horticultural products, while showing great potential, is embryonic.

- Links with established research facilities are minimal.

Recommendations

- Introduce, to the maximum extent feasible, a community participation approach within all agricultural programs.

- Initiate dialogue with FATA/Agriculture to create a long-term, large-scale program to be implemented for fruits, vegetables, and cereals.

- Initiate dialogue with FATA/Agriculture, Agriculture University, and Tarnab Research Center to establish adaptive research farms of 2-3 acres in key producing areas.

- Develop programs to expand farmer, extension staff, and women's training to reach 4000 farmers per year.

- Examine means to improve access to credit for male and female agriculturalists.

- Organize quality seed production for profit, in collaboration with private farmers.

- Initiate plant protection services, practical demonstrations, and training; transfer to private farmers.

- Introduce pilot community based, agroprocessing businesses.

- Improve the marketing system; commission detailed marketing studies; including inputs.

- Improve links with the Agriculture Research Institute, Tarnab, Agriculture University, Peshawar.

- Implement pilot poultry programs, including special programs for women; explore the feasibility of expanding sheep and goat production consistent with controlling environmental degradation.

- Explore expanded tractorization potential.

- Develop special women's programs, particularly in the grading and processing of fruits and vegetables, utilizing audio-visual tapes.

- Irrigation:

  -- Support transfer of all O&M costs for tube wells to beneficiaries; no subsidies.
  -- Expand dug well, channel lining, & flood protection programs; cut tube wells.
  -- Support village/farmer organizations and water-user associations. to develop, improve, and maintain new and existing irrigation systems.

- -- Examine feasibility of a community participation approach for schemes planned but not yet begun and, if viable, implement them in partnership with the community.
- -- Design a water management training plan and pilot it in irrigated areas of tribal agencies and Gadoon-Amazai; promote judicious, efficient, and timely water application practices consistent with crop requirements and avoid water wastage.
- -- Social organizers should explore potential of forming water users associations in irrigated areas.

10. Operations and Maintenance Costs

Main Conclusion

It is of particular importance for ensuring sustainable benefits from the TADP that Government and donors address the very difficult issue of covering ongoing operations and maintenance costs.

Recommendation #8

A plan and a monitoring system should be developed for expanding coverage of O&M costs by the Government and by the beneficiary communities.

Supporting Recommendations

Discussions should be initiated between GONWFP and USAID on the most effective and efficient means to implement the agreed policy regarding GONWFP taking over all appropriate O & M costs before PACD; currently maintenance costs for major structures and roads that are turned over to government are covered (although below accepted standards) after final inspection by USAID and GOP engineers; this plan is in place and generally functions adequately although minimally; small structures face more serious difficulties and require maintenance by beneficiary individuals and communities; plans to improve performance are required; specifically it is recommended that:

- O & M for existing TADP projects to be taken over by GONWFP:

  -- P & D: SDU home, with cost sharing from major donor projects
  -- C&W: roads
  -- FATA/Education Dept: schools
  -- FATA/Agriculture

- O & M for existing TADP projects to be taken over by communities:

  -- FATA/DC irrigation channels
  -- FATA/DC tube wells

11. Systematic Training and Network Development

Main Conclusion

While there is general awareness and support of the need to improve the planning and development process in general, and specifically to use a participatory approach to community-focused planning and development, skilled leadership and field personnel are concentrated in a small number of discrete programs and NGOs operating in limited project areas.

If a decentralized, participatory planning and development strategy is to be implemented successfully within the limited time available in the seven tribal agencies, Gadoon-Amazai, and Khala Dhaka, there is a need for increasing substantially the awareness and skills among the pool of provincial, District, Agency, and community-level decision-makers and activists.

Moreover, there is a general need to train SDU and other provincial agencies in planning methodologies. Through training, the gap between decision-making and existing (and growing) information systems must be bridged.

Recommendation #9

A training and assistance program, drawing upon the expertise and resources of the Coverdale project, should be implemented to institutionalize in SDU/P&D and other nation-building departments participatory planning and development methods. These include, specifically, the use of Participatory Rural Appraisal (PRA) as a local-level community organization and planning instrument.

Supporting Recommendations

- Build planning and supporting information systems capabilities through four training programs:

  -- Senior level study tours to examine effective planning methodologies and their application (e.g., Tanzania, Botswana, Philippines, and USA: Cornell, Michigan State, Wisconsin)

- -- Action-oriented seminar/courses to improve regional planning skills for government officials
- -- Workshop series on development decision-making and information systems
- -- Information system/computer skills training for all levels

- Build awareness and provide training and awareness in community participation strategies for decision-makers, line agency staff, local leaders and activists; use study tours and Participatory Rural Appraisal exercises as starting point through Coverdale mechanism, supported by NGO expertise as appropriate; local visits and internships can include AKRSP, SRSC, Orangi, Pak-German/Mardan, Malakand, Kalam; international study tours may include Thailand, Bangladesh, Sri Lanka, Philippines. Target groups:

  - -- Senior decision makers in Provincial government
  - -- Deputy Commissioners (DC) and Political Agents (PA)--potential role as "Super Social Organizers" -- possible Pakistan Institute of Management course to be designed and institutionalized for all entering and mid-career DCs and PA's
  - -- Selected USAID staff
  - -- Senior and mid-level line agency staff, especially those posted/ to be posted in tribal areas
  - -- District and Union Councils, Agency Councils: members and staff
  - -- Selected Maliks
  - -- Local farmers, activists

IV.
FINALIZING THE TADP/NWFADP ACTION PLAN

A. Strategies and Priorities for TADP/NWFADP Investments

For the short-term, given the real constraints on time, funds, and staff resources between now and PACD, it is imperative that emphasis be placed on five key tasks:

- Build up the SDU in Peshawar into a fully functioning planning, implementation, and monitoring unit that can support operational project management units for the TADP and NWFADP. Draw on USAID's TSPU and Gadoon Project Management Unit, augmented by counterpart GOP staff. Implement planned construction of a new facility immediately.

- Provide skilled social organization expertise to both headquarters and field operations and give social organizers maximum possible opportunity to implement pilot projects and to test new approaches. Utilize existing NGO and government structures to the maximum degree possible.

- Support, on a case-by-case basis, an intensive series of participatory pilot projects at the community level within selected TADP and NWFADP areas; draw on existing and evolving social organization expertise and work through those Political Agents and line agencies, such as FATA/DC, which show high interest and where initial success is deemed most likely. Promising activities include infrastructure, agriculture, and female education. Use blanket PC-1s and annual work plan mechanisms.

- Draw upon the Coverdale/DEG Three Year Workshop Project to facilitate ongoing dialogue, planning, and network development in support of TADP and NWFADP efforts; include an intensive program of study tours, training programs, workshops, and field exercises; use the tools of Participatory Rural Appraisal to promote increased awareness, skills, and expertise among senior, mid-level, and field staff, and among local farmers and community

- Provide TADP and NWFAD with a no-cost extension of their PACDs. Time is the scarcest commodity among those needed by these two important projects to achieve the important and complex reorientation tasks that lie ahead, including the essential task of enlisting broader Government and donor support.

B. The Agenda for the Future

As these efforts proceed, Government should initiate dialogue with other donors to provide a coordinated "umbrella" package of funding support to the SDU, Tribal Areas, and selected settled areas. The recommendations in this report and the annexes in Volume II provide a potential framework for such a long-range funding package. Components of such an integrated package include:

- Regional and community-level planning
- Community participation initiatives
- Agricultural and private sector agribusiness development
- Non-government organization development, including public-private partnerships, at grass-roots, intermediate, and provincial levels

Towards Sustainable Development Benefits:

Seeking Alternatives to Poverty and Environmental Degradation in the Tribal and Gadoon-Amazai Areas of North Western Pakistan

A Photographic and Narrative Summary
TADP/NWFADP Reorientation Study

Based on photographs from the Study Team's field visits of October and November 1991 together with excerpts from the workshop presentation of 1 Dec., 1991 and the final report of May 1992

Focus of the study
The sustainability of development benefits for TADP and NWFADP and how to achieve it.

Objectives
- To help people solve their own problems in a way that is sustainable and equitable, or
- To provide an ongoing flow of benefits from the investments made to all sectors of society—cost effective, government and private secior support, meshing community and government accountability

The problem
- "The Balloon collapses" — with donor funding and attention there is an acceleration of activity which drops off when funding ends
- Time and money are limited, both run out in 1993 and 1994; both Pakistan and the US are facing economic problems

Problems of the project areas:

- People remain poor
- Infrastructure remains inadequate
- Institutions remain weak:
  — the nation building departments.
  — health
  — education and literacy
  especially female literacy & child mortality
- Private sector—business and NGOs—are underdeveloped and underutilized
- Natural environment is being decimated.

"The lack of access to the villages, of basic infrastructure and services, and of modern technology remains acute, particularly in the remote and underdeveloped tribal areas."

The study team mired down trying to reach a relatively accessible portion of the tribal areas

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Environmental degradation

Fuel and construction wood cut from the barren hills contributing to environmental degradation

Truck exporting fuelwood from overcut hill areas to meet demands of growing urban populations

Dust rising from a track cross the Wana Plain, South Waziristan, symbol of the ecological crisis facing the tribal areas.

Mountain roads across barren slopes frequently contribute to already serious erosion problems. This road in the Northern Areas has seen frequent wash-outs

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Needed:

Regional Planning to promote

- Sustainable and equitable flow of benefits
- Economic returns to cover recurrent costs
- Foundation for future growth

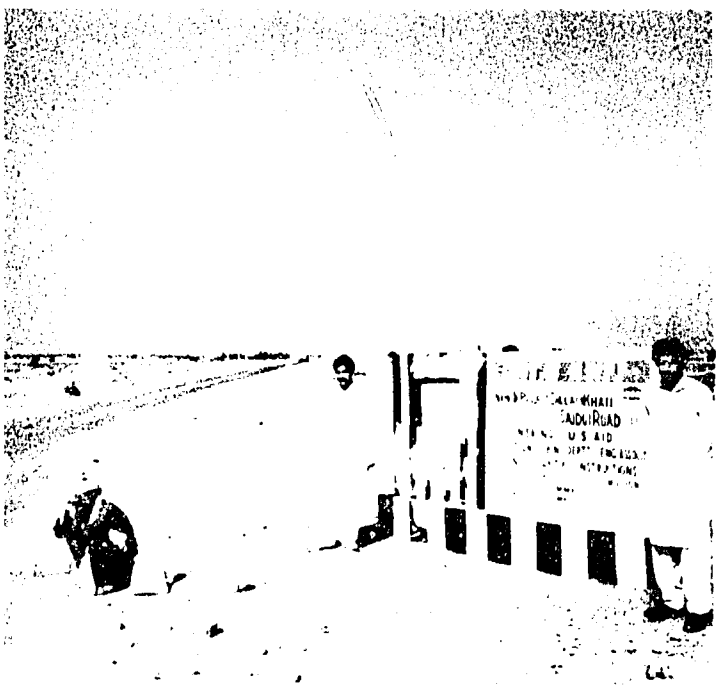
"Government should move to a decentralized, information-based regional planning process, generating the vision and plan for dynamic and equitable growth."

A Development Framework for Regional Planning

- A community-based planning and development process, with a
- Production and income generating focus

"A high priority should be placed on maximum feasible community participation in future TADP and NWFADP initiatives."

Discussions in Peshawar focusing on how to develop and implement a community- based regional planning strategy for tribal areas and Gadoon-Amazai



Saidgi Road in North Waziristan. USAID financed roads in tribal and Gadoon-Amazai areas have helped improve communications and access to resources and markets

What is required to implement a production and income generating strategy, locally?

- Local participation in decision making with local resource commitments, supported by
- Systematic planning that includes
- Adequate and timely training, technical assistance'
- Shared and intelligent use of reliable information

Findings of the study:
Some Good News:

- Progress with TADP & NWFADP:
  Some good beginnings:
  —infrastructure
  —information systems,
  —agricultural development

"The TADP and NWFADP. have made a important contributions to the integration of remote hill populations into the mainstream of Pakistan's economy."

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Findings of the study: Some Bad News about the Enormity of Current Problems

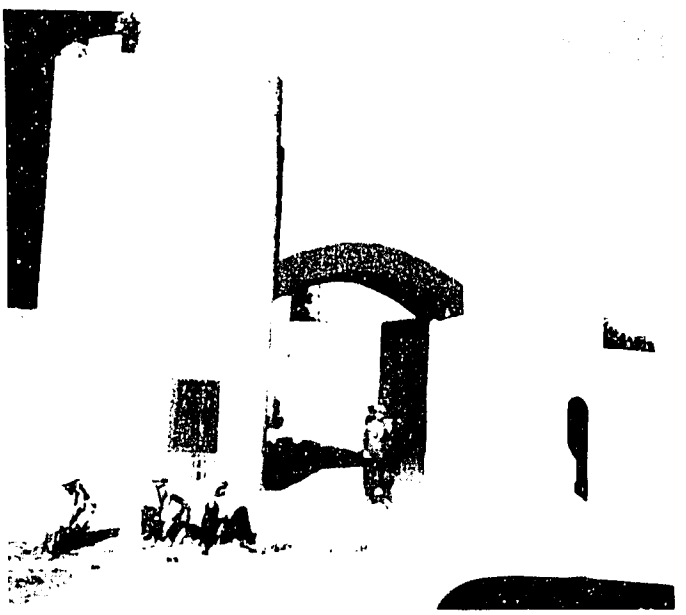
- **Dependency chain:**
  "An insidious dependency syndrome... has been developing for decades.... Local people are dependent on their appointed Maliks, Maliks are dependent on the Political Agent, the Agent and line agencies are dependent on Government, and Government is increasingly dependent on outside donors."

  ...And everyone is dependent on a rapidly deteriorating natural environment..

Results:
- Poverty
- Environmental catastrophe
  "We are mining mother nature"

Political Agent, N. Waziristan, receiving the Study Team and USAID officers. Said another Political Agent: *"Development is almost at the bottom of a very long list.... A substantial portion of our time is taken up ... with the endless procession of individuals who come through our offices asking for favors, concessions, and advice. Planning and strategic decision-making get precious little time or attention, our ... schedules being devoted to brush fires."*

Rough terrain, rugged mountains, fast moving rivers, and a limited road network enhances the independence of the Tribal Areas but increases their dependence on outside help. Appointed Maliks symbolize central authority at the local level.



Gateway to the Political Agent's compound, North Waziristan. The Political Agent is both a symbol of the authority of Government in Tribal Areas and a major decision-maker in the allocation of resources.

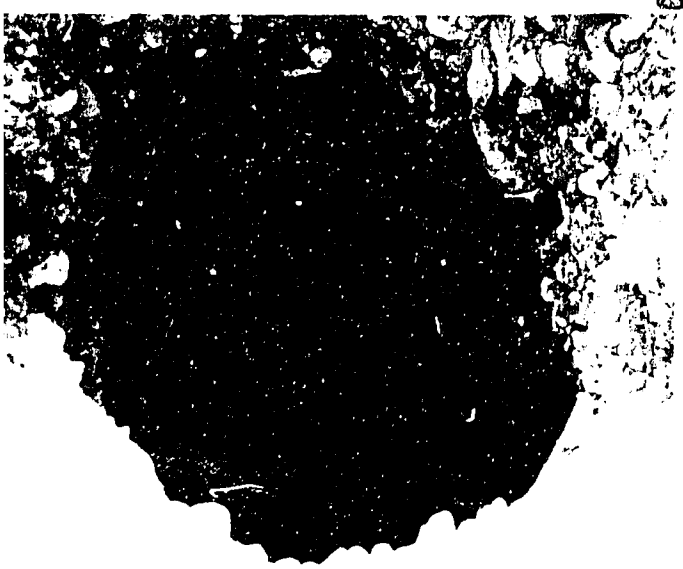
Findings of the study: Some good news for future planning

Factors promoting sustainability:

- Promising foundations for participatory planning in Tribal Areas:
  - Strong local, tribal institutions
  - Historic traditions of self-sufficiency
  - Local initiatives without outside help

"There is a long-standing commitment among tribal people to maintain their own cultural and economic identity. There is a well established pattern of looking to their own resources for solving local problems. Beyond this legendary independence... and tradition of conflict... is a relatively less well documented pattern of collective action in support of economic and social activities..."

Local Maliks, frequently with their own security forces, can be both a threat to Government authority and a major force in the maintenance of law and order



The traditional 'Kareze" system provides water to households and fields from hand dug wells 100' to 200' deep like this one in S. Waziristan.

"The isolation and fierce independence of the tribal areas have protected local institutions... leaving them relatively intact for planning and managing a decentralized development process build around local resources and management..."

"Local initiative, while definitely undermined by existing policy and development planning and decision-making systems, is alive and well in rural Pakistan....

Despite...conflict and rivalries in tribal society... communities frequently rise above their well-publicized differences, both to face a common foe and to build and maintain productive economic infrastructure."

Water from a 'Kareze" emerging from an underground tunnel about 5 km. from the 'mother' well across the Wana Plain---Fish raised in the 'Kareze' help keep channels clean

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Findings of the study: Local Initiative in Action

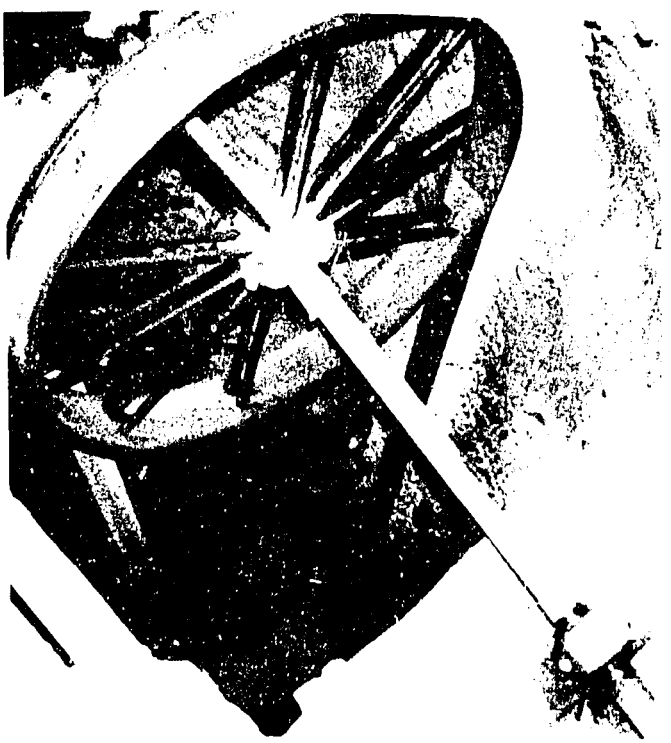
"Analysis of both qualitative and quantitative data suggest four factors that stand out with regard to local initiative and dependency:

1. *"Local communities are investing their labor and resources in both social and physical infrastructure... in schools, roads, horticulture, and irrigation.*

   "(The study) uncovered the following projects undertaken with no government assistance:
   - *10 shingled roads totaling 36.5 km...*
   - *2 schools... 3 rooms, serving 5 villages ..*
   - *7 irrigations channels...totaling 35 km...*
   - *1 mini-hydroelectric plant*
   - *4 water-powered grain mills*
   - *1 horticulture...5...propagation nurseries*
   - *1...independent social welfare societys u p - porting female education & ... health*

Dug wells, like this one in South Waziristan, are commonplace throughout the Tribal Areas and have provided ground water to local orchards and gardens for decades.

This deep shaft well has a sloping access chute that enables its owner to operate and service its venerable 'make-and break' engine with relative ease.



The belt delivers power from the engine, located about half-way down the well, to the pump far below.

Local Initiative in Action

2. *"Agriculture, and especially the development of irrigation systems, is the major concern related to production and income generation."*

Functioning irrigation channel, locally constructed in Bajaur under the sponsorship of the local 'Khan' or Malik who is the reigning authority in the area.

A mini-hydro-electric plant in Bajaur, with its creators, the Khan of Pasad and his village cabinet-maker cum engineer. The plant powers a workshop and 50 homes.

A local militiaman passing by an irrigated field with rice crop in Bajaur. This field is serviced by a locally constructed irrigation channel.

A dried up irrigation channel, built by local labor, stands testimony to the damage that is frequently caused by spring floods to the rudimentary intake works that characterize most local irrigation systems.

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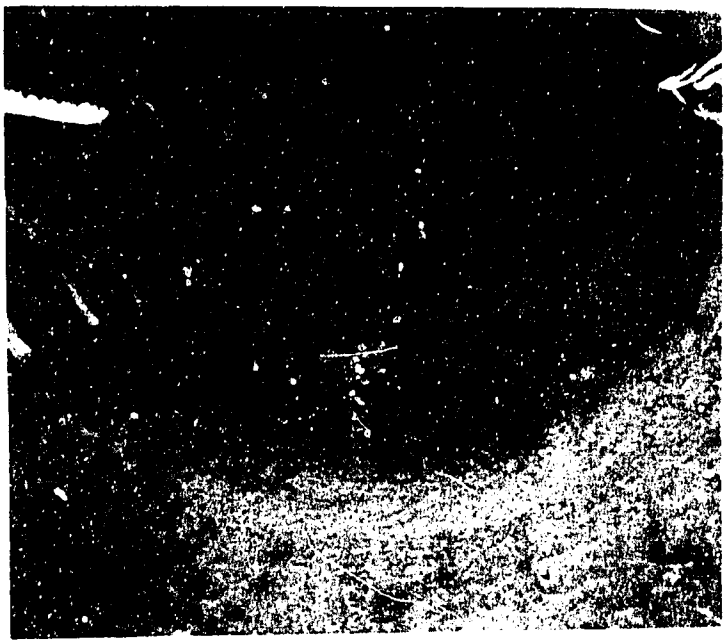
Local Initiative in Action

3. *"Local leadership and traditional institutions are the most important and effective planning and management tools used to implement successful projects.*

"Tribal law...can be a great help to the development process.... Crime rates are actually quite low in tribal areas.... The tribal system is seen by most local people to be fair, firm, and efficient.... (T)ribal democracy is based on fierce independence, firm punishment of wrong-doing, and structured public debate that is articulated through a tribal consensus-reckoning and decision-making process...that promotes relative peace and security, which in turn encourages investment and economic development."



Dug wells, old and new, all built without any Government assistance; above and to left.

4. *"Access to resources, including questions of tenancy and poverty, play a key part in a community's readiness and ability to undertake local production and income generating initiatives."*

Right, a power winch, introduced by Afghan refugees, replaces hand digging. Afghan refugees have been credited with helping promote horticultural development both by providing labor and innovative technologies and varieties.

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Findings of the study: Foundations for a Horticultural Revolution

- *"Project-funded agriculture, horticulture, and forestry programs, while limited, have shown promise, including yield increases of 20-30%, and are worth further investment.*

- *"Government capacity to deliver improved agricultural and forestry technologies and inputs to project areas has been and will remain severely constrained.*

- *"Private sector marketing, particularly of horticultural products, while showing great potential, is embryonic."*

New land under preparation, with water coming from a FATA/DC tubewell

Irrigated crops are increasingly replacing dryland crops like maize

An increasing variety of fruits and vegetables... and, to the left, newly planted Saffron, which could prove very profitable

Behind mud walls....

are some lush, and well guarded gardens

Private tubewells and piped irrigation are beginning to replace and/or augment the 'karezes' for fruit trees...

And for vegetables and flowers, too.

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Emerging Public-Private Partnerships

Government drilled tubewells cost Rs. 700,000 each... plus annual costs for chowkidar, operator, and electricity, usually subsidized. FATA/DC has initiated a program to terminate these subsidies and develop partnerships with beneficiaries instead.

- *"FATA/DC's pro-forma undertakings could be a model for developing similar undertakings for use with both TADP and NWFADP project components...specifically*
- *"100% of projects to have community participation*
- *"Communities...will pay bills, list beneficiaries...acreages...and take responsibility for operation and maintenance*

This beneficiary keeps careful watch, outfitting his pump room with carpeting and furnishings for the watchman

The payoffs from irrigation in terms of fruit tree orchards...

And tomatoes....

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Training for Development:
Networking among Pakistan's participatory rural development programs:

"While there is general awareness and support of the need to improve the planning and development process in general, and specifically to use a participatory approach to community-focused planning and development, skilled leadership and field personnel are concentrated in a small number of discrete programs and NGOs operating in limited project areas.

"A training and assistance program... should be implemented to institutionalize in SDU/P&D and other nation-building departments participatory planning and development methods...specifically... Participatory Rural Appraisal as a local-level community organization and planning instrument.

"Build awareness and provide training...(with) local visits and internships...(to) include:

- *Aga Khan Rural Support Project*
- *Sarhad Rural Support Corporation*
- *Orangi Pilot Project*
- *Pak-German Project/Mardan*
- *Malakand Social Forestry/Fruit & Vegetable*
- *Kalam Integrated Development Project...*

Open sewers in the slums of Karachi prompted the Orangi Pilot Project to develop innovative, cost effective tools for community organization as the first step in empowering communities to solve their own problems

Results: organized neighborhoods where 93% of the homes have flush toilets tied to underground sewers

Orangi Project founder, Dr. Akhter Hameed Khan, observing how these methods, applied in poor villages or rural Sindh, are yielding agricultural prosperity

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Local initiative being tapped by the Sarhad Rural Support Corporation for improving agriculture in Charsadda, below.

A waterway, built entirely by local villagers, with encouragement and support from the Aga Khan Rural Support Project, crosses the face of a cliff in Pakistan's Northern Areas

Village water supply for cattle and and irrigation improvements undertaken by villagers in Kohat with the support of the SRSC.

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What's Missing?

Regional Planning Framework for dynamic, equitable, and sustainable growth

This means

- Shifting from Physical infrastructure to "Social infrastructure; people planning, training, institutions, village organization—building individual and collective capacity
- Strengthen resources for Planning and Community participation, for production and income generation
- Move away from an ad hoc planning to a regional planning process
- Provide the vision and plan for dynamic and equitable growth in the defined areas—tribal areas and Gadoon-Amazai
- Place high priority on local community participation

Villagers gather, with plenty of local tea, to plan new initiatives in their village

The product of local initiative and public-private partnerships that have brought irrigation and new horticultural varieties and methods in North Waziristan

- Planning, implementation, management, operations, maintenance with local resource commitments
- "Participatory Rural Appraisal"
- Invest in Institutional Development for
  - Planning
  - Community participation
  - New NGO(s)
  - Existing NGO(s)

Empowering people to solve their own problems in a way that is sustainable

Appendix A

The Development Economics Group/Louis Berger International, Inc.

Evaluation Team

The evaluation team was made up of:

Team leader/	
Rural Development Specialist	Malcolm J. Odell, Ph. D.
Social Scientist/Economist	Shahid Perwaiz, M.A./M.Sc.
Agricultural Planner	Mian Mumtaz Ali, M. Sc.
Regional Planner	Charles F. Sweet, Ph. D.
Information Systems Analyst	Shahid Mir, M. Sc.
Public Administration Specialist	Moh'd. Yaqub Bajwa, M.Sc.

Malcolm Odell is a Rural Development Specialist with a Ph.D. from Cornell University with more than 30 years of experience working in Asia, Middle East and Africa. He has served as Executive Director/Senior Fellow at the Center for Policy Negotiations in Boston since 1988. In 1990 he worked with DEG on the Pakistan opium poppy eradication program completing an evaluation of the program for USAID/Islamabad. Since that time he has worked for USAID/Islamabad on a phase out of the opium poppy program and its reorientation. During the Gulf War,he worked with USAID/Pakistan officials in Washington on a concept paper for developing public/private partnerships in Pakistan. He is an Urdu speaker.

Shahid Perwaiz is a Economist with an M.A. in Economics from the Government College in Lahore, Pakistan and an M.S. in Agricultural Economics from the University of Idaho. He was a Program Specialist, USAID/Islamabad from 1986 to 1986. Most recently he has been consulting to USAID on privatization issues and working with RONCO and AgroVision in Lahore on agribusiness and investment development in Pakistan. He is a native Urdu speaker and speaks, reads and writes English fluently.

Mian Mumtaz Ali is a Agricultural Specialist with an MSc. in Agricultural Economics and Marketing from Cornell University. He has over 25 years of experience working as an Agricultural Planner throughout Pakistan. He was an evaluator for the Pakistan Food Security Management Project and conducted an Agricultural manpower survey for C.I.D.A. in Islamabad. In the 1980s he was Vice Chancellor, University of Agriculture, Government of the Punjab. He speaks, reads and writes Urdu and English.

Charlie Sweet is a Regional Planner with an MPA from the Kennedy School of Government, Harvard University. He has over 20 years of experience as a regional planner and business development specialist. In 1970 he founded DAI. He has worked DEG and LBII intermittently since 1978. Throughout his career he has travelled to 119 countries and had contractual assignments in 90 of those countries. He is an Adjunct Professor at James Madison University teaching development planning and management, and has lectured on regional planning at Cornell,Harvard, and University of Wisconsin.

Mohammad Yaqub Bajwa is a Public Administration Specialist with an ;MPA from the American University of Beirut and an MA in Political Science and a law degree (LL.B.) from the Punjab University. He has over 23 years of experience in regional governments holding the chief administrative position in the Punjab and within the Government of Pakistan the positions of Magistrate, Assistant Commissioner, S.D.M. Deputy Secretary at middle and senior management levels. In the Central government he was director of 20 different management studies of government agencies and parastatals. He is a journalist and has written extensively for all major Pakistani papers on government reform.

Shahid Mir has an M.Sc. in Computer Science Options from the University of Ottawa in Canada and a B.E. in Electrical Engineering from the University of Engineering and Technology, Karachi, Pakistan. He is Managing Director of a large private sector MIS company that specializes in training in computer software usage for beginners to senior management and strategic planning for corporations' growth. For the past 5 years he has consulted with the Central government to design and implement an automated and integrated system for planning. He has carried out several assignments for DEG/LBII and Coverdale for information systems needs in the NWFP and the tribal areas. He has trained both USAID and government officials in the NWFP.

TRIBAL AREAS DEVELOPMENT PROJECT
REORIENTATION TEAM
WORKSHOP

DECEMBER 1, 1991
PEARL CONTINENTAL HOTEL
PESHAWAR, PAKISTAN

SPONSORED BY SPECIAL DEVELOPMENT UNIT AND RDD/USAID
ORGANIZER: COVERDALE ORGANIZATION, INC.

BACKGROUND

The Tribal Areas Development Project sponsored by the USAID is entering its final phase, with a Project Completion Date of 1994. With this time frame it was determined to be beneficial to focus on the direction of the project during its final years. This was accomplished through a study team which developed a set of recommendations regarding the emphasis of the project with its completion.

WORKSHOP PURPOSE

The purpose of the workshop was to adopt a set of recommendations for the TADP, and to develop specific actions and responsibling assignments for implementing the recommendations. At the conclusion of the study a workshop was held to review the study team's findings.

WORKSHOP PARTICIPANTS

The workshop participants were individuals directly associated with the TADP and able to make decisions and commitments regarding the implementation of needed actions. A few individuals were invited because of their special knowledge of or close involvement with the project (see Appendix C).

WORKSHOP PROCESS

Preparation

Prior to the workshop, the Study Team prepared an eleven page summary of the major findings and recommendations of their study and report; this was submitted to participants approximately ten days prior to the workshop. A two-page summary of recommendations, was distributed approximately one week prior to the workshop (see appendix D). Thus, all workshop participants had an opportunity to read and review the major recommendations or the study team.

Introductory Comments

Opening comments at the workshop were given by Shehzad Arbab, Chief, Special Development Unit, who served as the moderator for the day. An oral presentation of the major recommendations of the study team was given by team leader Malcolm Odell.

Dr. Tariq Banuri, Social Scientist, was as an expert respondent to the study and recommendations (see appendix E). The Additional Chief Secretary addressed the group on the need and value of greater decentralization in decision making with special focus on involving the citizens of the respective project areas.

Work Groups

The workshop participants were divided into two groups to develop specific recommendations and responses to the study. These were presented and summarized in a final plenary session.

WORKSHOP ACTIONS AND AGREEMENTS

The two work groups approached the tasks from different perspectives and assumptions. However, in the plenary session there was general agreement on the Proposed Strategy and Recommendations with the following amendments:

Modifications to Purpose statement

The Proposed Strategy

-Addition in first paragraph after "The study proposes a development strategy <u>for TADP</u> that moves....
-Addition in first paragraph after "if this strategy is built on sound planning and on <u>maximum feasible</u> community....
-It was emphasized that SDU institutional building for regional planning is not done primarily at the expense of TADP alone.

Recommendations

-Deletion of <u>"away from ad hoc planning"</u> in the first recommendation. (There was disagreement on whether current planing was "ad hoc").
-Addition in second recommendation of "as far as possible"after....community participation

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[1]Refer to Appendix A.

Sub-recommendations

A list of specific actions prepared by one group was adopted by the participants as a Work Plan. Time did not permit a full discussion of these actions.

[2]

		ACTION	ACTION BY	SCHEDULE
ITEM I	P.R	CREATE REGIONAL PLANNING IN SDU	DG SDU	FEB 1992
ITEM II	P.R	INCORPORATION OF ITEM II RECOMMENDATIONS IN THE EXTENSION DOCUMENT OF THE SDU	DG SDU	FEB 1992
ITEM III		ESTABLISHMENT OF PMU FOR TADP	P.D. TADP	JAN 1992
ITEM IV	DEFERRED SUBJECT TO CLARIFICATIONS BY CONSULTANTS WITHIN 15 DAYS - HOPEFULLY			
ITEM V		HIRING OF SOCIAL ORGANIZATION BY TADP	P.D. TADP	FEB/MAR 1992
ITEM VI		PREPARATION OF ACTION PLAN SPECIALIST TRAINING AND TECHNICAL ASSISTANCE	P.D. TADP & CHIEF TPSU	MAR 1992
ITEM VII	P.R	OPERATION AND MAINTENANCE PLAN	P.D. ?	AS SOON AS POSSIBLE

A committee of four members and one advisor was formed to follow-up on the Work Plan:

Shehzad Arbab
Tariq Durrani
Douglas Grube
Khalid Masoon
Frank Pavich - Advisor

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[2]Refer to Appendix B

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APPENDIX: A

Agenda

TADP/NWFADP REORIENTATION WORKSHOP

1 DECEMBER, 1991

9:00	WELCOME	MR. SHEZAD ARBAB
9:15	REMARKS	MR. KHALID AZIZ
9:30	STUDY TEAM PRESENTATION	DR. MALCOLM ODELL
9:50	PANEL COMMENTS	DR. TARIQ BANURI MR. SULEMAN GHANI
10:20	CLARIFICATIONS AND QUESTIONS	
10:30	TEA BREAK	
11:00	WORK GROUPS: SESSION ONE SEE THE LIST OF WORK GROUP ASSIGNMENTS	
12:30	LUNCH	
1:30	WORK GROUPS: SESSION TWO SEE THE LIST OF WORK GROUP ASSIGNMENTS	
2:30	PLENARY SESSION: WORKSHOP DECISIONS AND RECOMMENDATIONS	

APPENDIX : B

THE TADP/NWFADP REORIENTATION STUDY[3]

Developing An Action Plan: Critical Issues for Discussion at the Peshawar Conference on 1 December 1991

Development progress has been made under the GOP/USAID sponsored TADP and NWFADP. Roughly $8.0 million in USAID resources remain which, combined with Government and community investments could contribute greatly to economic growth with equity in the tribal/defined areas of North West Frontier Province.

The reorientation study team has concentrated on how these resources can be used most effectively to help: a) insure a sustainable flow of benefits to communities; and b) increase government and community institutional capabilities to support this process.

The Proposed Strategy

The study proposes a development strategy that moves from a concentration on physical and social infrastructure and service activities to one directed primarily towards increasing production and net incomes of people in the defined areas. If this strategy is built on sound planning and on community involvement in decision making a defined areas. If this strategy is built on sound planning and on community involvement in decision making (with resulting local development benefits are improved.

Further, the study emphasizes the importance of the systematic and time-phased transfer of project-related, development decision making and support functions from USAID to responsible government agencies. This means a commitment by Government to provide adequate staff and recurrent budget resources, combined with USAID priorities on training, appropriate technical assistance, and a rapid, though planned, transfer of current project resources to the Government.

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[3]This paper was presented to workshop participants one week prior to the workshop

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To implement the above strategy, the study offers two main recommendations:

First, it recommends that the Government and supporting entities should move away from ad hoc planning to a regional planning process, generating the vision and plan for dynamic and equitable growth in the defined areas.

Second, it recommends that the Government, working in cooperation with NGOS and other private organizations, place high priority on Community Participation in future TADP and NWFADP initiatives to increase likelihood of sustainable development benefits through local the resource commitments.

To accomplish these two inter-related objectives, the study offers a set of sub-recommendations that include:

1. Priority in training and technical assistance be placed on building provincial and local regional planning capabilities. TADP's socio-economic profiles should be modified to improve their planning and decision making value and be used as a tool for introducing strategic planning for defined areas, under the auspices of SDU/P&D.

2. SDU/P&D should be developed as an institution for the provisions of planning, technical support, monitoring and evaluation services for externally-financed, development initiatives in the defined areas. Under a phased plan (developed with UNDCP), key TSPU, TADP, and the NWFADP resources should be integrated into SDU's structure as the Government expands its capabilities.

3. Project Management Units for externally funded projects should operate under SDU supervision, with each project plus the Government contributing the necessary personnel and financial resources to perform central functions. More specifically, SDU, with USAID assistance, should create immediately the TADP's PMU, with provision for supporting resources to SDU central functions.

4. SDU/P&D should take the lead in information systems design and technical support in the defined areas. TADP should fund the preparation of an information systems plan plus ongoing training and technical assistance. The Government should create the mechanisms for hiring and maintaining the services of high;y qualified information systems experts.

5. Community participation approaches should be tested in TADP and other defined area projects for developing appropriate models to increase community involvement in planning and development decision making as well as their resource commitments.

6. Community participation should be built around existing government and social structures and managed, initially, by a cadre of social organizers in a TSPU housed at SDU/P&D. Subsequent community participation management options could include NGOs such as SRSC or a newly established, provincial foundation.

7. A training and technical assistance program should be implemented to institutionalize in SDU/P&D and other nation building departments the use of Participatory Rural Appraisal as a local level community organization and planning instrument.

8. A plan, and a system for monitoring, should be developed for covering all O&M costs by the Government by the beneficiary communities.

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APPENDIX : C

WORKING GROUPS: TASKS AND GUIDELINES

You will be working in small working groups to develop recommended strategies and implementation activities for presentation to the Government of the NWFP based on the summary of the TADP/NWFADP Reorientation study which is in the materials you received this morning.

Following the second work group session we will reconvene in plenary session. At this time each working group will present a summary of TADP/NWFADP reorientation study which is in the materials you received this morning.

These presentation will be used to develop recommendations, from the entire group, of specific decisions, actions, and responsibilities for presentation to the Government of the NWFP.

DISCUSSION GUIDELINES

You should take as your point of reference or starting point, the two-page " Working Paper" you received this morning. Please be sure that you read this paper and refer to it throughout the day. You are asked to specifically address the following three issues or questions:

1. Please determine if your group agree with the "PROPOSED STRATEGY" as stated in the WORKING PAPER (Page one). You should specify any modifications you believe should be made or prepare an alternative strategy.

2. Consider the two main study recommendations of the WORKING PAPER (Bottom of page 1). You are asked to determine whether your group endorses these for presentation to the Government of the NWFP. (You may, if you wish, develop and present alternative recommendations.)

3. Please define and list specific action steps required to implement the major recommendations.Please be as specific as possible and include:

WHAT are the action steps recommended? Please be as specific as possible.

WHO is responsible for the next steps ?

WHEN should the action be taken ?
priorities for the final years of the project. Thus, a study team was engaged to conduct a study of the project and develop a set of recommendations for the final project years. A workshop was planned and conducted upon the conclusion of the

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APPENDIX : D

Participants
A Decision and Action Workshop
TADP Reorientation Team:
Final Report and Recommendations

Mr. Khalid Aziz, Additional Chief Secretary, Government of NWFP, Peshawar.

Mr. Abdul Latif Khan, Secretary, Local Government & Rural Development Department, Peshawar

Mr. Naveed Akram Cheema, Director General, Local Government & Rural Development, Peshawar

Mr. Adam Khan, Secretary, Communications & Works Department, GONWFP, Peshawar

Mr. Akram Khan, Director, FATA-Agriculture, Peshawar

Dr. Sher Alam Khan, Director, FATA-Education, Peshawar

Mr. Khalid Masood, Chief of FATA-Section, Peshawar

Col. (Retd.) Abdul Rauf Khan, Chairman, Federally Administered Tribal Areas-Development Corporation, Peshawar

Mr. Mohammad Amin Khattak, Director General, Special Development Unit, Government of NWFP, Peshawar

Mr. Mohammad Shehzad Arbab, Chief, Special Development Unit, Government of NWFP, Peshawar

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Mr. Aizaz-ur-Rehman, Director, Gadoon Project Coordination Unit, Government of NWFP, Tarbela

Mr. Abdul Hameed Khan, Commissioner, D.I. Khan Division D.I. Khan

Maj. (Retd.) Mohammad Naeem Khan, Commissioner, Kohat Division Kohat

Mr. Mohammad Shakil Durrani, Commissioner, Malakand Division
Saidu Sharif, Swat

Mr. Habibullah Khan, Political Agent, South Waziristan Agency, Tank

Mr. Azmat Hanif Orakzai, Political Agent, Bajaur Agency, Khar

Mr. Abdul Karim Qasuria, Political Agent, North Waziristan
Agency, Miranshah

Pir Yaqub Shah, Political Agent, Kurram Agency, Parachinar

Mr. Attaullah Khan, Political Agent, Khyber Agency, Khyber

Mr. Adnan Bashir, Chief of Agriculture, Government of NWFP, Peshawar

Mr. Ghulam Dastagir, Additional Secretary, Finance, Government of NWFP, Peshawar

Mr. Mohammad Ahmad Khan, Director, Institute of Development Studies, Agriculture University, Peshawar

Mr. S. Iftikhar-ud-Din, Joint Secretary, Ministry of SAFRON,
Block 'S', Pakistan Secretariat, Islamabad

Mr. Frank Pavich, Chief, RDD/ARD, USAID/Islamabad

Mr. John W. Tucker, Deputy Chief, RDD/ARD, USAID

Mr. Tariq Durrani; RD Policy Advisor, RDD/ARD, USAID

Mr. Iftikhar Hussain, Project Officer, TADP, USAID

Mr. Sohail Malik, Project Officer, NWFADP, USAID

Mr. Umer Mohammad, USAID

Mr. Henry Schumacher,Chief,Technical Support & Planning Unit

Mr. Jamshed Hasan, Chief Engineer, O/ENG, Study Team

Mr. Malcolm Odell, Team Leader, TADP Re-Orientation Study Team

Mr. Charles Sweet, Regional Planner, TADP Re-Orientation Study Team

Mr. Shahid Pervaiz, Social Scientist, TADP Re-Orientation Study Team

Mr. Mumtaz Ali, Agriculture Planner, TADP Re-Orientation Study Team

Resource Person

Dr. Tariq Javed Banuri, Social Scientist

Resource People

Mr. Douglas I. Grube, Chief of Party, Coverdale Organization

Ms. Kay Huth, Consultant

Dr. Barbara Robinson, Consultant

Mr. Faiez H. Seyal, Consultant

APPENDIX : E

SYNOPSIS OF COMMENTS BY DR. TARIQ BANURI IN RESPONSE TO THE SUMMARY OF THE TADP/NWFADP REORIENTATION CONSULTANT TEAM RECOMMENDATIONS - DECEMBER 1, 1991

Dr. Banuri asserted that there was little new in the report regarding the areas of recommendations: development, social justice and sustainability. This being the case why have such recommendations not been implemented in the past? What are the problems with development policy? He proposed that problems are both government related and related to society as a whole. There are two major areas of government-related problems:

1. ad hoc planning and
2. a capital or input bias - there are incentives to set up but not to maintain programs. Emphasis is on input, with little concern for output.

Society as a whole is responsible for what he referred to as a "paradoxical combination of individual excellence and collective incompetence". He illustrated this point by using the example of Pakistani physicians - individually you will find them in the US or Europe where they are referred to as being excellent. However, Pakistan has one of the worst health care systems in the world.

What must be done to correct these problems? Banuri suggested that what is needed is " incentive compatibility". That is, to give the individual the incentive to act in the collective interest. This is possible only when the incentive of the individual and the collective are compatible. This principle is applicable whether we are discussing communities, bureaucracies, politicians, businesses, social workers, NGOs or individuals.

What is wrong with the incentives currently being used? In some cases no incentives exist, resulting in unpredictability. Where they exist there is no incentive compatibility because of unpredictability in the way that they are awarded. The right incentives given in an uncertain, unpredictable manner give rise to greater individuation rather than acting in the collective interest. Incentives are too focussed on the government and policy makers as the only strategy makers. All who are involved must be included as strategy makers.

There are 4 ingredients to Incentive Compatibility:

1. The <u>incentives per se</u> - taxes and subsidies, income and salaries, perquisites, tenure and promotion.

2. <u>Information</u> - skills and training, knowledge of opportunities.

3. <u>Support</u> - human or financial resources,infrastructure.

4. <u>Supervision</u> - of four types: regulation, bureaucratic supervision, judicial systems, and beneficiary supervision.

He cautioned that typically, if incentives and supervision are given in an arbitrary, capricious fashion this contributes to unpredictability.

How does this look as far as SDU? TADP? There is the need to take into account the community as strategy makers. That is, to consider: What is it that they want? What is their internal structure? What are the best organizational inputs? What kind of supervision? The community must be involved.
We also must ensure that we are giving the right incentives.

NOTES TAKEN BY BARBARA BROWN ROBINSON 1 DEC 91

Appendix C

A Proposed Critical Events Calendar

A. Some Short-Term Priorities

1. Initiate project management review process to:

- Review reorientation recommendations and proposed Critical Events Agenda.
- Set priorities and objectives for phase-out and reorientation.
- Develop overall action plan.
- Monitor/review progress at regular intervals.
- Draw on Coverdale Project for facilitation support as appropriate (See 5, below).

General tasks for this management review process should include:

a. Revise funding/financial analysis for Gadoon to seek to reallocate US$ 2 million (total $2-3 mill. required); earmark/commit balance for implementing proposed community participation agenda.
b. Revise funding/financial analysis for TADP to determine <u>how</u> balance can be reallocated; earmark/commit balance to meet agreed reorientation objectives.
c. Prepare blanket PC-1 for remaining TADP activities/schemes.

   - Obtain Federal approval of blanket PC-1
   - Replicate process, if required, for appropriate NWFADP sub-projects

d. Issue yearly work plan through SDU/PMU for selected reorientation activities.
e. Advance project funds through SDU to TADP/PMU for yearly activities.
f. Initiate dialogue with GONWFP line departments to assume responsibility for O&M and provision of necessary resources, staffing for phase-out and for reorientation activities.
g. Monitor and complete ongoing construction and other activities in field.
h. Develop scope of work for public/private partnerships study/sub-project.

   i. Commission drafting of concept paper
   ii. Implement workshop on private sector involvement
   iii. Design appropriate private sector sub-project

i. Develop agriculture/horticulture work program with FATA/DC (See 4.d, below).

   i. Refine, finalize scope of work for marketing study
   ii. Draft scope of work for agricultural credit assessment
   iii. Draft scope of work for private sector horticulture sub-project

j. Initiate dialogue among GONWFP, USAID, and other interested donors on feasibility of long-range "umbrella" program to support comprehensive social and economic development strategy for lagging areas (See 5.c, below & B, "Agenda for the Future," below).

2. Build up the SDU in Peshawar into a fully functioning planning, implementation, and monitoring unit that can support operational project management units for the TADP and NWFADP. Draw on USAID's TSPU and Gadoon Project Management Unit, augmented by counterpart GOP staff. Implement planned construction of new facility immediately. Some specific tasks:

   a. SDU/P&D and USAID develop time-phased plan for the provision and integration of GONWFP & USAID resources, starting immediately with establishment of TADP/PMU; plan phase-out so that all TADP and NWFADP implementation is taken over systematically by SDU over next 3 years.

      i. Transfer TADP staff to PMU/SDU
      ii. Transfer selected engineers to TSPU/SDU
      iii. Transfer Gadoon Information Systems staff and equipment to SDU
      iv. Finalize plans for GONWFP to provide necessary professional staff and long-term recurrent costs for SDU
      v. Support UNDCP efforts to adopt a five-year, institution building plan for the SDU

   b. Initiate dialogue with Government through individual discussions and workshops to develop commitment to regional planning strategy and process; include specific plans for information systems and socio-economic profiles (See 5, below).

      i. Organize management information systems workshop to discuss and adopt/modify/implement reorientation recommendations (See 5, below)
      ii. Determine institutional home for socio-economic profiles located within GONWFP and arrange transfer of appropriate support

including necessary resources and expertise to further their development, refinement, and utilization in the planning process

c. Finalize plans, finances for new TADP/SDU building.

- Initiate construction of new TADP/SDU building

d. Initiate dialogue among GONWFP, USAID, and interested donors concerning pilot/experimental effort to establish appropriate structures at the local and Agency level for decentralized and participatory development planning and decision-making.

3. Provide skilled social organizers for both the SDU headquarters and field operations in selected tribal areas and Gadoon-Amazai, and give the social organizers maximum possible opportunity to implement pilot projects and to test new approaches. Action should commence as soon as practical and should utilize existing NGO and government structures to the maximum degree possible.

a. Re-advertise social organizer position for TSPU; seek experienced and highly qualified senior social organizer
b. Seek trained and experienced senior social organizer for SDU
c. Recruit social organizers for selected tribal areas and Gadoon-Amazai
d. Recruit program specialist(s) to provide administrative support to social organizers in TSPU and SDU
e. Initiate dialogue with SRSC on reorientation recommendations, including:

i. Activate Board of Directors; schedule meetings
ii. Schedule individual consultations/visits with Board members
iii. Specify development plans for existing village institutions
iv. Initiate experiments with low cost alternatives
v. Conduct joint USAID/SRSC collaborative assessment

Determine appropriate future role for SRSC in TADP and/or NWFADP community participation activities

(See also Community Participation and Participatory Rural Appraisal recommendations/critical events, section 4, below)

4. Support, on a case-by-case basis, participatory pilot projects at the community level within selected TADP and NWFADP areas. Draw on existing and evolving social organization expertise and work through those Political Agents and line

agencies, such as FATA/DC, which show high interest and where initial success is deemed most likely. Promising activities include infrastructure, agriculture, and female education. Use blanket PC-1s and annual work plan mechanisms.

a. Initiate pilot community participation activities as proposed for:

   i. Bajaur
   ii. South Waziristan
   iii. Kurram (Others as appropriate)

b. Finalize NFE program with GONWFP; determine activities to be included in short-term vs. long-term plans; arrange necessary approvals, implement activities, including:

   i. Recruit female social organizers (If obstacles continue as in past, examine feasibility of recruiting a husband/wife team; combine recruitment with that for Senior Social Organizers, above)
   ii. Make decision on proposals made by Political Agents from South & North Waziristan for selected areas where community participation is viable; include commodity support
   iii. Support female education/NFE centers:

      - Strengthen selected centers only
      - Promote teacher training, female education, female health training
      - Support training in grading & processing of fruits and vegetables; use audio visual tapes
      - Initiate training and support for women's poultry, dairy, beekeeping, and sericulture programs as appropriate
      - Provide agricultural and home business credit

c. Form appropriate partnership with FATA/DC to implement community-participation approach for its programs. Specifically:

   i. Refine FATA/DC pro-forma undertakings as potential model for developing similar undertakings for use with both TADP and NWFADP project components and/or sub-projects
   ii. Determine policy on FATA/DC tube wells and conversions e.g.:

      - 100% of projects should have community participation

- Community undertakings will provide commitments to pay bills, list beneficiaries and their acreages, tenancy arrangements, take responsibility for all O&M
- Necessary irrigation channels/pipes for equitable water distribution are to be provided by community before FATA provides well

iii. Finalize arrangements for other potential FATA projects, e.g.:

- Explore if PC-1 can be amended to subdivide funds, to provide more and smaller wells, dug wells, instead of only tube wells, in order to increase benefits to large numbers of beneficiaries, more equitably, than is feasible with tube wells
- Seek locations for initial projects where assets and benefits are relatively equitably distributed; avoid areas where these are highly skewed
- Examine means of increasing equity, distribution of benefits; e.g. some communities have developed agreements that protect tenants from having to provide a larger percentage of crop to landlord if irrigation is provided through project assisted funding; NGOs may be able to assist.

d. Initiate dialogue with FATA/Agriculture on appropriate short- and long-term action plan for agricultural and private sector agribusiness development (See 5, below); determine areas for immediate action, e.g.:

i. Establish vegetable demonstration plots expanded to cover main vegetable growing areas; expansion of horticulture demonstrations
ii. Expand training to farmers; horticulture and vegetable production
iii. Organize female training (See 4.b. above)
iv. Organize quality seed production with progressive farmers
v. Initiate practical demonstrations of plant protection measures and safety procedures
vi. Develop water management training plan
vii. Social organizers to explore feasibility of forming water users associations and/or integration with village organizations (See 3, above)

e. Discuss and come to agreement with NWFP Agriculture Dept. on program for Gadoon-Amazai, including:

i. Further develop/introduce improved technologies
ii. Improve linkages to research and extension
iii. Implement pilot poultry project

f. Discuss/agree with Forestry Dept. on development and expansion of social forestry program for Gadoon-Amazai and Tribal Agencies.

g. Initiate dialogue among Coverdale Project, Peshawar University, Agriculture University, Institute of Development Studies, Pakistan Academy of Rural Development to develop PRA/P training plan and feasibility/action plan for introducing PRA/P into existing systems and to explore feasibility of developing student cadre for PRA and social organization.

h. Finalize plans for regional and/or Gadoon foundation/NGO, e.g:

i. Establish the proposed provincial foundation, or agreeable alternative
ii. Re-examine funding and expenditure commitments to seek to reallocate at least US$ 2 million, required to adequately fund start-up of regional foundation and Gadoon-Amazai field activities
iii. Establish endowment from funds remaining within the NWFADP
iv. Draw upon currently available NWFADP resources such funding as may be required to start appropriate community participation activities in Gadoon-Amazai
v. Retain flexibility for potential expansion and/or modifications to provide support to tribal areas, and/or to merge the foundation with the SRSC

5. Draw upon the Coverdale/DEG Three Year Workshop Project to facilitate ongoing dialogue, planning, and network development in support of TADP and NWFADP efforts; include an intensive program of study tours, training programs, workshops, and field exercises; use the tools of Participatory Rural Appraisal (PRA) to promote increased awareness, skills, and expertise among senior, mid-level, and field staff, and among local farmers and community activists.

a. Design and implement in-country/out-country human resources/training program; including:

i. Regional Planning
ii. Information Systems
iii. Community Participation Strategies
iv. Participatory Rural Appraisal

v. Agriculture and Horticulture Development.
vi. Public-Private Partnerships

b. Develop appropriate support network(s), including "Panel of Experts" to support all TADP and NWFP reorientation planning and future activities.
c. Initiate dialogue among GONWFP, USAID, and other interested donors on agenda for the future, including recommended 'umbrella' program and related projects and sub-projects for the development of lagging areas. (See B. "Agenda for the Future," below.).

B. The Agenda for the Future

As specific short-term efforts proceed, Government should initiate dialogue with other donors to provide a coordinated "umbrella" package of funding support to the SDU, Tribal Areas, and selected settled areas. The recommendations in this report and the annexes in Volume II provide a potential framework for such a long-range funding package. Recommended components of such an integrated "umbrella' program include:

1. Regional and community-level planning:

   a. Develop and implement comprehensive community-based regional planning strategy for NWFP.
   b. Establish appropriate structures at the local and Agency level for decentralized and participatory development planning and decision-making.
   c. Strengthen P & D as required to become fully functioning regional planning department.
   d. Develop and implement comprehensive Geographic Information Systems (GIS) within P&D.
   e. Build FATA Section, P&D, into fully functioning planning and information systems unit for Tribal Agencies.

2. Information Systems:

   a. Develop and implement comprehensive information systems plan (ISP).
   b. Establish and support a central computer bureau to service and support decentralized planning and information system units in all key line agencies, Districts, and Agencies of NWFP.
   c. Develop and implement improved incentive plan to retain trained personnel.

3. Community participation initiatives:

   a. Finalize permanent institutional support mechanisms for all community participation initiatives in NWFP.
   b. Finalize appropriate long-term role for SRSC in NWFP, including support to TADP and/or NWFADP community participation activities.
   c. Expand participatory community projects to all Tribal Agencies on basis of lessons learned in pilot projects.
   d. Institutionalize permanent NFE/women's education and development program for all lagging areas based on pilot activities under TADP and NWFADP and other donor-funded activities.
   e. Expand community participation approach to all appropriate line agencies based on pilot experience with FATA/DC.

4. Agricultural and private sector agribusiness development (FATA/Agric.):

   a. Establish adaptive research farms on 2 - 3 acres in key areas.
   b. Expand vegetable demonstration plots to cover all main growing areas.
   c. Expand training to 4000 farmers per year.
   d. Expand female training, incl. use of audio-video tapes, esp., in grading and processing of fruits and vegetables.
   e. Examine feasibility of expanding sheep and goat production consistent with environmental factors.
   f. Explore support of tractorization.
   g. Develop and implement water management training plan.
   h. Implement water users association program.

5. Agricultural and private sector agribusiness development for Gadoon-Amazai (Ag. Dept./NWFP):

   a. Further develop/introduce improved technologies.
   b. Establish permanent linkages to research and extension.
   c. Establish adaptive research farm(s).
   d. Implement area-wide poultry project on basis of pilot project.

6. Social forestry program for Gadoon-Amazai and Tribal Agencies:

   Expand to all communities on basis of pilot activities

7. Public-private partnerships, at grass-roots, intermediate, and provincial levels:

Implement area-wide program on basis of pilot projects; potential projects:

a. Horticultural production
b. Horticultural marketing
c. Horticultural research & development
d. Food processing
e. Forest product development
f. Tourism development
g. Narcotics production eradication and substitution

Appendix D

STATEMENT OF WORK

A. OBJECTIVES: THE MISSION INTENDS TO BUILD FURTHER ON ITS WORK IN THE FEDERALLY ADMINISTERED TRIBAL AREAS (FATA) THROUGH AN AMENDMENT TO THE EXISTING TRIBAL AREAS DEVELOPMENT PROJECT, 391-0471.

THIS AMENDMENT REPRESENTS AN EXPERIMENTAL APPROACH TO ITS WORK IN THESE AREAS AS EVIDENCED BY:

1. TRANSITION OF PROJECT MANAGEMENT BY USAID TO A MANAGEMENT BY THE IMPLEMENTING LINE AGENCIES AND THE PROJECT "HOME";

2. MORE ACTIVE INVOLVEMENT BY PROJECT BENEFICIARIES;

3. PRIORITY GIVEN TO DEVELOPMENT CONSIDERATIONS OVER POLITICAL CONSIDERATIONS FOR PROJECT SELECTION; AND

4. LOCAL BENEFICIARY AND GOVERNMENT RESPONSIBILITIES FOR O&M COSTS OF PROJECT INITIATED ACTIVITIES.

THIS PROJECT AMENDMENT EXPANDS THE TARGET AREA, INCORPORATING THE POTENTIAL, THE CURRENT, AND THE FORMER POPPY GROWING AREAS OF NWFP AND TRIBAL AREAS, AND TAKING ON DEVELOPING ACTIVITIES AFTER THE NARCOTICS ASSISTANCE UNIT (NAU) OF THE US EMBASSY AND OTHER DONOR AGENCIES PHASE OUT THEIR ACTIVITIES WHICH FOCUS ON SHORT TERM DEVELOPMENT INTITIATIVES LINKED TO AN ENFORCEMENT OF THE BAN ON OPIUM POPPY CULTIVATION.

IN ORDER TO CONTINUE AND EXPAND THE WORK OF TADP AS PRESENTED, THIS AMENDMENT WILL: (1) FOCUS ON THE DELIVERY OF PRIMARILY SMALL-SCALE DEVELOPMENT ACTIVITIES/SUBPROJECTS. PROJECT ACTIVITIES WILL BE MORE DIVERSE UNDER THE AMENDMENT AND WILL CONCENTRATE ON GEOGRAPHIC AREAS CAPABLE OF PRODUCING GREATER ECONOMIC GROWTH. THE PROJECT INTENDS TO HELP DIVERSIFY AND STRENGTHEN TRIBAL AGENCIES IN PART TO PREVENT FARMERS FROM TURNING TO POPPY OR HASHISH CULTIVATION AS THEIR MOST REASONABLE ALTERNATIVE. NEW AREAS OF INVESTMENT WILL

INCLUDE: (A) AGRICULTURE, WITH AN EMPHASIS ON HORTICULTURE AND MARKETING; (B) SOIL CONSERVATION, NATURAL RESOURCES MANAGEMENT, AND AGRO-FORESTRY. INITIATIVES IN THESE AREAS WILL HELP REVERSE THE DELETERIOUS IMPACT OF DENSE AFGHAN REFUGEE POPULATIONS IN AN ALREADY RESOURCE POOR REGION; (C) EDUCATION, WITH EMPHASIS ON PRIMARY EDUCATION, GIRLS' MIDDLE EDUCATION, TECHNICAL EDUCATION, AND NON-FORMAL EDUCATION FOR FEMALES IN ORDER TO IMPROVE THE HUMAN RESOURCE BASE; (2) INTRODUCE RATIONAL PLANNING PROCESSES TO HELP BALANCE THE POLITICAL CRITERIA WHICH CURRENTLY ARE VIRTUALLY THE SOLE CRITERIA BY WHICH DEVELOPMENT ACTIVITIES ARE ELECTED AND TO REACH FULL CONSENSUS ON THE NEW APPROACHES TO INSTITUTIONAL DEVELOPMENT. THESE PLANNING PROCESSES INCLUDE BUT ARE NOT RESTRICTED TO THE FOLLOWING COMPONENTS: (A) CONTINUED DEVELOPMENT AND UPDATING OF SOCIOECONOMIC PROFILES AND RESOURCE MAPS OF THE FOUR RELEVANT TRIBAL AREAS (KURRAM, ORAKZAI, NORTH WAZIRISTAN, AND SOUTH WAZIRISTAN). DEVELOPMENT INTERVENTIONS IN THE REMAINING THREE TRIBAL AREAS (BAJAUR, MOHMAND, AND KHYBER) WILL BE CONSIDERED FOR PROJECT FUNDING AT AN APPROPRIATE TIME. THE SOCIOECONOMIC PROFILES SUGGEST INVESTMENT DIRECTIONS AND GIVE A BASELINE AGAINST WHICH TO MEASURE LATER PROGRESS. RESPONSIBILITY FOR THE PROFILES AND MAPS WILL BE TRANSFERRED GRADUALLY TO THE GOP PROJECT MANAGEMENT UNIT (PMU), AND THEIR USE WILL BE ENCOURAGED THROUGH SEMINARS AND WORKSHOPS, (B) CONTINUED IMPROVEMENT IN OR DEVELOPMENT OF MANAGEMENT INFORMATION SYSTEMS FOR SELECTED TADP COUNTERPARTS, TO ALLOW BETTER PLANNING, DECISION MAKING, AND MONITORING; (C) TRAINING IN REGIONAL PLANNING TECHNIQUES, IMPROVING INTER-AGENCY COORDINATION, AND INCREASING TECHNICAL AGENCY SKILLS THROUGH THE THREE-YEAR WORKSHOP--A SERIES OF TRAINING EVENTS FOCUSING ON TECHNICAL AND NON-TECHNICAL ASPECTS OF DEVELOPMENT; (D) DEVELOPMENT OF TRIBAL AGENCY PLANS THAT MIGHT BE USED TO ATTRACT ADDITIONAL DONOR FUNDING; AND (E) ANALYSIS OF GOP BUDGET COVERAGE (3) DETERMINE THE NEED FOR A CONTRACTOR AND/OR AN NGO FOR PROJECT IMPLEMENTATION; (4) PRESENT A DETAILED, PHASED PLAN FOR THE TRANSFER OF IMPLEMENTATION MANAGEMENT FUNCTIONS TO THE GONWFP. THIS PLAN SHALL CONSIDER: THE MANAGEMENT CAPACITY, TECHNICAL EXPERTISE, STAFFING AND INCENTIVE STRUCTURES, AND MAINTENANCE SYSTEM BEING DEVELOPED IN THE PMU AS WELL AS THE IMPLEMENTATION NEEDS OF PROJECT ACTIVITIES. LEAD TO STRENGTHENING OF A GOP TADP PROJECT MANAGEMENT UNIT OR APPROPRIATE ORGANIZATIONAL ENTITY TO WHICH IMPLEMENTATION RESPONSIBILITY WILL BE TRANSFERRED FROM USAID IN A PHASED

MANNER; (5) PROMOTE DELIVERY MECHANISMS OTHER THAN THE SDU WHICH ENCOURAGE LOCAL PARTICIPATION IN THE DEVELOPMENT PROCESS AND PARTICULARLY LOCAL RESPONSIBILITY FOR PROJECTS ONCE COMPLETED IN ORDER TO REDUCE THE RECURRENT COST BURDEN ON THE GOP AND ENSURE THAT THE COMMUNITY SHOW MORE CARE FROM ITS DEVELOPMENT INTERVENTION. THIS SHOULD INCLUDE EVALUATION OF THE SARHAD AND OTHER PVO ACTIVITIES, OF LOWER-LEVEL GOVERNMENT INTERVENTIONS, AND THE POSSIBLE ROLE OF THE PRIVATE SECTOR IN DELIVERING INFRASTRUCTURE AND SERVICES; AND (6) PRESENT A PLAN WHICH ALLOWS DIVERSIFICATION OF PROJECT ACTIVITIES THROUGH A VARIETY OF GOVERNMENTAL AND NON-GOVERNMENTAL CHANNELS, INCLUDING INVESTMENT IN AREAS WITH A PRODUCTIVE CAPACITY, E.G., HORTICULTURE, IRRIGATION, CASH CROPS, PROCESSING.

B. DESIGN APPROACH: THE TEAM SHOULD DESIGN INTERVENTIONS WHICH EMPHASIZE EXPERIMENTAL APPROACHES AND OPTIONS FOR WORKING IN THE PROJECT AREA, RATHER THAN FIXED LONG-TERM SOLUTIONS. THE MISSION WOULD LIKE TO TRY INNOVATIVE APPROACHES, EXPERIMENTATION AND SOME RISK-TAKING ESPECIALLY IN IMPLEMENTATION OF SUBPROJECTS, IN PROMOTING PRIVATE SECTOR AND PVO LED DEVELOPMENT INITIATIVES, AND IN INCREASING LOCAL RESPONSIBILITY FOR DEVELOPMENT PLANNING AND IMPLEMENTATION. RECOMMENDATIONS SHOULD THEREFORE GENERALLY BE SHORTER-TERM IN DURATION AND FLEXIBLE IN DESIGN. EXPERIMENTATION CONDUCTED DURING THE PROJECT AMENDMENT PHASE WOULD PROVIDE THE MISSION WITH OPTIONS TO CONSIDER USING IN A PROPOSED FOLLOW-ON PROJECT WHICH WILL COVER BOTH TRIBAL AREAS AND NWFP.

C. LEVEL OF EFFORT: THE MEMBERS OF THE CONTRACTOR'S TEAM SHOULD WORK FOR THE FOLLOWING DURATION: (1) AREA DEVELOPMENT/INSTITUTION BUILDING EXPERT/TEAM LEADER--FIFTEEN WEEKS (1-15); (2) SOCIAL SCIENTIST--FIFTEEN WEEKS (1-15); (3) AGRICULTURE PLANNER--TWELVE WEEKS (1-12); AND (4) HUMAN RESOURCES DEVELOPMENT/TRAINING SPECIALIST--TEN WEEKS (3-12). THE TOTAL LEVEL OF EFFORT FROM THE CONTRACTOR'S TEAM IS FIFTY-TWO PERSON WEEKS. THE TAD PROJECT OFFICER KNOWS SEVERAL SOCIAL SCIENTISTS IN PAKISTAN WHO HAVE EXTENSIVE KNOWLEDGE OF THE TRIBAL AREAS. THE MISSION SUGGESTS THAT ONE OF THEM SERVE AS SOCIAL SCIENTIST TO THE TEAM. USAID WILL INSTITUTE COMPETITIVE PROCEDURES AND CONTRACT DIRECTLY THROUGH A PURCHASE ORDER WITH THE SUCCESSFUL CANDIDATE.

AN ESTIMATED 15 WEEKS WILL BE REQUIRED TO PREPARE THE PROJECT AMENDMENT BEGINNING IN EARLY SEPTEMBER. AT LEAST FIFTY PERCENT OF THE CONTRACTORS' TIME IN-COUNTRY WILL BE SPENT WRITING. THE FOLLOWING ILLUSTRATIVE TIMETABLE IS ENVISAGED: WEEK 1 -- REVIEW OF DOCUMENTS AND INTERVIEWS WITH USAID PERSONNEL. SUBMISSION OF PRODUCTION SCHEDULE BY THE TEAM LEADER TO THE PROJECT OFFICER; WEEKS -- 2, 3, 4, 5 AND 6 -- VISITS TO TADP OFFICE AND TO SUCCESSFUL AND LESS SUCCESSFUL SUB-PROJECTS, INTERVIEWS WITH GOP PERSONNEL CURRENTLY RESPONSIBLE FOR ONGOING SUB-PROJECT IMPLEMENTATION AS WELL AS POLITICAL AGENTS; WEEKS 7 AND 8 -- PREPARATION OF THE FIRST DRAFT OF THE PROJECT PAPER AMENDMENT; WEEKS 9 AND 10 -- REVIEW OF THE DRAFT BY THE PROJECT COMMITTEE FOR CONSIDERATION OF REVISION; WEEKS 11 TO 13 -- PREPARATION OF FINAL DRAFT PROJECT AMENDMENT, INCORPORATION OF COMMITTEE CONCERNS; WEEKS 14 AND 15 -- FINAL REVIEW BY THE MISSION/PROJECT COMMITTEE. EXCEPT FOR THE TEAM LEADER, AND WITH HIS/HER CONSENT, MEMBERS OF THE TEAM MAY LEAVE UPON COMPLETION OF THE FINAL DRAFT. THE TEAM LEADER SHALL STAY UNTIL THE FINAL DOCUMENT IS APPROVED BY THE MISSION. IT WILL BE THE RESPONSIBILITY OF THE TEAM LEADER TO MAKE CHANGES IN THE FINAL DRAFT PROJECT AMENDMENT, AS DIRECTED BY THE MISSION.

A LOCALLY HIRED WORKSHOP FACILITATOR WOULD BE MADE AVAILABLE AT PESHAWAR DURING WEEK ONE AND WEEK EIGHT OF THE AMENDMENT DESIGN WORK TO FACILITATE THE KEY STAKE-HOLDERS TO UNDERSTAND THE DESIGN ELEMENTS AND BY THE EIGHT WEEK TO AGAIN COLLECT TO HELP WRITE THE AGREED UPON PROJECT COMPONENTS.

D. <u>SCOPE OF WORK</u>: EACH TEAM MEMBER SHALL BE RESPONSIBLE FOR HIS/HER RESPECTIVE SECTIONS OF THE DRAFT PROJECT PAPER AMENDMENT, WITH THE HELP OF PERSONNEL FROM USAID'S REGIONAL OFFICE (OFFICE OF ENGINEERING AND THE TAD PROJECT OFFICE) LOCATED AT PESHAWAR AND THE RURAL DEVELOPMENT DIVISION OF THE OFFICE OF AGRICULTURE AND RURAL DEVELOPMENT (ARD) IN ISLAMABAD. THE ASSIGNED SECTIONS TO THE DESIGN TEAM MEMBERS FOR WRITING THE DRAFT PP AMENDMENT ARE PRESENTED IN ATTACHMENT 2. HOWEVER, THE TEAM LEADER WILL BE RESPONSIBLE TO ENSURE THAT ALL SECTIONS OF THE PP AMENDMENT ARE COMPLETED BY THE TEAM MEMBERS. THE FOLLOWING SPECIFIC ASSISTANCE WILL BE PROVIDED BY USAID: (1) ECONOMIST (ISLAMABAD); (2) HORTICULTURALIST (ISLAMABAD); (3)

AGRONOMIST (PESHAWAR); (4) IRRIGATION ENGINEER (PESHAWAR/ISLAMABAD); (5) CIVIL ENGINEER TO IDENTIFY AND DESCRIBE POTENTIAL INFRASTRUCTURE ACTIVITIES CONCERNING FEEDER ROADS AND SMALL BUILDINGS; (6) PROJECT SYSTEMS ANALYST (PESHAWAR), WHO WILL DESCRIBE INSTITUTION-STRENGTHENING ACTIVITIES, E.G., COMPUTER CENTERS OCCURRING WITHIN THE GOVERNMENT LINE DEPARTMENTS RESPONSIBLE FOR ADMINISTERING PROJECTS IN FATA; (7) SEVERAL FOREIGN SERVICE NATIONALS (FSN'S) WITH BACKGROUNDS IN AGRICULTURE OR ENGINEERING WHO KNOW THE AREA AND SPEAK THE LOCAL LANGUAGE, AND WHO WILL ACCOMPANY THE TEAM DURING THE FIELD WORK; (8) A WRITER/COORDINATOR/DESIGN OFFICER PROVIDED BY AID/W WHO WILL ASSIST IN THE PREPARATION OF DRAFTS; AND (9) SECRETARIAL ASSISTANCE WITH AN IBM COMPATIBLE COMPUTER. THE ENVIRONMENTAL ASSESSMENT SHALL BE PREPARED BY THE OFFICE OF ENGINEERING (O/ENG) USAID/ISLAMABAD, WHICH SHALL CONSIDER THE FOLLOWING ISSUES IN ACCORDANCE WITH 22 CFR 216: (A) DEVELOPMENT OF ENVIRONMENTAL GUIDELINES FOR THE DESIGN AND CONSTRUCTION PHASES OF THE ROAD AND INFRASTRUCTURE SUBPROJECTS; AND (B) PREPARE OUTLINE FOR THE PREPARATION OF ENVIRONMENTAL ASSESSMENTS FOR THOSE CONSTRUCTION ACTIVITIES WHERE POTENTIALLY SIGNIFICANT ENVIRONMENTAL EFFECTS MAY RESULT AND USING ENVIRONMENTAL GUIDELINES MAY NOT BE SUFFICIENT TO ADDRESS OR MITIGATE NEGATIVE EFFECTS. THE O/ENG WILL ALSO PREPARE A REVISED INITIAL ENVIRONMENTAL EXAMINATION (IEE). THE FINANCIAL AND ECONOMIC ANALYSES WILL BE PREPARED BY A MISSION ECONOMIST. THE PROJECT AMENDMENT SHALL BE BASED ON AID FORMAT FOUND IN HANDBOOK 3, CHAPTER 3.

E. METHODS AND PROCEDURES: TEAM LEADER WILL HAVE THE PRINCIPAL RESPONSIBILITY FOR THE COORDINATION OF ALL INPUTS, DRAFTING AND EDITING THE PROJECT PAPER AMENDMENT UNDER THE SUPERVISION OF AID/W DESIGN OFFICER OR USAID OFFICIALS. SHE/HE WILL COORDINATE THE CONTRIBUTIONS OF ALL MEMBERS OF THE PROJECT AMENDMENT DESIGN TEAM INCLUDING CONTRIBUTIONS FROM GOP AND USAID. WITHIN THE FIRST SEVEN DAYS OF THE TEAM LEADER'S ARRIVAL, SHE/HE WILL DEVELOP (A) AN OUTLINE OF THE PROJECT AMENDMENT WITH WORK ASSIGNMENTS FOR SPECIFIC TEAM MEMBERS; (B) A TIME SCHEDULE FOR THE DRAFTING AND FINAL EDITING OF THE DOCUMENT; AND (C) A COMPLETED LOGICAL FRAMEWORK. THESE DOCUMENTS WILL BE DEVELOPED THROUGH INTENSE DIALOG WITH USAID STAFF AND CONSULTANTS DURING THE INITIAL WEEK. AT THE END OF THE FIRST TEN DAYS, THE TEAM WILL SUBMIT AN OUTLINE FOR MISSION REVIEW OF THE POINTS TO BE COVERED IN EACH SECTION OF THE PROJECT PAPER AMENDMENT, A

LIST OF SPECIFIC TOPICS TO BE STUDIED IN GREATER DETAIL BY THE TEAM DURING THE ENSUING WEEKS WILL ALSO DEVELOPED. THE TEAM SHOULD THEN REPORT BACK TO USAID FOR A SECOND ROUND OF INTENSE REVIEWS ONCE ALL INFORMATION IS COLLECTED TO CONFIRM CONCEPTUAL AGREEMENT ON ALL ASPECTS OF THE PROJECT PAPER AMENDMENT. THIS SHOULD OCCUR NLT SEVEN WEEKS SO THAT ALL ASPECTS OF THE PROGRAM ARE MUTUALLY UNDERSTOOD. ALL TEAM MEMBERS SHOULD BE FAMILIAR WITH THE FOLLOWING DOCUMENTS UPON THEIR ARRIVAL IN COUNTRY: (1) RURAL DEVELOPMENT STRATEGY, MARCH, 1989; (2) 1988 TAD PROJECT EVALUATION AND RECOMMENDATIONS; (3) FALL, 1989 PID-LIKE CABLE SENT TO AID/W (ISLAMABAD 011673); (4) 1989 TADP II CONCEPTS PAPER; (5) 1990 POSITION PAPER ON ORGANIZATIONAL POSITIONING OF TADP IN THE GOVERNMENT OF THE NORTHWEST FRONTIER PROVINCE; (6) TADP AND ISSUES FOR TADP-II, OCTOBER, 1989; (7) SOCIOECONOMIC PROFILES OF KURRAM, NWA, SWA; (8) AID/W CABLE (STATE 147966) AUTHORIZING THE MISSION DIRECTOR TO APPROVE AND AUTHORIZE PP AMENDMENT, AND PROVIDING DISCUSSION ON SIX KEY ISSUES FOR PREPARATION OF THE PP AMENDMENT; AND (9) RELEVANT FILES.

A SIX-DAY WORK WEEK HAS BEEN AUTHORIZED FOR THE TEAM. USAID WILL PROVIDE OFFICE SPACE AND OFFICIAL TRANSPORTATION.

F. TEAM COMPOSITION: RESPONSIBILITIES OF INDIVIDUAL TEAM MEMBERS ARE LISTED BELOW:

F1. TEAM LEADER: QUALIFICATIONS: GRADUATE DEGREE IN REGIONAL PLANNING, ECONOMICS OR BUSINESS AND AT LEAST 15 YEARS' PROFESSIONAL EXPERIENCE, INCLUDING DESIGNING/IMPLEMENTING/ANALYZING RURAL DEVELOPMENT INITIATIVES IN SOUTH ASIA OR THE MIDDLE EAST WITH PARTICULAR ATTENTION TO ISSUES RELATING TO PRIVATE SECTOR AND AREA DEVELOPMENT PROJECTS. DEMONSTRATED ABILITY IN IDENTIFYING: (1) POTENTIAL PROJECTS WHICH REQUIRE AND/OR LEAD TO THE DEVELOPMENT OF INFRASTRUCTURE AND OTHER SECTORS; (2) LINE DEPARTMENT ACTIVITIES THAT DIRECTLY UTILIZE AND/OR STRENGTHEN INSTITUTIONS; (3) OPPORTUNITIES FOR PRIVATE SECTOR AND PVO-LED DEVELOPMENT INITIATIVES, WITH PARTICULAR FOCUS ON INITIATIVE AMONG INDIGENOUS GROUPS NOT ASSIMILATED INTO THE LOCAL ECONOMIC/POLITICAL MAINSTREAM, PREFERABLY IN THE CONTEXT OF RURAL/AREA DEVELOPMENT PROGRAMS IN REMOTE THIRD WORLD AREAS; (4) DEVELOPMENT OF REGIONAL PLANNING PROCESSES; (5) TECHNICAL ASSISTANCE NEEDS. THE TEAM LEADER MUST HAVE DEMONSTRATED AN ABILITY TO MANAGE A DESIGN TEAM IN THE DEVELOPMENT AND WRITE-UP OF PROJECT PAPERS/AMENDMENTS

AND PRODUCED REPORTS IN A FORMAT/STYLE USED IN AID PROJECT DESIGNS WITHIN A LIMITED TIME FRAME. THE ABILITY TO UNDERTAKE STRENUOUS FIELD WORK IS ESSENTIAL. KNOWLEDGE OF AID PROCEDURES AND LIMITATIONS/FAILURES OF INTEGRATED AREA DEVELOPMENT INITIATIVES AMONG MINORITY/RURAL/TRIBAL GROUPS IS DESIREABLE.

TASKS: (1) SHE/HE WILL DRAFT AND EDIT THE PP AMENDMENT IN ACCORDANCE WITH THE GUIDELINES IN AID HANDBOOK 3; (2) SHE/HE WILL BE RESPONSIBLE FOR COORDINATING INPUTS FROM ALL TEAM MEMBERS; (3) SHE/HE WILL BE SPECIFICALLY RESPONSIBLE FOR DRAFTING PROJECT RELATED DOCUMENTS, AND ACCOMPANYING OTHER TEAM MEMBERS IN INTERVIEWS WITH RELEVANT GOP AND USAID PERSONNEL AS PROJECT BENEFICIARIES; (4) IDENTIFY APPROPRIATE PROJECT ACTIVITIES TAKING INTO CONSIDERATION SUCH FACTORS AS COST EFFECTIVENESS, NEEDS OF THE INTENDED BENEFICIARIES, AND POLITICAL CONSTRAINTS, AND LINE AGENCIES' STRENGTH AND WEAKNESSES; (5) IDENTIFY CONSTRAINTS TO AND MEANS OF ENCOURAGING LOCAL PARTICIPATION, INCLUDING SUCH ALTERNATIVE COURSES OF ACTION FOR SEEKING BENEFICIARY CONTRIBUTIONS AS: TAX REVENUES, USER FEES, AND DIRECT CASH CONTRIBUTIONS; (6) RECOMMEND APPROACHES TO INCREASING BENEFICIARY INVOLVEMENT IN SUBPROJECT SELECTION AND IMPLEMENTATION; (7) DETERMINE TA OR CONTRACTOR NEEDS FOR PROJECT IMPLEMENTATION; THE PP AMENDMENT WILL IDENTIFY ACHIEVABLE MILESTONES (PERHAPS EMPHASIZED BY COVENANTS) RELATED TO THE ASSUMPTION OF APPROPRIATION O&M COSTS; (8) HAVE OFFICE OF ENGINEERING USAID/PESHAWAR PREPARE A COMPREHENSIVE ANALYSIS OF THE CONSTRUCTION SCHEDULE OF THE THALL-PARACHINAR ROAD INCLUDING EARLY WARNING SIGNS OF SCHEDULE DELAYS. THIS ANALYSIS WILL BE A PART OF THE PP AMENDMENT. (9) HAVE THE ENVIRONMENTAL ASSESSMENT (EA) AND THE REVISED INITIAL ENVIRONMENTAL EXAMINATION (IEE) PREPARED BY THE OFFICE OF ENGINEERING USAID/PESHAWAR INCORPORATED IN THE PP AMENDMENT. (10) WITH THE HELP OF OTHER TEAM MEMBERS, HAVE PRIMARY RESPONSIBILITY FOR PREPARING AND WRITING THE DRAFT PROJECT PAPER AMENDMENT, TO INCLUDE A CHECKPOINT MATRIX BASED ON BOTH THE EVALUATION AND NEWLY PLANNED ACTIVITIES TO DEMONSTRATE THAT ADEQUATE CONSIDERATION HAS BEEN GIVEN TO OBSERVATIONS AND PREVIOUS PROJECT EXPERIENCES. (11) THE PP AMENDMENT IMPLEMENTATION AND MONITORING PLAN SHALL BE PREPARED IN COORDINATION WITH GONWFP TO INSURE COMPLETE UNDERSTANDING BY ALL PARTIES REGARDING EXPECTATION OF THE HOST GOVERNMENT. IT SHALL INCLUDE A DETAILED, PHASED PLAN FOR THE TRANSFER OF IMPLEMENTATION MANAGEMENT FUNCTIONS TO THE GONWFP

CONSIDERING: THE MANAGEMENT CAPACITY, TECHNICAL EXPERTISE, STAFFING AND INCENTIVE STRUCTURES, AND MAINTENANCE SYSTEM BEING DEVELOPED WITHIN THE TADP PMU AS WELL A THE IMPLEMENTATION NEEDS OF THE PROJECT ACTIVITIES. DETAILED PROJECT AMENDMENT PAPER FORMAT IS PRESENTED IN ATTACHMENT 2.

F2. SOCIAL SCIENTIST. QUALIFICATIONS: GRADUATE DEGREE IN SOCIAL SCIENCES, WITH DEMONSTRATED EXPERTISE IN PREPARING SOCIAL ANALYSES IN PAKISTAN OR SIMILAR CONTEXT, AND TEN YEARS PROFESSIONAL EXPERIENCE. FAMILIARITY WITH GONWFP LINE AGENCIES IMPLEMENTING USAID PROJECTS AND WITH USAID TAD PROJECT PREFERRED. THE CONSULTANT MUST BE DEVELOPMENT ORIENTED, WITH PRIORITIES DIRECTED TOWARD THE SUSTAINABILITY AND INSTITUTIONALIZATION OF PROJECTS.

TASKS: (1) REVIEW TADP PROJECT DOCUMENTS; (2) WITH ASSISTANCE FROM THE RELEVANT SECTORAL SPECIALISTS, WRITE MANAGEMENT PROFILES OF EACH IMPORTANT LINE AGENCY INVOLVED IN TADP SUB-PROJECT IMPLEMENTATION, INCLUDING, BUT NOT NECESSARILY LIMITED TO: (A) ORGANIZATIONAL MANDATE AND STRUCTURE, LINES OF COMMUNICATION/AUTHORITY, LINKAGE TO OTHER GOP AND LINE AGENCIES; (B) POSTING AND TRANSFER PRACTICES; (C) TIME USE, PARTICULARLY AT FIELD OFFICES IN FATA, AND SUPERVISION OF FIELD STAFF; (3) DELINEATE EACH LINE AGENCY'S ORGANIZATIONAL STRENGTHS AND WEAKNESSES, SPECIFICALLY AS THEY RELATE TO THE IMPLEMENTATION OF USAID-FUNDED PROJECTS; (4) RECOMMEND PROJECT ASSISTANCE TO THE PROPOSED HOME (SPECIAL DEVELOPMENT UNIT) FOR TADP, BASED ON RECOMMENDATIONS OF CONSULTANTS AND THE WORKSHOP HELD EARLIER; (5) PREPARE GOP LINE AGENCY ORGANIZATIONAL ANALYSIS PORTION OF FINAL DESIGN TEAM REPORT, TO INCLUDE THE PARAMETERS PRESENTED IN TASKS 1-3; (6) PREPARE A CHECKPOINT MATRIX BASED ON BOTH THE EVALUATION AND THE NEWLY PLANNED ACTIVITIES OF THE HOME' TO DEMONSTRATE THAT ADEQUATE CONSIDERATION HAS BEEN GIVEN TO PREVIOUS OBSERVATIONS AND EXPERIENCE; (7) ASSIST THE TEAM LEADER IN EVALUATING THE POTENTIAL FOR NON-GOVERNMENTAL-LED DEVELOPMENT, SPECIFICALLY LOOKING AT SARHAD AND OTHER PVOS, AS WELL AS PRIVATE DELIVERY OPPORTUNITIES; (8) PRESENT SPECIFIC RECOMMENDATIONS REGARDING (3) TO THE TEAM LEADER FOR INCLUSION IN THE FINAL PROJECT AMENDMENT DRAFT; (9) DRAFT THE SOCIAL SOUNDNESS ANALYSIS FOR THE PROJECT PAPER FROM THE AVAILABLE MATERIAL; (10) WRITE THE RELEVANT SECTIONS OF THE DRAFT PP AMENDMENT INCORPORATING TASKS (1) THRU (9).

F3. AGRICULTURE PLANNER: QUALIFICATIONS: GRADUATE OR UNDERGRADUATE DEGREE IN SOME ASPECT OF AGRICULTURE AND/OR NATURAL RESOURCES MANAGEMENT, AND TEN OR MORE YEARS OF PROFESSIONAL AGRICULTURE PLANNING AND MARKETING EXPERIENCE. EXPERIENCE IN FRUIT MARKETING WITH SMALL FARMERS IN REMOTE AREAS. EXPERIENCE IN THE DESIGN OF AGRICULTURE AND NATURAL RESOURCES MANAGEMENT INITIATIVES IN SEMI- ARID THIRD WORLD SETTINGS. PROJECT EXPECTS TO CONCENTRATE ON HORTICULTURE AND FORESTRY/SOIL CONSERVATION/WATERSHED MANAGEMENT, SO EXPERTISE IN THESE AREAS IS STRONGLY PREFERRED. KNOWLEDGE OF AID PROCEDURES IS HIGHLY DESIRABLE. DEMONSTRATED ABILITY TO CONTRIBUTE TO THE TEAM PRODUCTION OF A PROJECT DESIGN AND ABILITY TO UNDERTAKE STRENUOUS FILED WORK IS ESSENTIAL.

TASKS: (1) REVIEW TADP PROJECT DOCUMENTS; (2) INTERVIEW RELEVANT GOP AND USAID OFFICIALS AND TADP PROJECT PERSONNEL AND BENEFICIARIES; (3) PARTICIPATE IN 3-4 WEEKS OF FIELD WORK THROUGHOUT THE PROJECT AREA; (4) SUBMIT FINDINGS OF AGRICULTURAL AND RELATED RESOURCE MANAGEMENT ISSUES AND PROBLEMS WITH SPECIFIC RECOMMENDATIONS TO THE TEAM LEADER FOR INCLUSION IN THE PROJECT PAPER; (5) EXAMINE THE POSSIBILITIES OF PRIVATE SECTOR (INCLUDING PVO) INTERVENTIONS IN: (A) AGRICULTURAL EXTENSION; (B) PROVISION OF INPUTS SUCH AS SEEDS; AND (C) MARKETING OF FRUITS AND VEGETABLES PRODUCED IN THE TRIBAL AREAS FOR SALE IN NWFP AND PUNJAB; (D) FORESTRY; (6) IDENTIFY ELEMENTS OF THE PROPOSED FOLLOW-ON PROJECT; (7) WRITE THE RELEVANT SECTIONS OF THE DRAFT PP AMENDMENT INCORPORATING TASKS (1) THRU (6). IN ACCOMPLISHING THESE TASKS, THE CONSULTANT SHALL WORK CLOSELY WITH THE STAFF OF THE MISSION'S AGRICULTURE AND RURAL DEVELOPMENT OFFICE TO ENSURE TECHNICAL FEASIBILITY OF THE PROPOSED STRATEGIES AND INSTITUTIONAL LINKAGES WITH OTHER GOP AGRICULTURE AGENCIES.

F4. HUMAN RESOURCES DEVELOPMENT AND TRAINING SPECIALIST. QUALIFICATIONS: RELEVANT GRADUATE OR UNDER-GRADUATE DEGREE AND EXPERIENCE IN THE IDENTIFICATION OF TRAINING NEEDS AND THE DESIGN OF TRAINING PROGRAMS RELEVANT TO AGRICULTURE, RURAL DEVELOPMENT, AND INSTITUTION BUILDING IN PAKISTAN. DEMONSTRATED ABILITY TO CONTRIBUTE TO THE TEAM PRODUCTION OF A PROJECT DESIGN.

TASKS: (1) REVIEW TADP PROJECT DOCUMENTS; (2) IDENTIFY TRAINING NEEDS TO STRENGTHEN AGENCIES INVOLVED IN PROJECT

IMPLEMENTATION; (3) PREPARE TRAINING PLAN FOR THE AMENDMENT PERIOD INCLUDING TWO TRACKS--(A) MONITORING. I.E., WHAT IS GOING ON, BENCHMARKS, PROBLEM CLARIFICATION AND (B) TRAINING AND SKILLS BUILDING. THE TRAINING PLAN SHALL INCLUDE BUT NOT BE LIMITED TO A COMPREHENSIVE PLAN FOR USAID-SPONSORED TRAINING OF STAFF WORKING IN GOP LINE AGENCIES RESPONSIBLE FOR THE IMPLEMENTATION OF USAID-FUNDED PROJECTS. RECOMMENDATIONS SHALL INCLUDE BUT NOT BE LIMITED TO THE PRESENTATION OF: (A) SPECIFIC THREE YEAR WORKSHOP FOCI; (B) LINE AGENCY/STAFF POSITIONS BEST SUITED FOR EACH WORKSHOP; (C) RECOMMENDED NUMBER OF PARTICIPANTS PER WORKSHOP, DESIGNATION OF AGENCY REPRESENTATION; (D) CHRONOLOGY OF PROPOSED WORKSHOPS W/ DURATION OF EACH, (E) COST; AND (F) RATIONALE FOR CONTENT/STAFF WORKSHOP MATCHING; (4) WRITE THE RELEVANT SECTIONS OF THE DRAFT PP INCORPORATING TASKS (1) THRU (3).

G. REPORTS: THE FINAL DRAFT OF THE PROJECT PAPER AMENDMENT MUST BE SUBMITTED TWELVE DAYS PRIOR TO THE DEPARTURE OF THE TEAM LEADER. USAID WILL REVIEW THE DOCUMENT AND SUGGEST NECESSARY CHANGES PRIOR TO THE FINAL EDITING, WHICH THE TEAM LEADER SHALL COMPLETE BEFORE DEPARTING.

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Appendix E

List of Contacts

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TOWARDS SUSTAINABLE DEVELOPMENT BENEFITS:
A Community-based Regional Planning & Development Strategy

REPORT OF A REORIENTATION STUDY FOR THE TRIBAL AREAS DEVELOPMENT PROJECT (TADP) AND THE NORTH WEST FRONTIER AREA DEVELOPMENT PROJECT (NWFADP)

VOLUME II
ANNEXES

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SECTION I

BACKGROUND OF TRIBAL AREAS AND TRIBAL AREAS DEVELOPMENT PROJECT

This Section is comprised of a paper entitled Tribal Areas Development and Issues for TADP Redirection. The paper provides political, administrative, economic and social profile of tribal regions adjoining North West Frontier Province (NWFP), and highlight issues for TADP redirection. The major issued discussed in the paper relates to TADP priorities, program as against project funding, project implementation responsibilities, community participation, private sector development, opium poppy abatement, and substainability of TADP activities.

ANNEX A
TRIBAL AREAS DEVELOPMENT AND ISSUES FOR TADP REDIRECTION

A. THE BACKGROUND

1. What are Tribal Areas

Coextensive with the North West Frontier Province (NWFP) of Pakistan are seven distinct regions called Tribal Agencies. These are: Bajaur, Mohmand, Khyber, Orakzai, Kurram, North Waziristan, and South Waziristan. Except Orakzai Agency, the remaining six Tribal Agencies border Afghanistan. At the time of the departure of the Raj from the sub-continent in 1947, these Tribal Agencies were a buffer between Afghanistan and British India.

In addition to the seven Tribal Agencies, there are four small sub-regions which are also part of the Tribal Areas. These subregions are: Frontier Region (FR) Kohat, FR Peshawar, FR Bannu, and FR Dera Ismail Khan. These four sub-regions have tribal characteristics and tribal linkages with the adjacent Tribal Agencies. The four FRs adjoin four 4 "settled" districts of NWFP and enjoy all the privileges of Tribal Agencies. None of the four FRs border Afghanistan. It is important to note that the seven Tribal Agencies and the four FRs taken together form the Federally Administered Tribal Areas, more commonly called FATAs. A map showing the location of FATAs is at attachment A.1.

Additionally, there are Provincially Administered Tribal Areas known as PATAs. These include: the former princely states of Dir, Swat and Chitral brought under the Government of NWFP in the late 1960s; the Malakand Tribal Agency which was earlier part of the FATAs; and the Kohistan district of NWFP. A map showing the location of PATAs is at attachment A.2.

Finally, there is a category of areas which are defacto tribal in nature but have not been officially classified either as FATAs or as PATAs. The Kala Dhaka area (also known as Black Mountain or the Mansehra Tribal Area) immediately to the north of the Gadoon-Amazai area, on both the left and the right bank of the Indus river, is one such area. This area is called a "Special" area.

Occasionally one comes across the term "merged" areas. The former tribal area of Gadoon (with a USAID assisted area development project) is one such region. The Gadoon area was "merged" with the "settled" district of Mardan in the 1950s.

Gadoon's earlier tribal status and its subsequent merged status are now only a part of history.

2. Historical Perspective

The Raj in its earlier days of tribal administration tried to subjugate the tribes largely through brute force. Vivid accounts of the costly disasters fill the numerous books written since then. The brute force policy was then changed, given the continuous hostility of the tribesmen and the less than stable relations between Afghanistan and British India. Wisely, the British decided to administer these areas indirectly and through "incentives". Political Agents, from the most elite Indian Political Service (part of the Indian Civil Service) representing the "Crown", ruled their less than friendly tribes. Political Agents administered the difficult Tribal Areas through a policy of stick (brute force), and through carrot by creating the institution of tribal maliks patronized by the British in each Tribal Agency. Given the geographic and political sensitivities of the region, the Government of India Act 1935, the source of subsequent legal framework for India and Pakistan, was not extended into the Tribal Agencies. The Political Agents, backed by those who mattered in the viceregal corridors, enjoyed immense administrative and judicial powers. The area remoteness, proximity to Afghanistan, and a hostile posture of tribesmen led to continuing instability and frequent use of military action in the tribal belt. Thus, at the time of the partition of the subcontinent, Tribal Agencies were significantly less developed than the settled districts of NWFP and the tribal administration was based largely on the wits of the Political Agents backed by the British Indian Army, and treaties (often flouted) between the tribes and the Raj.

As a first step after independence, the new Government of Pakistan took the bold decision of withdrawing the military from Tribal Agencies. Tribesmen were assured that they would be treated no different from other Pakistanis, while the Government of Pakistan would continue to honor treaties drawn earlier between British India and the tribes. This was a pivotal decision in that the continuously hanging sword of the military presence at various posts and pickets was blunted in one stroke.

The long term policy of the Government of Pakistan was, and continues to be, to bring the Tribal Agencies at par with the rest of the country. This policy objective was to have been accomplished through administrative and development interventions. Results of this long term objective have been mixed over the last 40 years. The Gadoon tribal area on the right bank of the Indus river was "merged" with the "settled" district of Mardan during the 1950s, while some areas along with Pak-Afghan border remain completely or sporadically inaccessible. An even bolder and

forward looking step was taken when Malakand Agency's governance status was changed in the late 1960s. A major portion of the Agency was carved out and made a part of the Provincial administration and political system. Since such an action is a process over time, the normal law of the country was extended alongside the "customary" law. The major portion of the carved out area continues to be called Malakand Agency. A smaller portion of the Agency, bordering Afghanistan, was named Bajaur Tribal Agency.
The 1970s and 1980s have been years of upheaval. The forward looking progressive policy of bringing the Tribal Agencies within the folds of the rest of the country has not been followed. The Malakand Agency status remains hanging in that it is now a part of the "Provincially Administered Tribal Areas". The Political Agent of Malakand continues to enjoy immense executive and judicial powers. Thus, even through a "District Sessions Court", answerable to the senior judicial echelons independent of the Provincial executives, is established in Malakand Agency, the Political Agent continues to exercise his judicial powers in addition to his "traditional" administrative responsibilities. However, on the positive side, Malakand Agency is no longer considered a Tribal Agency like those bordering Afghanistan. Malakand Agency is formally designated as a "Protected Area":. Unlike the FATAs, this Agency is administered by the Provincial Government, and has political representation at the Provincial and National Assemblies based on direct adult franchise. The Malakand Agency tribal maliks no longer receive Machiavellian favors and patronage from the Political Agent. Development is funded from the Provincial budget and the Agency is considered as one of the 18 districts of the province. The carved out Bajaur Agency, on the other hand, continues to remain typical of the Tribal Agencies, with all the romance and mystique associated since the Raj days.

The forward looking progressive steps of the Government taken during the 1950s and the 1960s to bring the Tribal Agencies administratively and politically at par with the rest of the country were not followed through in the 1970s and the 1980s. The conservative and retrogressive Tribal Areas policy of the Government over the last 20 years stems from, first, political instability impacting on legitimacy of the Government during the 1970s, and second, the war on the Pak-Afghan border coupled with an onslaught of massive numbers of Afghan refugees leading to any thing but stability in the Tribal Areas. In many areas of the Tribal Agencies the Afghan refugees outnumber the local tribesmen and in at least one Agency (Kurram) have become party to the existing extreme (Shia-Sunni) religious polarization leading to hundreds of deaths and further instability.

The cautious tribal policy being pursued by the Government does not imply that development has not taken place in the Tribal Agencies. It goes to the credit of the political government of the 1970s that there were quantum increases in development

outlays in Tribal Areas without any external assistance to complement or supplement this infusion of resources. The development momentum of the 1970s continued through the 1980s with the additional factor that USAID became the first outside donor agency to show serious interest in developing the Tribal Areas.

3. Administration, Law and Order, Politics and Development

a. Administration

Administratively FATAs (7 Tribal Agencies plus 4 Frontier Regions) are under the jurisdiction of the Federal Government, as part of the States and Frontier Regions (SAFRON) Ministry. At the same time the Governor of the NWFP is the Agent of the President of Pakistan administering FATAs from Peshawar, independently of SAFRON. This management role of the Governor NWFP is in addition to his ceremonious responsibility of being the Federal Government's Agent at the provincial level. Neither the Chief Minister of the NWFP nor any of the Provincial Cabinet members have any responsibility for FATAs.

The NWFP Chief Secretary reports to the Governor of the NWFP regarding the affairs of FATAs. This is in addition to Chief Secretary being the highest ranking civil servant in the Province for which he reports to the Chief Minister of the Province. The Chief Secretary depends upon the provincial bureaucracy in NWFP for providing personnel for administering the FATAs. Four Divisional Commissioners in NWFP supervise seven Tribal Agencies (Commissioner Malakand Division for Bajaur Agency, Commissioner Peshawar Division for Khyber and Mohmand Agencies, Commissioner Kohat Division for Kurram and Orakzai Agencies, and Commissioner Dera Ismail Khan Division for North and South Waziristan Agencies). Also, the NWFP Secretary for Home and Tribal Affairs coordinates law and order related interventions of the seven Political Agents. Finally, some of the line agencies operating in the settled areas of NWFP have also expanded their operations into the Tribal Agencies. The more important Provincial line agencies functioning in Tribal Areas are: Communication and Works (C&W), Health, Agriculture, Education and Forests. The important line agency not operating in Tribal Agencies is the Irrigation Department, its role having been taken by Federally Administered Tribal Areas Development Corporation (FATADC). The Provincial Planning and Development Department (P&D) receives federal funds from the Federal SAFRON Division for development expenditure in Tribal Areas. These funds are expended by line agencies through active participation of the Political Agents.

The day to day administrative and development arrangements for the FATAs, through active participation of the NWFP bureaucracy drawing its strength from the

Office of the Governor NWFP, have not posed any serious problem in the past even though FATAs are a responsibility of the Federal Government (SAFRON). However, recently this arrangement has led to differences between the Provincial Government and the Federal Ministry of SAFRON. The latter is of the view that since all development and non development funds expended in the Tribal Agencies are from the SAFRON budget, and because SAFRON is the "responsible" Federal agency for FATAs under the Government Rules of Business, therefore, SAFRON should have decision making role in these areas. On the other hand, the Provincial Government argues that the NWFP Governor has a constitutional mandate for FATAs and represents the President of Pakistan for the Tribal Areas' administration, and that the Chief Secretary NWFP and the Provincial bureaucracy are answerable to the Governor (and not to SAFRON) for these area. Unfortunately, SAFRON's effective authority in FATAs is only limited to the FATADC which is directly controlled by SAFRON.

The political government of the 1970s was instrumental in creating FATADC during the early 1970s. The charter of this parastatal organization includes development of irrigation, industries, and minerals in the FATAs. FATADC has a Chairman and a Board of Governors. The Corporation receives funds directly from the SAFRON Ministry in Islamabad and does not report to the Provincial Government. However, the Provincial Planning and Development Department, responsible for funding line agency-related development work in FATAs, is represented on the FATADC Board of Directors. At present FATADC activities are mostly confined to the irrigation sector since all the industrial ventures undertaken by this parastatal organization were closed down because of the losses incurred in running them.

A Political Agent is the highest ranking civil servant positioned in a Tribal Agency reporting to the Commissioner of the adjacent Division within NWFP. Political Agents are equivalent of District Commissioners (formally titled as Deputy Commissioners) in the settled districts. However, unlike the Deputy Commissioner, a Political Agent plays a crucial role in the economic development, the politics, the courts, and the day to day Administration of the Agency. He enjoys immense powers. No line agency or the parastatal FATADC can undertake any development intervention in the Tribal Agencies without the approval of the Political Agent. Approvals by Political Agents for undertaking development work are based not only on development considerations but also on assessment of the political mileage drawn from the implementation of a given scheme. The political mileage is perhaps of greater importance to them because this is the carrot available to keep their tribes in check. As noted earlier, the stick part of their Machiavellian management of tribal affairs is no longer in vogue because of the softer policy pursued by the Government of Pakistan in contrast to the costly confrontational policies followed earlier by the Raj.

A hierarchical chart showing administration in Tribal Areas and settled districts of NWFP is at attachment A.3 and figure A.1.

b. Law and Order

The normal law of the country does not apply in the Tribal Agencies. As noted earlier, Political Agents enjoy vast administrative and judicial powers. Administration still continues through the indirect carrot and stick policy introduced by the Raj. However, at present it is more through carrot than through coercion. Treaties between the British and the tribes are still largely respected by the Government. The "forward" policy of Government to bring Tribal Agencies at par with the settled districts of NWFP has had a set back since the early 1980s because of the events across the border with ramifications for Tribal Agencies. Perhaps these Tribal Agencies will continue to act as a buffer between Pakistan and Afghanistan for many more years as was happening during the pre-independence period.

Every Tribal Agency is divided into three administrative categories: Administrative Area, Protected Areas, and Tribal Territories (TTs). A Political Agent exercises most control in an Administrative Area. This area generally consists of the headquarters area of a Tribal Agency, the black top roads where Government vehicles are frequently moving, and areas where there are important government installations, e.g. electric power houses, dams, and military and para-military installations. A Political Agent can take cognizance of any law and order problem in an Administrative Area.

Tribal Territories (TTs) are at the other extreme in that these are areas in a Tribal Agency where Government control is the least. Government functionaries cannot enter a TT because of the treaties between the tribes and the Government. Since the Government provides the basic social infrastructure in a Tribal Agency, it follows that in TTs there are no roads, hospitals, schools, electricity, and other government-sponsored development projects.

Then three are grey areas in each Tribal Agency called Protected Areas. These areas fall between a TT and an Administrative Area. The Government has limited control in a Protected Area. It can undertake development activities in these areas and move in force whenever a serious law and order problem arises. Tribes living in a Protected Area are not bound by the laws of the Political Agent. Development work undertaken by line Agencies and FATADC is therefore limited to the Administrative and the Protected Areas only.

Other than maintaining law and order in a Tribal Agency, the highest priority for a Political Agent is to "open" the inaccessible Tribal Territories. This is his dream. Experience of visiting tribal areas leads one to the conclusion that the hardcore lagging areas in Tribal Agencies are the TTs. Each Political Agent and his trusted staff are continuously "negotiating" with the tribes to get these areas opened. These "negotiations", which can take twenty years, are followed by the construction of roads, and the provision of electricity, hospitals, schools, irrigation facilities, etc. At the stage of opening a new area, all conventional Government rules of business are set aside to achieve the objective of getting the writ of the Government established, even if it only happens to be symbolic. The most vivid example of an inaccessible area (TT) is the Tirah area spread across Khyber and Orakzai Agencies where there is no Government presence. Therefore, there are no Government sponsored roads, health units, schools, or electricity. One still walks or rides ponies for days to get into the interior of this area. The last time the Government entered the area was in the 1890s when a punitive expeditionary force was sent by British India to settle scores with the Tirah tribes. More recently, efforts have been made to obtain some road access from the Bara area in the Khyber Agency towards the Tirah area. Also the USAID funded Sadda-Marghan Road in Kurram Agency is a first step which will ultimately lead to opening the Tirah area from the Kurram side. Perhaps the "opening" of the Tirah area will take many more decades.

It may be noted that the Administrative Areas, the Protected Areas and the Tribal Territories boundaries shift over time. When the writ of Government in a Tribal Agency is challenged, even an Administrative Area gets closer in spirit to a Tribal Territory. On the other hand, a TT could look like a Protected Area if the relations between the tribes and the Political Agent are based on mutual trust.

Law and order in the Tribal Agencies is maintained by levies raised by the Political Agent from the tribes in the same Tribal Agency. These levies serve two purposes: first, they provide the Political Agent his personal force to express the writ of the Government; second, since these levies are drawn from the local tribes, they are potential hostages available to the Political Agent whenever there is a tribal uprising. There have been instances when levies were imprisoned by a Political Agent to put pressure on the tribes from which these levies were recruited. Political Agent's levies generally get their jobs on a hereditary basis.

Line agencies also recruit their own guards, again from the same Tribal Agency. These guards are called badraggas. In most Tribal Agencies one does not visit a project site without the protection of badraggas and/or the levies provided by the Political Agent. The only time an outsider does not require this "protection" is when the outsider is visiting the area as a guest in the company of a local resident.

Other than the levies and the badraggas, there are the more professional Scouts in each Tribal Agency. The Scouts are commanded by Officers on secondment from the Pakistan Army. The men are recruited from Tribal Agencies but not necessarily from the same area in which they operate. Scouts are primarily there to guard the Pak-Afghan border but are available to the Political Agent in case of a serious tribal revolt or inter-tribal disputes. The Commandant of Scouts posted in an Agency, a serving Lieutenant Colonel on secondment to the Frontier Corps, does not report to a Political Agent. His command is from the Frontier Corps headquarter at the famous Balahisar Fort at Peshawar headed by a two or a three star General of the Pakistan Army. Scouts are funded from the Federal ministry of Interior (and not SAFRON) budget. The Scouts have better funding and facilities than the Political Agents staff and have the glamour of being a part of the Army. They, therefore, have more clout than the officials of the line agencies working in the same Tribal Agency. It may be noted that during the Raj days the Colonel Commandant of Scouts in a Tribal Agency was subordinate to the Political Agent. This is no longer the case and the Political Agents work in the shadow of the glamour associated with the Army.

Prior to the Afghan crisis, it was not unusual for a tribal malik to switch his allegiance from one country to the other depending upon where it was more opportune. Even now Political Agents spend considerable time wheeling-dealing with the maliks to gain their "sympathies" for the Pakistan cause. Among other things, the wheeling-dealing by Political Agents includes favors to maliks in the form of nominating them as contractors (with or without experience) for the various government and donor-funded development projects, and giving them development projects (roads, schools, health units, electricity, irrigation, etc.) for their area. Given the war and the political developments across the border in Afghanistan, the tribes living on the border are perhaps more careful in trying to curry favors from the Afghan and the Pakistan Government at the same time.

c. Tribal Areas Politics

The political system in Pakistan is modelled after the British parliamentary system. This includes a National Assembly for the Federation and a Provincial Assembly at each of the four Provinces. Elections to the Provincial and National Assemblies are held on the basis of adult franchise of one-person-one vote. Constituencies of the National and the Provincial Assemblies are demarcated on the basis of population as reflected in the national population census conducted once every 10 years. Elections are held on a party basis with attractive party manifestoes, and political and ideological leanings. At the grassroots level, three exists another political forums of local councils in the form of Union and District Councils. The Union and District Councils are perhaps not as politicized or polarized as the political parties

represented at the National and the Provincial Assemblies. Union Councils and District Councils were primarily encouraged by the Government to undertake development works through the participatory approach. The revival of a democratic process in Pakistan since late 1985 has eroded the importance of the Union and District Councils in that a major portion of development funds which were earlier allocated for the local councils are now placed at the disposal of the National and Provincial Assembly members.

The brief national and the Provincial political system for Pakistan narrated above is not applicable to the Tribal Agencies. The legislative framework for the Tribal Agencies is:

- The seven Tribal Agencies send one member each to the National Assembly. Also, there is one member of National Assembly representing the four Frontier Regions. Therefore, FATAs representation at the National Assembly is of eight members. FATAs are also represented in the National Senate.
- Elections for the National Assembly and the Senate held in the Tribal Agencies are not on the basis of one-person-one-vote. Voters in each Tribal Agency or FR consist of an electoral college consisting of maliks nominated by the Political Agent or maliks who inherited their title from their ancestors who in turn got it from the Raj for being on the right side.
- FATAs share of political representation in the National Assembly is greater than required by their share of the country's population.
- Votes cast by the electoral college are on the basis of "benefits" provided by the contestants to the "voters".
- Elections in Tribal Agencies are not held on a party basis, nor are there any ideological or political platforms. Tribal affiliation plays a role, but the important factor determining the winning is the highest bid for each vote. The one exception to this is the election in Kurram Agency where elections are held strictly between two candidates representing the bitter religious polarization of Sunni and Shia sects of Islam.
- There is no representation at the Provincial level. Nor is there a separate Parliament for the Tribal Agencies.
- Political Agents play a crucial contributing role in the election of the members of the National Assembly from FATAs.

- Most importantly, the eight MNAs from FATAs vote as a block in the National Assembly. Historically their voting pattern indicates their siding with the majority ruling party. A rate exception to this general rule was the division of four Tribal MNAs each when a no confidence motion was successfully moved in the National Assembly by the IJI opposition against the PPP Government in 1990. In short, FATA MNAs represent a "safe" block for the ruling party at the national level.

- Analogous to the District Councils in the settled areas, there are Agency Councils in FATAs but there are no agency elections for the local councils. Members of the Agency Council are identified and nominated by the Political Agents. They are mostly the favored maliks.

- There are no Union Councils reflecting participation at the villages level.

In short, the politics of the Tribal Agencies differs significantly from that of the rest of the country. A common man participates neither in the area politics, nor in the implementation of development projects. Participation is through a system of maliks created by the Raj and perpetuated by the Pakistani Political Agents. The system has not changed since the 19th century. The system is a two-edged sword. Although it helps the Political Agents in maintaining a delicate state of equilibrium for law and order and for maintaining relations with those across the border, it at times works the opposite way as well. At times a commoner challenges the authority of maliks, who do not necessarily have popular support of their tribes. A kidnaping takes place and the maliks and the Political Agent are left high and dry. The commoner wishes a direct dialogue with the Political Agent about the ransom money. On the other hand, the conventional wisdom dictates that the Political Agent negotiate the release of the kidnapped person through jirgas (meetings) comprising the maliks.

More than one Political Agent has expressed the view that the age old maliki political institution for negotiating development and maintenance of peace is eroding. There are at present two distinct schools of thought regarding the management of tribal affairs. The conservative school representing the old guard bureaucrats insists that we should not destroy the maliki system and that the Political Agent's institution of giving absolute power to one individual should continue to be pursued. Their position is further strengthened by their advocacy of a cautious approach given the current explosive situation across the border. On the other hand, there is the liberal and forward looking minority group which argues that the foundations of the fossilized empire should be completely uprooted. The corrupt and inefficient maliki and Political Agent conspiracy should be eliminated in favor of an open political and administrative system. FATAs should be converted into regular districts with political,

administrative, and development freedom. It need be recalled that the liberal schools of thought would like to continue pursuing the long term objective of bringing the Tribal Agencies into the fold of the rest of the bureaucratic, economic, and political ethos of the adjacent NWFP. Given the impact of current Pak-Afghan relations on the Tribal Agencies, there seems to be no chance for a forward looking open Tribal Areas policy implemented by the Government in the foreseeable future.

d. Development in the Tribal Agencies

Government development outlays in the Tribal Areas are from three sources:

- Annual Development Plan (ADP) for FATAs reflected in the SAFRON Ministry development budget, but whose implementation is overseen by the NWFP Planning and Development Department through the various implementing line agencies. The Pakistan FY 1991/92 ADP for FATAs is Rs 694 million.

- Annual development allocations to FATADC which amounts to Rs 89 million for FY 1991/92.

- The Special Development Plan (SDP) allocation by the Federal Government for the FATAs and the PATAs, of which the share for FATAs for FY 1991/92 is for Rs 252 million.

Development funds from the above three sources total Rs 1,035 million or $42 million for FY 1991/92. The TADP allocations are reflected in the SDP funding sources. Thus, as pointed out in the TADP evaluation conducted in late 1988, the "USAID's $24 million project (disbursed over 12 years) would have been approximately 5 percent of the Government of Pakistan's annual development budget for FATAs.

B. TADP REDIRECTION ISSUES

1. Background

TADP was last evaluated in late 1988. The evaluation Scope of Work included provision of "substantive recommendations for the design of a follow-on project ...". The evaluation team recommendations were reviewed within USAID and with the senior policy makers in the Government of NWFP concerned with development. The agreed upon evaluation recommendations were signed by the USAID Mission Director

and the Secretary, Planning and Development, NWFP in January 1989. At the same time USAID established a new Rural Development Division (RDD) within the Office of Agriculture and Rural Development (ARD). A rural development strategy paper was approved by the USAID Mission Director. Keeping in view the TADP-II design related recommendations accepted by the USAID Mission and by the Government of NWFP emanating from the TADP evaluation of late 1988, and the Rural Development Strategy Paper approved by USAID, a Concepts Paper for the TADP-II design was prepared in late March 1989. The Concepts Paper was approved by the TADP Project Committee and by the USAID Mission Director. The approved Concepts Paper and other approved strategy related material formed the basis of the PID-Like-Cable for TADP-II sent by the USAID Mission to AID/Washington for review in late May 1989. The PID-Like-Cable for TADP-II was reviewed by AID/Washington in July 1989 and received approval and encouragement from the Washington based Project Committee.

Subsequent events of 1990 and 1991 led to: invokement of the Pressler Amendment, suspension of further USAID assistance to Pakistan until the resolution of the nuclear issue, and the "useful-units-of development" guidance from USAID for funding sub projects for which funds were available in the Project pipeline. In short, there was to be no additional TADP funding and no Project redesign activities leading to TADP-II. The TADP funding was reduced by $20 million, earmarked for the Thall-Parachinar road for which work had not begun. The USAID Rural Development Division then decided to have a closer look at the existing TADP portfolio and sought assistance for redirecting Project activities within the constraints set by the Pressler Amendment, while at the same time pursuing the rural development strategy concerns evolved during 1989 and 1990. A consultants team arrived during October 1991 for recommending redirection of TADP interventions.

There are a number of concerns expressed within the USAID Mission over the last two-three years which need to be addressed by the Redirection team, including:

- The political imperatives for Tribal Areas development.
- Discussion on TADP priorities.
- Moving from project funding to program funding if USAID assistance for the Tribal Areas reemerges.
- Shifting project implementation responsibilities to the Government. Is the Government ready for this?

- Participatory implementation and rational decision-making base, and their validity in the Tribal Areas context.
- Private sector Development and it's relevance in the Tribal Areas.
- Opium poppies abatement in the Tribal Areas.
- Sustainability of TADP investment.
- What is the current development base in Tribal Areas? Where does the government intend going and what can the USAID Mission do to support Government of Pakistan efforts?
- What are Government of Pakistan priorities in FATAs?
- Involvement of the political forums in the Tribal Areas.

Presented below are discussions on the various issues of concern. Hopefully, these will be further refined by the Redirection Team.

2. Political Imperatives of TADP

The Government of Pakistan requested that USAID consider the funding of development projects in the Tribal Areas bordering Afghanistan at the time of the negotiations for the $1.625 billion economic assistance package in 1982. The rationale for assistance for the Tribal Areas was reinforced by the war in Afghanistan and a significantly large inflow of refugees into Pakistan numbering almost two million by 1982. This had serious ramification for the historically difficult to administer Tribal Areas of Pakistan bordering Afghanistan. TADP was designed, keeping in view the Government of Pakistan request, with a focus on lagging areas, and the political imperatives facing Pakistan because of the regional crisis. These imperatives have also been reflected in the USAID Country Development Strategy Statement (CDSS) for 1988-93. The regional instability in the Tribal Areas of Pakistan bordering Afghanistan continues to persist, and the rationale for developing the Tribal Areas under TADP or under any future funding remains the same as was originally conceived in 1982. The Afghan refugee pressure on scarce local resources of FATAs continues to persist. Presented in table A.1 are local population and refugee population estimates for the seven Tribal Agencies.

Even if the Afghan refugees issue settles and a stable government emerges in Afghanistan, the Tribal Agencies character and style of governance will not change

immediately. These areas will, perhaps, remain in flux of many decades to come due to historical factors and because of the practiced social, cultural, and religious mores. Development assistance will have to be provided in these regions at levels above those in the adjacent settled districts. Donor assistance should supplement/complement efforts being made by the Government of Pakistan to achieve its long term objective of bringing these volatile areas at par with the more developed and settled areas of NWFP.

TABLE A.1: REFUGEE POPULATION IN TRIBAL AGENCIES

Agency	Locals ('000)	Refugees ('000)	Refugees as % of Locals
Bajaur	289	194	67
Mohmand	164	12	7
Khyber	284		
Orakzai	359	13	4
Kurram	294	349	119
North Waziristan	239	186	78
South Waziristan	310	53	17
Total	2,199	807	37

Source: English, Richard, The Economic Impact of Afghan Refugee Settlement on the Tribal Areas of North West Pakistan, May 1989.

3. TADP Priorities

Ideally, TADP priorities should reflect the Government of Pakistan priorities for FATAs. The earlier experience of TADP implementation indicates that Project funds were primarily geared to supplement Government funds for the construction of infrastructure sub-projects. The implementing agencies (Communication and Works, FATADC, and Local Government and Rural Development) presented the Project Officer with PC-Is (Government Project Feasibility Reports). TADP funded these projects if found feasible. It could be argued that this approach only led to supplementing Government of Pakistan construction efforts, not through a planned approach, but by reacting to their funding requests. This is a legitimate concern. But given the earlier history of the project, when hardly anything could be accomplished earlier during the Project implementation period 1982-85, the Project since then has been able to at least move in some direction. More important, the Project established credible working relationships among the planners, the implementors, and the donors. The

USAID project staff now better understand the climate of working in the Tribal Areas, despite the tribal complexities narrated earlier.

Current TADP priorities include:

- A rational planning and implementation approach in the preparation of area plans, which reflects a determination of the level of investment and sub project selection criteria. The project has already taken steps in this direction. Socio-economic profiles for four Tribal Agencies (Kurram, South Waziristan, North Waziristan, and Orakzai) are complete and distributed to the concerned quarters within the Government of NWFP and FATADC. A fifth profile (Bajaur) is about ready for completion, leaving two profiles (Khyber and Mohmand) for future. These mapping exercises will, hopefully, become the basis for a rational planning and implementation approach for each area, as opposed to reactive planning and implementation now being pursued. The rational planning and implementation approach is an educational process both for the Government of Pakistan and for the USAID project planners and implementors. A major goal for the three year workshop, through Coverdale Organization, is to achieve this objective at the end of the three year period.

- Change the mix of Project interventions from a construction project to a more spread out project including interventions in agriculture, horticulture, forestry, and WID-related activities through the creation of Non-Formal Education (NFE) centers as platforms for women-related activities. To this end, the Project has commissioned a study of the existing and planned agriculture and horticulture for some selected Tribal Agencies. The study results will be of value to the TADP Redirection team. Similarly, discussions have been held with the Government of NWFP for Project supported Non-Formal Education Centers in FATAs under WID. A major concern is that the Government bears the recurrent costs while the Project will bear the capital costs. As the Provincial Education Department has indicated its inability to take on recurrent costs, this issue will be taken up at the higher forum of the Planning and Development Department. The WID-related NFE program should become a part of the TADP redirection.

- Move the Project ownership to the Government. This priority for TADP will be accomplished through the three year workshop which will have the various stake-holders within the Government of Pakistan and USAID

together accomplish this task. It is expected that there would be 15-25 events over a three year period leading to the transfer of project implementation within the Government. Coverdale Organization as a Contractor to TADP is already on board to help conduct workshops participated by the various stake holders to achieve this objective. It may be noted that the USAID concern that project be implemented by the Government does not imply that the Government is not actively participating in TADP implementation. In fact, all construction activities are undertaken by the line agencies through contractors under FAR arrangements, while agriculture extension work is implemented by the Agriculture Department. However, what is missing is rational planning, selection, and monitoring aspects of the sub projects. This activity is either completely missing at present or has become a major responsibility of the USAID engineers and the Project staff at Peshawar.

- Ensure that projects implemented under TADP funding are sustained by the Government or by the beneficiaries themselves. The Project has taken steps in this direction in that many institution building projects (Project Management Unit and the NFE/WID Projects) will have recurrent costs borne by the Government.

- Ensure establishment of "Project Home" within the folds of the Government. Finally, Project management-wise, the Project is actively holding discussions for funding the Project Management Unit (PMU) within the Government. The PMU PCI has been recently approved by SAFRON, leading to the hiring of the Project staff. PMU recurrent costs (salaries and rent) will be a responsibility of the Government, while the Project will pay for capital costs and utilities. PMU creation is an important project objective and was highlighted in the agreed upon (Government of Pakistan and USAID) external Project Evaluation recommendations of 1985 and 1988.

4. <u>Program Funding</u>

Moving the Project from "Project Funding" to "Program Funding" is an issue requiring consensus within USAID. As noted earlier, TADP primarily supplemented Government construction activities. A smaller effort went into institution building through computer support to the Provincial Planning and Development Department and three line agencies. In a narrower sense, the Project provided budgetary support, while at the same time a large engineering and Project staff was recruited to oversee construction quality and to chase papers within the USAID and the Government of

Pakistan halls of bureaucracy. The Rural Development Division of ARD is of the view that the Government line agencies are capable of implementing construction projects on their own, with or without the restrictions imposed through their (and USAID) rules of business. If this view is valid and agreeable, then the USAID Mission should take the bold step of proceeding with performance or sectoral grant-type funding for Tribal Areas and cut short all the frustrating paper work which inhibits implementation of any rural development project. The Project for its part would concentrate on institution building efforts, e.g., training, WID, supporting PMU, holding the three year workshop, etc. In this way it will be reducing, if not eliminating, the paper work at all levels (PC-Is, PILs, FARs, HCC documents, etc.) for construction/sectoral activities. USAID would need to establish benchmarks and milestones for releasing tranches of money for Tribal Areas. The milestones could be for structural and policy reforms, or for construction activities. This important action will perhaps have to wait for some time in the hope that US assistance is again revived. At present the Project is restrained in taking this important step forward because of the constraint of completing only those Project activities which fall under the framework of "useful units of development".

5. Project Implementation Responsibilities

A concern was expressed in USAID about the determination of the Government to take on TADP implementation responsibilities. Our contention is that a number of implementing line agencies already exist in the Tribal Agencies. As noted earlier, USAID interventions in the Tribal Areas form about 5 percent of the investments undertaken by the Government. Perhaps, what is missing most is a focus on the quality of construction and the less than satisfactory delivery of services by the Education, Forest, Health, Agriculture, and Electricity-providing line agencies.

The poor quality and delivery systems exist largely because of area remoteness, difficult area access, use of nominated contractors, and the Tribal Areas administrative and political imperatives. To a lesser extent, availability of sufficient skills and professional manpower is also a problem. TADP will not be able to resolve all the institutional problems, but it can address some of these issues; particularly those relating to rational planning and monitoring, during the three year workshop period.

6. Participatory Implementation and Rational Decision Making in the Tribal Areas Context

The opening section on background narrated the political and administrative complexities of development interventions. It concluded that at present the common

man is far removed from participating in project implementation. It was also observed that projects are generally implemented under a reactive implementation mode. Exclusion of the common man from participation in project execution is equally true for most development works undertaken by the Government through its own efforts and through the donor assisted projects throughout Pakistan. But this problem is also applicable for the weak rational decision making process. As discussed earlier, the purpose for the creation of the Project PMU and the holding of the three year workshop is to ultimately create an institutional arrangement for rational decision making.

Participation of beneficiaries in project execution can be taken one step further in the form of O&M costs being borne by them. The USAID Mission Rural Development Division is cognizant of this important issue. In fact, the recently created Sarhad Rural Support Corporation (SRSC) assisted by USAID pivots around a participatory approach. However, most of the Tribal Areas are not yet ready for a participatory implementation approach because of the political and historical factors inhibiting such interventions. Despite these reservations, TADP has developed a portfolio of small rural infrastructure sub-projects hopefully to be implemented by project committees in Tribal Areas nominated by the benefiting villagers, as against implementation by contractors. These sub-projects will be implemented through an annual Work Plan mechanism approved by the Government and the USAID.

7. Private Sector Development

Prima facie, there is a case for private sector encouragement for horticulture development, particularly in the South Waziristan and Kurram Tribal Agencies. High value vegetables and fruits are grown in these Agencies and marketed as far away as Lahore in the province of Punjab. There is considerable scope to improve this sector from the cultivation stage to the marketing stage through private sector efforts. The project has already commissioned studies in this field. Horticulturists and agriculturists are preparing reports on this important potential growth node. Reports prepared by the agriculturists will be followed by marketing studies and the recommended actions. Activities in this sector could being early next year through the remaining TADP funds.

Private sector interventions in other fields for the Tribal Areas have a history of failures. As noted earlier, the parastatal FATADC was chartered to develop industries in the Tribal Agencies during the 1970s and 1980s. FATADC made investments in a number of sectors (marble quarrying, leather tanning, match factories, cooking oil mills, fruit processing and canning, etc.). However, the entire industrial sector portfolio of FATADC is shut down because of the heavy losses incurred during the last

17 years. FATADC has not been able to attract any buyers for their closed industrial units from the private sector. FATADC had requested USAID perhaps in 1985 to help them in joint ventures with the private sector. The then Program Officer from USAID Islamabad visited the Tribal Areas and did not have any encouraging recommendations to make.

The Project should not repeat the costly mistakes of FATADC for industrial ventures. It welcomes a private sector development study for Tribal Areas which in the end identifies areas where private sector is already active and which can be further developed - profitability being the sole litmus test for encouragement.

8. Opium Poppy Abatement

TADP was designed in 1982 as a development project with a strong opium poppy clause in the Project Agreement, prohibiting project interventions in areas growing (or processing) opium poppy products. On the other hand, NWFADP was designed in 1983, some time after the TADP design, to focus on development interventions in areas with opium poppy cultivation. There are some Tribal Agencies (Bajaur and Mohmand) with significant opium poppy cultivation, and some Tribal Agencies (Khyber and Kurram) with scattered opium poppy cultivation. In the past the Project invoked the Project Agreement poppy clause twice: first, in Khyber Agency when opium poppies were sighted next to a primary school funded by the Project; and secondly, in Bajaur when it was found that five tubewells funded by the Project had opium poppy cultivated in their command areas. In the case of Khyber, opium poppies were destroyed, while in the case of Bajaur the Project refused to reimburse for three tubewells where opium poppies could not be eliminated, and reimbursed for two tubewells from where opium poppies were uprooted.

In 1989, Narcotics Affairs Section (NAS) of the US Embassy signed agreements with the Government of Pakistan to fund development projects in Bajaur and Mohmand Tribal Agencies. In order not to have both USAID and NAS work simultaneously in the same area with conflicting opium poppy objectives (as against the TADP Project Agreement opium poppy clause, NAS project activities are undertaken in areas where there is opium poppy cultivation), it was decided that TADP activities will be withdrawn from Bajaur and Mohmand. However, once NAS accomplishes its goals, TADP will restart its activities in these two Agencies. This decision was not to affect the on-going and under preparation TADP funded sub-projects. We need to take a second look at the opium poppy issue in the Tribal Agencies context and the NAS-USAID cooperation in this regard. USAID has considerable Development experience in the Tribal Agencies as well as implementing large-scale opium poppy related development projects (NWFADP). The experience and

expertise available within the USAID Mission leads the Rural Development Division to the view that the TADP opium poppy clause will have to be revoked if and when US assistance is revived so that the TADP implementation in the opium poppy growing areas of the Tribal Agencies is similar to one established for Gadoon under NWFADP. What we need for TADP is a phased opium poppy cultivation ban agreement linked to development interventions. This is the USAID and the NAS opium poppy cultivation ban model, earlier implemented in Gadoon and Malakand and now applied in Adinzai (Dir), Bajaur, and Mohmand.

9. Sustainability of TADP Activities

Sub-projects now being implemented and those for the future will need to be sustained. The Rural Development Division is cognizant of this important issue and had identified it as a priority area in its Rural Development Strategy Paper. All sub-projects implemented under TADP have been undertaken by the line agencies and FATADC. Each time a sub-project is approved within the line agency, through the PC-I approval mechanism, there is a built-in consideration for bearing O&M costs. A representative of the Finance Department is a permanent member of the PC-I approval forum and he ensures that the concerned line agency has funds in its budget to pick up the tab for the recurrent cost liability. Therefore, the system is in place within the Government of Pakistan and the Government of NWFP bureaucracy to take cognizance of the sustainability issue. However, what is missing is: staffing, budgetary earmarking, and funding (i.e. budgetary cuts imposed due to resource gap). The three year workshop will address some of the issues relating to sustainability, but the resource gap at the national level, leading to across the board budgetary cuts, is beyond the scope of the workshop.

Sustainability of the completed sub-projects by the benefiting client population is a more difficult tasks in the Tribal Areas context as compared to the settled areas. To keep the tribes "sympathetic" to the Pakistan cause, to avoid the breaking out of hostilities between the Pakistan side and the tribes, and to follow the priority policy of "opening" new areas, the Government pursues an extremely soft policy regarding the sharing of O&M costs by the tribes. Most development interventions and their O&M costs are free including tubewells, irrigation channels, education, health, agriculture extension, etc. However, the recent resource gap at the national level has finally caught up with the Tribal Agencies as well. Until now the hundreds of tubewells sunk in the various Tribal Agencies by FATADC have been providing water for irrigation without the beneficiaries paying anything! But now FATADC is under pressure to pass on at least some of the expensive water costs to the beneficiaries. However, given the country-wide experience of resistance at all levels to reduce or eliminate subsidies, it will not be surprising if either the Federal Government backs

down on this issue or if the issue is resolved over a number of years. The bearing of recurrent costs by the beneficiaries will remain an important TADP implementation priority and will be made a part of the "rational planning approach" issue during the three year workshop period.

10. Current Development Base, Government of Pakistan Directions, and USAID Efforts

The FATA Annual Development Plan document for FY 1991/92 lists a portfolio of 439 on-going and 214 new projects spread in 10 sectors (Agriculture, Forests, Power, Communication, Public Health Engineering, Housing, Education, Health, Rural Development, and Research and Development), for the seven Tribal Agencies and the four Frontier Regions. The FATA FY 1991/92 ADP portfolio is for Rs 694 million. As noted earlier, the FATA ADP investments are in addition to the FATADC and the SDP investments. The Government investment outlays in FATAs are currently about Rs. 1,035 million per annum. The conclusion drawn from the above is: there is a definite institutionalized development base in the Tribal Areas, implemented through line agencies and FATADC.

The Government of Pakistan development direction in FATAs is no different from the rest of the country be it at the national or at the provincial level. Each line agency and the FATADC prepares its projects (PC-Is) at the Tribal Agency level with the consent of Political Agents (and that of the Commissioners for major projects). These are vetted by the FATA Section within the Planning and Development Department and then compiled to form the FATA ADP. The FATADC investment approval mechanism is similar except that the approving fora are at the Federal level. The same "strategy" is followed for the big Federal and the Provincial ADPs. The bottom line is that allocations are not planned but are programmed. The conclusion is that the line agencies and the FATADC development planning direction is weak (for FATAs and for the rest of the country). Any modest gain made by TADP leading to a "rational" planning process will move the Government Development planning process in FATAs way ahead of the efforts being made in the rest of the country.

The USAID efforts, as narrated earlier, have thus far been in supplementing Government construction efforts, and for modest institution building through computerization. TADP would like to move into development areas reflected in the priorities narrated earlier. The questions yet to be answered are: What would it take to achieve the USAID priorities as perceived for remaining period of TADP implementation? Will there be a bureaucratic reaction? Will the geo-political realities of FATAs completely wash out our pious efforts? We do not have answers but would like to proceed if this approach is agreeable.

11. Government of Pakistan Priorities

The Government of Pakistan development priorities for FATAs in a descending order are:

- Maintaining law and order to continue enforcing the writ of the Government which at times is challenged. Occasionally, this requires maintaining status-quo even at the cost of suspending development interventions.

- Opening the inaccessible areas. These are the Tribal Territories (TTs) explained earlier and are the hardcore lagging areas by any definition.

- Undertaking development projects so as to bring Tribal Agencies within the mainstream of the adjacent NWFP economy.

The above board macro level Government of Pakistan priorities for Tribal Areas are followed by area or sectoral priorities within the ambit of "development". Perhaps the highest priority in the development sphere is the communications sector -- roads. This is followed by other social infrastructure priorities including electricity, health, and education. The relatively lower priority areas include: agriculture, animal husbandry, and other "productive" sectors, where perhaps the private sector is making efforts on its own. There are only limited efforts in the forestry development by the Government since there are no private sector efforts.

Given the fact that implementation in FATAs (as well as in the rest of the country) is based on reactive planning, TADP priorities are not necessarily reflecting the current Government of Pakistan priorities. This is where the three years workshop concept is of utmost value. As a post-script to the Government priorities, it is important to present some thoughts on the lagging areas in the Tribal Areas context.

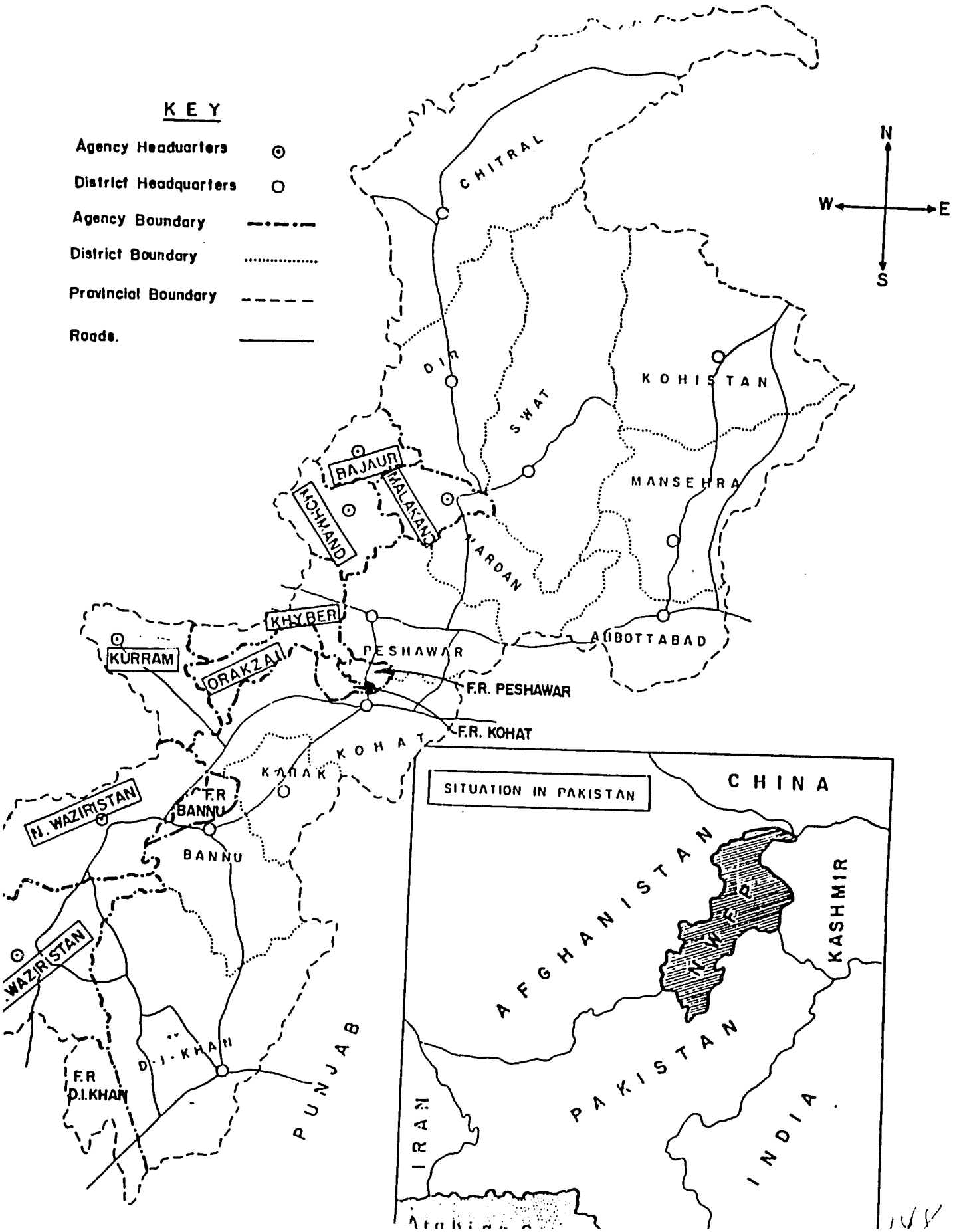
A Political Agent will generally give the highest priority to a road in a newly "opened" area, after his successful long drawn out "negotiations" with the tribes. His motives are primarily political and secondarily development. He looks forward to assistance from any quarter. All Government "rules of business" (competitive bidding, design, quality, unit costs, etc.) are thrown out of the window. The Political Agent is afraid that if the road project does not get moving immediately, the tribes might renege on "negotiated opening" of the Tribal Territory. The Government of Pakistan does quickly react to such a God-sent opportunity and proceeds with the work expeditiously. However, given the USAID rules of business, TADP would be lucky to fund such an opportunity even in one year. This is one development area where a

consensus is needed to take on the challenge of changing the face of the hardcore lagging areas in the tribal context.

12. Involvement of Political Forums in FATAs

Part A narrated the lack of political platforms in the Tribal Areas. FATAs are not involved in either the national or the grassroots politics, even though they have representation in the National Assembly, the Senate, and the Agency Councils. Tribal Areas are light years removed from the concept of democratic pluralism. The best the project can strive for is a focus on participating beneficiaries through project committees. But given the indirect administrative process through the institution of maliks, even this is not an easy tasks to achieve.

ATTACHMENT A.1
FEDERALLY ADMINISTERED TRIBAL AREAS



ATTACHMENT A.3
ADMINISTRATIVE HIERARCHY FOR NWFP

Unit	No. in Province	Administrative Head	Political Head
Province[1]	1	Chief Secretary	Chief Minister
Division[2]	6	Commissioner	MNAs/MPAs
District[3]	17	Deputy Commissioner	MNAs/MPAs
Sub-Division or Tehsil[4]	32-35	Assistant Commissioner	MPA
Union Councils[5]	565	Secretary Union Council	Chairman Union Council
Village[6]	6,000-7,000		Member Union Council
Special Area of Malakand[7]	1	Political Agent	MNA/MPA

[1] North West Frontier Province, population 11.1 million in 1981 excluding refugees.

[2] Peshawar, D.I. Khan, Malakand, Hazara, Kohat and Mardan.

[3] Peshawar, Nowshera, Charsaadda, Mardan, Swabi, Kohat, Karak, Abbottabad, Haripur, Mansehra, Kohistan, Bannu, D.I.Khan, Chitral, Dir, Swat, and Buner.

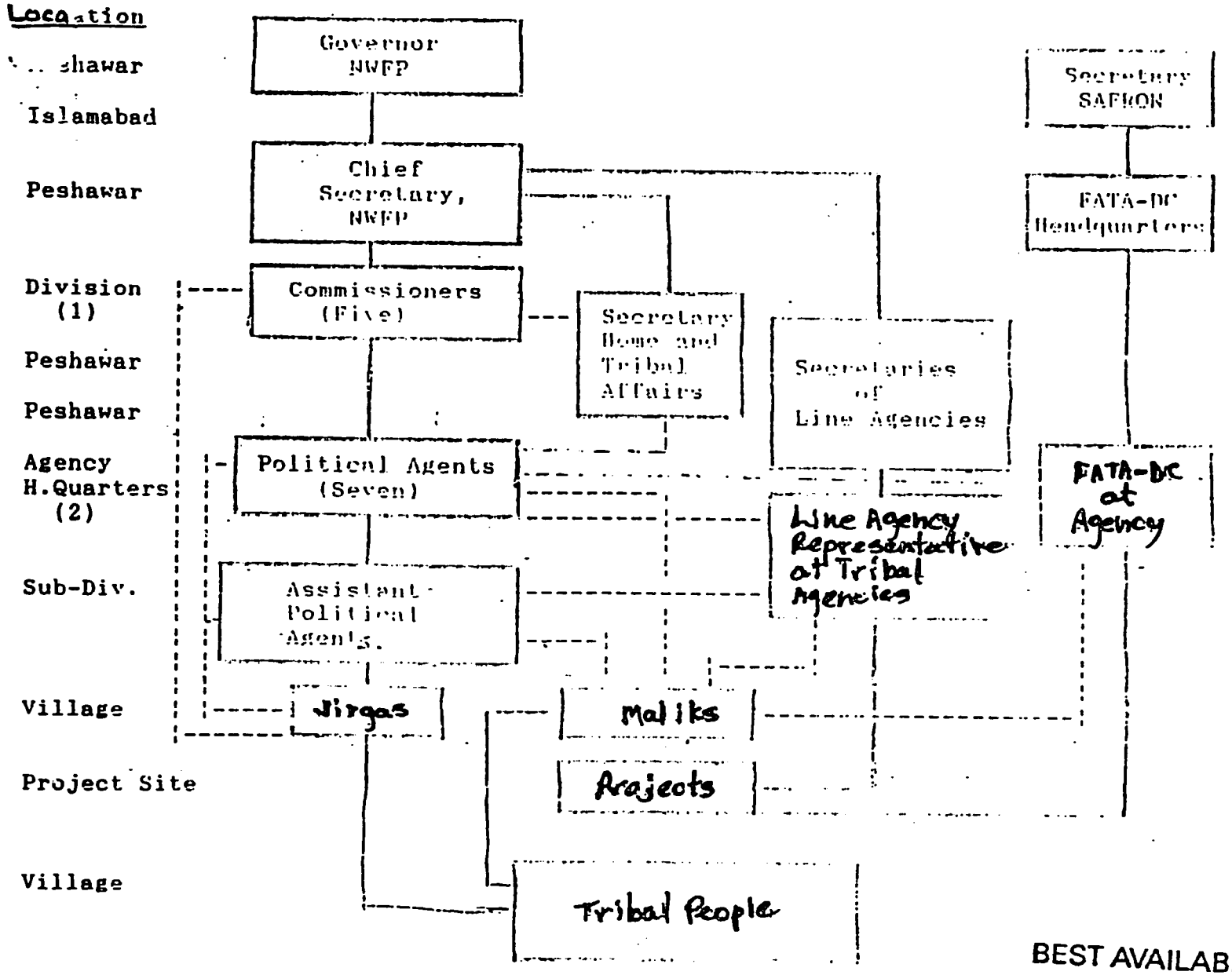
[4] 2-3 tehsils in each district.

[5] Generally 5-10 villages in each Union Council.

[6] With definite geographic boundaries demarcated by the Revenue Department, a village is essentially a "revenue estate" with one main village and surrounding smaller villages, if any.

[7] Earlier a Tribal Agency, now a "merged" area with the Province.

FIGURE A.1
ADMINISTRATIVE HIERARCHY FOR FATAs



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1) Five Divisional Commissioners. 2) seven Agency Headquarters
——— Direct Command
------ Indirect or Consultative Command

SECTION II

REGIONAL PLANNING

This Section covers four annexes: Regional Planning Concepts and Approaches (Annex B), TADP's Socio Economic Profiles: An Assessment and Recommendations for the Future (Annex C), Developing Effective Information Systems (Annex D), and Improving Development Planning and Results (Annex E).

The first paper, Regional Planning Concepts and Approaches, discusses the necessary ingredients for effective regional planning and evaluates the current planning process with respect to each ingredient. Based on this analysis the paper concludes that planning for settled and tribal areas tends to be top-down and expedient, concentrates on the programming of resources, and is not participatory in nature. The recommends, inter alia, building regional planning capabilities with modified socio-economic profiles as an initial tool, combined with training and institution building; developing effective information systems; testing and integrating vehicles to increase popular participation and private sector development in the regional planning process and local development initiatives; and developing Special Development Unit(SDU)/Planning and Development Department (P&D) as an institutional base for leadership in these activities. The following three papers, Annexes C-E, provides more detailed analytical foundations for the recommendations on socio-economic profiles, information systems and upgradation of SDU/P&D capabilities.

The second paper, TADP's Socio-Economic Profiles: An Assessment and Recommendations for the Future, examines the strengths and weaknesses of the existing socio-economic profiles, discusses a framework for refining these profiles, and suggests an action plan for the future. In summary, the paper recommends to: initiate a dialogue process with the Government; increase the relevance of the profiles based on a sound development framework, proven planning methodologies and decision making requirements; involve academic, private sector and community entities in a participatory rural appraisal process; identify and enter key indicators into an automated data base designed to allow mapping through a PC-based Geographic Information System (GIS); and to institutionalize regional planning within SDU/P&D.

The paper on Developing Effective Information Systems, provides a detailed analysis of the existing information systems and the role of computers within the Government of NWFP in general and P&D, Communication and Works (C&W) Department, Local Government and Rural Development (LG&RD) Department, and Federally Administered Tribal Areas Development Corporation (FATADC). The

principal finding of the study is that the information systems are in a rudimentary development stage and are used primarily for word processing and monitoring physical and financial progress, even though data bases would allow for more relevant and sophisticated analyses. The study suggest the development of an information system plan and adoption of a decentralized strategy that responds to region specific decision making and management needs. The primary inputs proposed for implementation are training, technical assistance, and limited computer hard and software.

The fourth paper, Improving Development, Planning and Results, covers the development of SDU/P&D as an effective leader in regional planning. In view of the needs of effective regional planning, information systems development, community participation, and improved technical support in engineering and agricultural planning, this paper analyses various alternative staffing patterns for SDU/P&D.

ANNEX B: REGIONAL PLANNING CONCEPTS AND APPROACHES

A. SUMMARY

Regional planing may be seen as planning for the more effective use of public resources so as to improve private sector capabilities and economic returns and ultimately the quality of life of urban and rural people. It is an ongoing, learning based process, with the participation of the private sector and people.

The central finding of this paper is that regional planning concepts and approaches have yet to be applied in either the tribal or settled areas of North West Frontier Province (NWFP). The current practice of preparation of Annual Development Plans, set within a national Five Year Development Plan, tends to be top-down and expedient, concentrates on the programming of resources, and is not participatory in nature. These planning exercises are different from an ongoing and integrated planning process directed towards dynamic economic growth with equity and social justice in specific geographic areas. If the Government wishes to make a serious commitment to regional planning during the remaining period of Tribal Area Development Project (TADP) and North West Frontier Area Development Project (NWFADP), priority should be placed on institution building, developing effective information systems, creating vehicles for greater popular participation in the development planning and decision making process.

B. PURPOSE AND SCOPE

The purpose of this exercise is to present a regional planning framework so that the Government, private sector entities, and communities have a shared understanding of regional planning. In addition, this discussion provides the basis for the annexes that assess and make recommendations on:

- the TADP socio-economic profiles and their use;
- information system development;
- Government institution build, with particular reference to the Special Development Unit(SDU)/Planning and Development Department (P&D); and
- community participation in the development planning and decision making process.

This annex will be divided in two main parts: firstly, it will present a basic regional planning framework; and secondly, will do a preliminary assessment within this framework of current planning capabilities in NWFP.

C. A REGIONAL PLANNING FRAMEWORK

A common understanding of regional planning is essential before decisions can be made on whether it is a desirable alternative for the NWFP's settled and tribal areas, and how it may be most effectively applied. This section of the report presents:

- the differing perceptions of those interviewed in Federally Administered Tribal Areas (FATA) and NWFP areas on what regional planning is;
- a definition of regional planning and its rationale;
- an ideal regional planning model; and
- the ingredients necessary for successful implementation.

Each merits separate discussion.

1. Differing Perceptions of Regional Planning

What is regional planning? The answers to this question varied among the public and private sector officials interviewed[1]. Among the answers most frequently articulated were:

- the assembling of a data base that describes or profiles the socio-economic characteristics of a geographic area within an administrative unit;
- the institutional arrangements for involving local people in identifying, implementing and supporting development initiatives;
- the identification, design and monitoring and evaluation of government-sponsored projects to meet national development goals and objectives;

[1] Intensive field investigations have taken place in the tribal areas and Gadoon with discussions at the provincial, divisional. district/Agency levels.

- the preparation of the Provincial Government's Five-Year Plan and of subsequent Annual Development Plans;
- the devolution of planning, decision making authority, and development resources to the divisional or district levels;
- a consultative process to integrate the views of, or to reach consensus among "stakeholders" such as government officials, politicians, farmers, businessmen, academics, and leaders of voluntary organizations on regional development strategies and priorities; and
- the preparation of a comprehensive, integrated regional development or master plan.

These answers demonstrate the different perceptions held about what regional planning is, how it should be implemented, and its desired results. Although these insights accent key concerns, there is a need for a shared understanding of regional planning for effective decision making on its adoption.

2. Defining Regional Planning and Its Rationale

Regional development planning may be seen as planning for the more effective use of public resources so as to improve private sector capabilities and economic returns, and through this and effective performance of societal functions, the quality of life of urban and rural people[2]. It is an ongoing, learning based process in which Government takes the lead, with the participation of the people and private sector entities.

A primary aim of Government is to promote economic growth in a way that allows the large majority of people to participate in directly productive activities, and to share the benefits of development. This is difficult to accomplish when people live in dispersed and distinct geographic areas, with different physical and human resource bases, stages of development, and economies. Achieving economic growth in these diverse areas, especially if resources are scarce, requires the systematic tailoring of development initiatives to local conditions which is a main function of decentralized regional planning.

[2] The definition and discussion of regional planning combines the thinking of Dennis A. Rondinelli, Applied Methods of Regional Analysis; Avrom Bendavid-Val, Regional and Local Analysis for Practitioners; and the regional planning field work and lectures of Charles F. Sweet.

Each geographic area or region has its own economy, with various product and market potentials and linkages. In contrast to the spaceless, target-oriented national planning, regional development requires a dynamic growth process that strengths the region's comparative advantages, multiplies regional income and employment, and leads to a more diversified and expanding economy. Accelerating this process, and insuring a broader sharing of benefits, justifies the effort and costs of a regional planning process.

Efficient economic development of a region involves the recognition of the appropriate roles of the public and private sectors. In essence, the private sector (e.g. farmers, fishermen, small entrepreneurs, manufacturers, traders) creates value by producing and marketing goods and services. The public sector facilitates this process through the provision of incentives, infrastructure and services; it also looks after broader public interests and performs essential social functions (e.g. health, education, justice).

Devolving development planning and decision making responsibilities to lower administrative units (e.g. the Division and District) increases the likelihood of higher development benefits at less cost (even though some investment in institution building is usually required). Such a decision focuses concentration on specific and manageable development units, allowing more systematic and intensive data collection and analysis, ongoing communication between public and private sector representatives, and greater opportunities for beneficiary participation[3].

Therefore, projects -- which are the major outputs of the regional planning process -- are more responsive and appropriate to local interests and conditions. Moreover, there is a greater possibility that development decision making will move from an expedient, ad-hoc (costly) intervention strategy to a (cost effective) strategy that is functionally integrated and systematic and has a better chance of yielding sustainable results[4].

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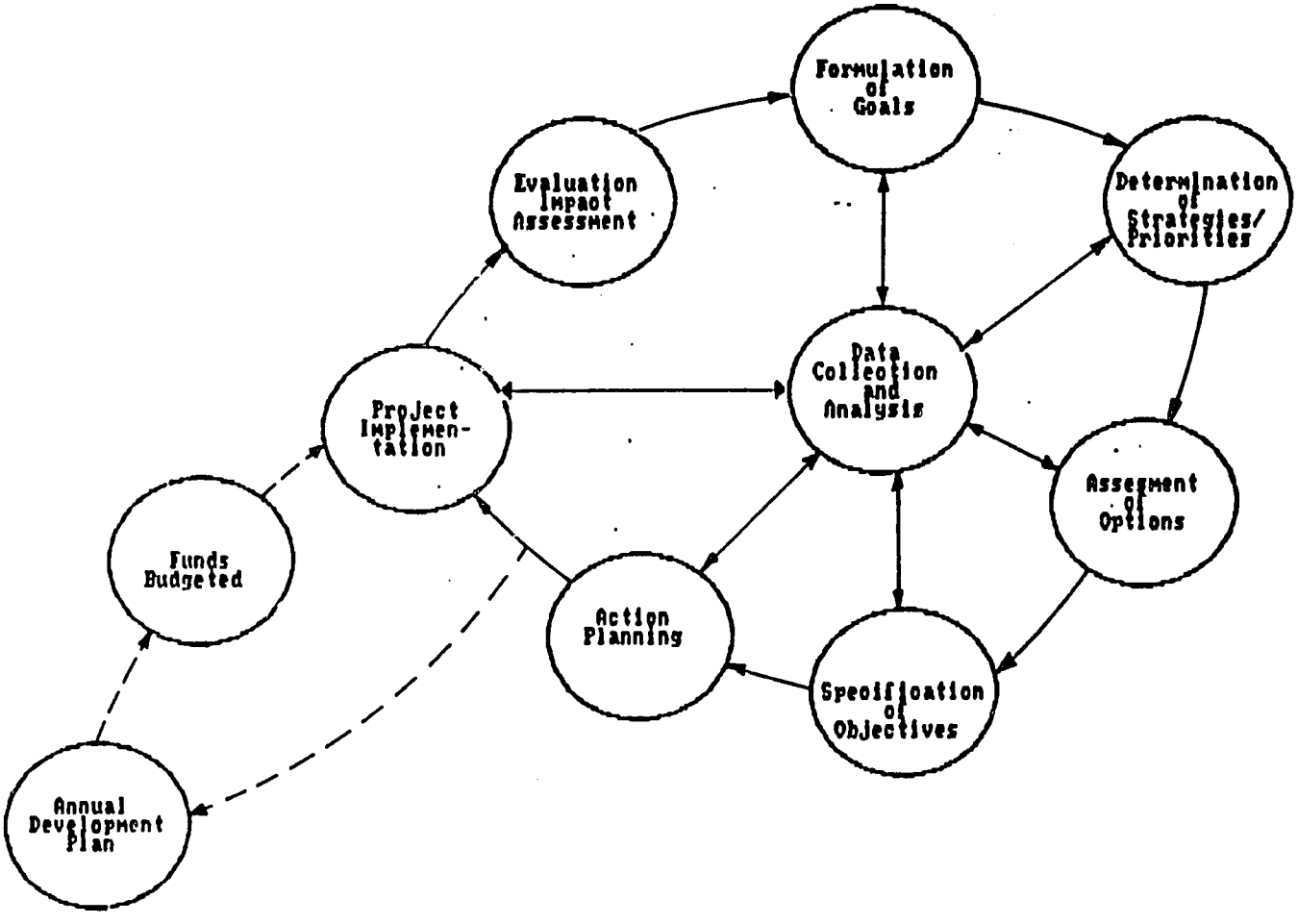
[3] The literature on decentralization is extensive. One source for examining the strengths and weaknesses of decentralization is Implementing Rural Development Projects: Lessons from AID and World Bank Experiences, edited by Elliott R. Morss and David D. Gow, pp.107-138.

[4] Frequently due to political interests, Members of National Assembly (MNAs) and Members of Provincial Assembly (MPAs) will insist on the funding of local development schemes which do not conform to the Government's planning yardsticks. These ad hoc projects sometimes duplicate existing facilities and increase operations and maintenance costs. Moreover, such schemes disrupt a systems approach to the provision of services which is cost effective for scattered settlements.

FIGURE B.1
SCHEMATIC PRESENTATION OF THE IDEAL PLANNING PROCESS



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3. A Possible Regional Planning Model

Basically, planning involves the setting of goals, an examination of options, and a decision on a course of action. Regional planning is similar but far more complex than most exercises due to the multitude of factors that influence decision making.

For regional planning, the ideal model may be defined as an ongoing, learning process which improves the quality of development decision making (see Figure 1). The process is cyclical, supported at each stage by systematic data collection and analysis and by dialogue among "stakeholders". Published plans are not end products but rather, are produced periodically for practical purposes such as meeting the Federal and Provincial Government's annual and longer-term planning requirements. Although steps in this cycle may be added or refined, the critical ones are:

a. Formulation of Goals

A statement of goals reflects a long-term vision for the region's development, against which potential and actual development investments are assessed; goal formulation should be based on an intimate knowledge of regional potentials and linkages and a consensus among "stakeholders" on the desired returns from a process of dynamic regional economic development.

b. Determination of Strategies and Priorities

Given articulated regional goals, the next step is to reach agreement on the strategies, and the priorities within these strategies, that should be pursued; essentially, this involves the creation of a decision making agenda, with preliminary guidelines on program development and resource allocations.

c. Assessment of Options

Within the above framework, there is a need to identify, assess and determine the best options for realizing regional economic development goals, strategies and priorities; this involves evaluations of past development initiatives in the region and in comparable development environments (domestic and international).

d. Specification of Objectives

From an examination of options and from a realistic assessment of private and public sector resource availability, time-phased development targets need to be defined, with measurable indicators of success.

e. Action Planning or Project Identification and Design

With a clarification of direction and specific objectives (with success measures), it is possible to identify essential project interventions and do detailed action planning.

f. Project Implementation

With approval of the action plan or projects, and releases of funds, the implementation phase takes place; project-specific information systems are needed to: (i) monitor the flow of inputs, immediate outputs and activities; and (ii) provide the information for ongoing evaluation and correction of project initiatives.

g. Evaluation/Impact Assessment

At this step, there is a need to step back and determine whether desired development goals and objectives are being achieved and why or why not; comparative assessments will help determine which development investments are having the greatest impact.

The steps in the cycle outlined above and decision making should be continuous. To support this ongoing learning process and planning decision making, one critical element is a strong and focused data collection and analysis system. For strategic or longer-term planning (e.g. Five Year Development Plan), the information system must allow regionwide resource assessments and analyses for policy and program development; and for tactical or short-term planning (e.g. Annual Development Plans), provide locality-specific and project-related information (including evaluations of past and similar initiatives) to determine appropriate investments.

4. Necessary Ingredients for Effective Regional Planning

For effective regional planning, there are certain ingredients which are necessary. For purposes of analysis, these are summarized below:

a. Policy Commitment

Regional Planning can be most effective if decentralized and if planning affects resource decision making which requires clear delegation of authority plus the means to carry out responsibilities.

b. Leadership

Senior level direction by a trained planner, with enabling powers, is essential for mobilizing public and private sector inputs into the planning process.

c. Planning Unit

A strong planning and development unit is critical for decentralized regional planning for information system design and implementation, regional and local analyses, integrated and systematic planning, and for coordinating public involvement and inputs.

d. Defined and Automated Data Collection and Analysis System

Such a system can be expensive if the intended analyses and uses of data are not defined in advance; automation is feasible and cost effective, facilitates communication among agencies and between governmental levels, and speeds the analytical/planning process.

e. Line Agency Integration

To achieve desired development results, the planning of line agencies must be focused on specific localities and their planning and resources integrated. For example, the maximum value of a water system may be achieved if the planning and resource investments of the Irrigation Department, Public Health Engineering, and Agriculture are combined.

f. "Stakeholder" Involvement

If public sector initiatives are to increase the value of private sector investments (and accelerate regional economic growth), institutional mechanisms should be developed to involve key "stakeholders" as well as local people in planning and development decision making.

g. Government Decision Making Linkages

Regional planning must be responsive to, and coordinated with, higher level (i.e. Provincial and Federal) planning and budgetary cycles.

The above discussion outline a possible framework for considering regional planning, with some of the ingredients necessary for a successful process. With this

framework as a guide, current planning in NWFP will be assessed and recommendations made for future planning directions.

D. MAKING REGIONAL PLANNING WORK

Regional planning, appropriately carried out, can make a difference in economic growth in a way that benefits for people can be sustained. Moreover, the process can lead to more cost effective and sustainable results. This requires an interactive development planning and decision making process that is not now taking place in NWFP, especially in the tribal areas.

This section of the Annex will focus on:

- the current planning and decision making environment;
- meeting development and policy objectives;
- an assessment of progress, according to key ingredients;
- the definition of main strategies; and
- a summary of discussions of the implications for GONFWP and USAID

1. The Current Planning and Decision Making Environment

To a large extent, Government development planning is short-term or tactical. Annual Development Plans are developed based on available funds and are influenced greatly by political considerations.

Integrated area specific or regional planning for the longer-term (i.e. strategic) is not being done. However, such strategic planning is critical for achieving sustainable development results. Planning for dynamic economic growth, with equity and social justice considerations, have proven to be significant in encouraging political stability (e.g. Egypt, Tanzania, and Viet Nam, Thailand and Singapore).

The need for strategic planning for specific geographic areas is recognized by key Provincial and local government officials but security and other policy issues tend to override a priority on planning. This is especially true of the tribal areas where law and order, access, information and institutional problems exist.

2. Meeting Development and Policy Objectives

For planning and decision making, there is a need for a clear definition of goals, combined with a coherent development strategy built on sound development principles and shared by the "stakeholders" in the development process. In summary form, outlined below are main elements of such a strategy:

- the critical issue is how dynamic economic growth with equity and social justice can occur, given population pressures (including refugees) on scarce natural resources, by major agro-ecological and tribal zones.
- Sustainable developmental results can be can most effectively achieved with a primary concentration on directly productive activities, built on community involvement in decision making and their resource commitments, supported by solid planning and technical assistance.
- Except in seriously neglected areas, economic/physical infrastructure and social development efforts should be made on the basis of eliminating constraints to directly productive activities.
- Government should facilitate economic and the social development of people and their private sector institutions through supporting infrastructure and services.
- Development initiatives should be tailored to local circumstances, with particular reference to the socio-cultural factors that influence individual and community decision making, knowledge transfer, and organizational development.
- Highest priority should be placed on the better utilization of existing resources, complimented by a well-planned and systematic effort to mobilize new investment resources.

These considerations are part of the planning process of Pakistan but are not reflected in resource allocations[5].

[5] For example, the Guidelines for the preparation of the Eighth Five Year Plan, prepared by the Planning Commission, reflect these principles. However, as the Additional Chief Secretary at the Peshawar Conference on the Reorientation of TADP and NWFADP (December 1, 1991) said education and health expenditures are the main item in the Provincial budget rather than investments in support of directly productive income generating activities. Moreover, he pointed out how political considerations tended to dominate the development planning and decision making process.

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3. Planning for the NWFP Tribal and Settled Areas: An Assessment

Planning (rather than the programming of resources) for the NWFP tribal and settled areas has not been based on a coherent development strategy and has further been complicated by the division of responsibilities between the Federal and Provincial Governments.

The tribal areas pose special planning problems due to historical agreements, geo-political concerns, limited access, and concern for law and order. While considerable resources have been devoted to data collection in the settled areas, planning with the intelligent use of available information is still in an embryonic stage[6].

An assessment of current planning initiatives, based on the critical ingredients for effectiveness, yields some insights as to future requirements.

a. Policy Commitment

A commitment to regional planning in either NWFP tribal or settled areas is seriously lacking. In part, this is due to the quality of technical expertise, compounded by difficult circumstances and cumbersome decision making structures and processes. Perhaps more significantly, it is due to a development planning and decision making environment where particular interests prevail instead of the definition and convergence of development and political objectives.

b. Leadership

Leadership quality is readily available (though variable) at the provincial and local administrative levels level. These resources are under utilized due to the reasons mentioned above in 1. These potentials may be realized more fully through a shared development framework and information base for planning, with the devolution of planning resource control to lower administrative levels. Of particular importance is expanding public participation in the decision making process.

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[6] TADP and NWFADP have made initial progress in building this orientation. Dutch assistance is now taking the lead in developing the overall capabilities of P&D while UNDCP assistance is focussed on SDU/P&D. Combined and enhanced by USAID resources, these efforts could help solve a critical problem.

c. Planning Unit

Although planning units exist in all the line agencies, supported by statistical bureaus and computer cells, concentration is on the administrative and technical aspects of programming available funds rather than planning for the future. There is a need for this priority and capability at both the provincial and lower administrative levels.

d. Defined and Automated Data Collection and Analysis System

The GONWFP has made progress in developing such a system for the settled areas but as yet this information is rarely used for development planning and decision making due to an unclear development framework, with defined planning and decision making requirements and the expertise to tap these information base. Information on the tribal areas is becoming available through the TADP socio-economic profiles, census, and other initiatives but these efforts suffer from the same shortcomings plus are not automated.

e. Line Agency Integration

The most cost-effective development results can be achieved through integrated planning. Currently, planning is concentrated in line agencies without regard to how resources can be combined to achieve greater and more sustainable results.

f. Stakeholder Involvement

The political system allows a say, primarily through traditional leadership, in resource allocations, but the institutional mechanisms are not in place to ensure full public and private sector participation in the development planning and decision making process[7].

g. Government Decision Making Linkages

The current structure is top-down, influenced greatly by particular political interests. A more decentralized, integrated planning and decision making system, with expanded popular participation, may help yield sustainable development benefits.

Also, an important resource is not being utilized. Involving professors and students in the development planning and decision making process could increase understanding plus orient and train future leadership.

4. Strategies and Priorities for the Future

The above discussion suggests certain strategies and priorities for future. Basically, it suggests adoption of a regional planning process with active community involvement aimed at economic growth with equity and social justice, initially in two or three tribal agencies. To carry out this strategy over the short term (i.e. the duration of life of TADP and NWFADP), priority should be placed on:

- increasing natural resource-based, directly productive activities;
- building regional planning capabilities, with modified socio-economic profiles as an initial tool, combined with training and institution building;
- develop effective information systems for improved planning, monitoring and evaluation;
- test and integrate vehicles to increase popular participation and private sector involvement in the regional planning process and local development initiatives; and
- develop an institutional base, perhaps SDU/P&D, for leadership in these initiatives.

The following annexes provide details on how these tasks may be accomplished.

5. Implications for the Government and USAID

The primary requirement for this strategy to work is the Government's commitment to systematic planning, reinforced by professional staff assignments and provision for longer-term recurrent expenditures. Without these elements, the chances of success are minimal. If these commitments are forthcoming, USAID must determine the most appropriate combination of technical assistance and training. It suggests that priority be given to planning, information systems development, and community participation. This argues for a reassessment of the priorities in USAID's phaseout strategy.

ANNEX C
TADP'S SOCIO-ECONOMIC PROFILES
AN ASSESSMENT AND RECOMMENDATIONS FOR THE FUTURE

A. SUMMARY

Considerable resources have been invested in preparing socio-economic profiles of the Tribal Agencies, four of which have been completed (Kurram, Orakzai, North and South Waziristan), one is nearing completion (Bajaur), and two others are in the planning stage (Khyber and Mohmand). These are applied research efforts designed to help improve Government and donor agencies in their planning. The purpose of this paper is to take a look at what has been accomplished and given limited resources and time, present some recommendations for the future use of these profiles.

The TADP socio-economic profiles are a first and important step towards understanding the development potentials and constraints in the tribal areas. If modified, with a clear Government commitment to systematic planning and decision making, they could become an important tool for achieving desired development results. To help achieve these results, this study offers five main recommendations:

- Initiate a dialogue with Government through individual discussions and workshops to develop a commitment to a regional planning strategy and process, with specific reference to the use of the socio-economic profiles.

- Increase the relevance of the socio-economic profiles through refinement, based on a development framework, proven regional planning concepts and methodologies, and articulated decision making requirements.

- Involve academic, private sector and community entities in a participatory rural appraisal process and in planning studies to meet these requirements.

- Identify and enter key development indicators into an automated data base, designed to allow mapping through a Geographic Information System (GIS) that is PC-based.

- Institutionalize regional planning for the tribal areas through the development of Special Development Unit (SDU)/Planning and

Development (P&D), working in cooperation with other Government, private sector and donor agencies.

These recommendations should be implemented on a time phased, cost effective schedule as presented in this paper.

B. THE SOCIO-ECONOMIC PROFILE AND REGIONAL PLANNING

Regional planning is an ongoing learning-based process directed towards dynamic economic growth with equity, justice and quality of life concerns. A socio-economic profile is an early step in the regional planning process, providing a broad understanding of an area and of the quality of information available for planning.

Such studies are costly in terms of time, labor and funds. The benefit/cost ratio of a profile can be increased significantly if designed in a development decision making framework, with analytical methodologies and end uses specified in advance. Its value is further enhanced if it provides the basis for a statistical compendium that may be periodically updated and refined to provide the information necessary for future regional economic analyses and planning.

Moreover, the profile should provide an understanding of the people -- their history, particular socio-cultural characteristics as they relate to leadership selection and development, knowledge transfer, and organizational and decision making processes. Such a perspective allows Government, with donor and private sector involvement, to tailor development initiatives to local circumstances, building upon existing participation and decision making systems that clarify male and female roles at the family and community levels. Understanding these human aspects is critical for effective planning and implementation.

C. THE BACKGROUND OF TADP SOCIO-ECONOMIC PROFILES

The terms of reference for the socio-economic profiles were directed primarily towards providing an understanding of the tribal agencies, making use of the best available data. Through energetic and insightful work, primarily by USAID staff (although attempts were made to involve Government professionals in the process), a first and important step was taken in establishing an information-based, planning and decision making process.

Attempts were made in this process to increase the relevance of the profile findings to development planning and decision making[1]. These efforts were impeded mainly by a structured (project/contractual driven targets) rather than an evolutionary approach (institution building). The structured approach featured a desire to cover all tribal agencies, with limited time tables, USAID and especially Government staffs, monitoring and ongoing evaluation processes, and perhaps most importantly, specification of a development planning and decision making framework. These constraints, combined with the poor quality of data and local access, restricted the potentials of this exercise.

As the profiles were being prepared, initial briefings and strategy and tactical papers were prepared, given and tapped to assist planning. However, this impetus was lost, and field visits to the Tribal Agencies and discussions at Provincial level show little use, except in the case of South Waziristan, is currently being made of these profiles; this is due in large part to the development experience of the Political Agent with USAID and the Government.

D. A BRIEF ASSESSMENT OF THE SOCIO-ECONOMIC PROFILES

The profiles were prepared as initially planned, but reviews of these plus changing needs have raised questions on how to improve their usefulness, particularly in the current Government decision making environment. More basically, the concern of the Government and donor agency is whether further investments be made in this exercise, and if so, in what ways? The answers to these questions are not clear so it may be valuable to look at what the strengths and weaknesses of the profiles are, based on a review of the four completed profiles and comments from possible end users.

1. Some Strengths

The profiles provide basic information for understanding the tribal areas covered plus the quality and availability of data for planning. More specifically, some strengths of the profiles are as follows:

- The profiles have been prepared with the best available data, recent (mainly from Government records) and historic. The inclusion of the

[1] The USAID/Technical Support Unit (TSPU) staff developed four discussion papers and gave several briefings on the findings of the socio-economic profiles. They found a receptivity to these information activities and can document direct utilization. However, few officials now use these profiles which is a primary concern of this assessment.

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historic data and maps offer a foundation for comparison and for future planning while identifying potentials and constraints.

- The profiles cover the important development concerns and sectors, organized for refinement by appropriate line agencies and responsible entities.

- Critical assessments of available data are made in detail, by indicator, in terms of validity and reliability .

- Insightful suggestions are made for micro-level or activity-specific areas of emphasis and investment in the profiles, backed by discussion papers, maps and briefings.

- The initial geographic mapping, with key development overlays, have proven to be effective means for influencing development planning and decision making (though are currently limited to infrastructure and government service coverage).

- The format for the profiles is consistent, allowing some comparisons (though with difficulty due to the profile structure) and provide an initial data base for future modifications and refinements.

In their current form, the profiles constitute preliminary reference documents for a professional planner, project designer, and information systems expert.

2. <u>Some Weaknesses</u>

The original intent of the TADP socio-economic profiles was to help lay the foundation for improved development planning and decision making. So far, there has been little end use of the profiles for these purposes. Part of the problem lies with government attitudes and motivation but there are some shortcomings in the profiles which may limit their usefulness. Some of these shortcomings are listed below:

- While the profiles capture the most important aspects of development, they have been prepared without a solid planning and decision making framework. One major, missing element is a framework that sets the stage for essential regional economic analyses.

- The absence of a planning and decision making framework in the profiles has not allowed the logical presentation of information for helping to

determine overall strategies and priorities; the trees are apparent but not the forests which may be a major reason that decision makers have not used the profiles.

- The profiles are descriptive, based primarily on Government and secondary information sources. Moreover, the descriptions are for the Agencies as a whole, rather than for major tribal groupings, agro-ecological zones or lower administrative levels which would allow a more precise definition of development priorities and schemes.

- The lack of primary data from communities and from private sector entities and workers in the agencies limit the profiles' relevance to planning and decision making.

- The socio-cultural or human elements are not developed in the profiles so as to allow development professionals to understand the specific characteristics of local groups. This understanding is critical for effective knowledge transfers to males and females, the development of functional local organizations, and the resolution of conflicts.

- The failures to code, to document with annotated references, and to computerize the more significant variables make replication and updating extremely difficult. Moreover, key information gaps are not clearly identified and prioritized for future work. For further comments, see the Annex D, entitled Developing Effective Information Systems.

In sum, the profiles are a first step, and with modifications, could become a useful planning tool.

E. THE CURRENT PLANNING AND DECISION MAKING ENVIRONMENT

To a large extent, Government development planning and decision making is short-term or tactical. Annual plans are developed for programming available funds, influenced greatly by political considerations. Integrated area or regional planning for the longer-term (e.g. five years) is not being done. However, such strategic planning is critical for achieving sustainable developmental results. Planning for dynamic regional economic growth, with equity and social justice considerations, have proven to be significant in building political stability[2].

[2] Vietnam and Chille are two excellent examples of how development and stability may be achieved through sound planning, without heavy reliance on foreign assistance.

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There is a need for an understanding of the development potentials of strategic planning and their convergence with political interests. To develop an atmosphere conducive to planning, basic and appropriate concepts and approaches should be introduced, and modified socio-economic profiles can be a tool for assisting this process. Moreover, a shared data base can help divergent interest groups cooperate in defining clear development strategies and priorities. Annex B on Regional Planning Concepts and Approaches provides greater insights on how this might be accomplished.

F. A POSSIBLE FRAMEWORK

1. Goal Definition

The current content and organization of the profiles limit their planning and decision making uses, particularly in regard to issue identification and the setting of investment priorities. In part, it is due to the absence of a development framework.

The first step in building a framework is goal definition which also provides a means to identify and evaluate the tradeoffs involved in each development initiative. A generic set of goals would include:

- economic growth;
- equity and social justice;
- empowerment (or local institution building);
- conservation of natural resources; and
- economic/institutional linkages.

In achieving the above goals, there are clear tradeoffs in the consideration of specific investment proposals; it is important to there may be specific policy objectives (e.g. the reduction of opium production or political stability) that should be specified, with their implications examined in the context of basic development goals.

2. Main Elements of a Development Framework

To increase the usefulness of the profiles as a tool for planning, the first step is to define a clear development framework which is understood and acceptable to

communities as well as public and private sector decision makers. Such a framework, combined with a shared and easily understood data base and with an interactive planning process, could help change the decision making environment (in particular, attitudes towards strategic planning) and in doing so, break the current dependency cycle[3].

Outlined below are below are the main elements that may be included in a possible framework:

- The critical issue is how dynamic economic growth with equity can occur, given population pressures (including refugees) on scarce natural resources, by major agro-ecological and tribal zones.

- Sustainable developmental results can most effectively be achieved with a primary concentration on directly productive activities, built on community involvement in decision making and their resource commitments with solid planning and assistance.

- Except in seriously neglected areas, economic/physical and social development infrastructure and service investments should be made on the basis of eliminating constraints to directly productive activities, with additional infrastructure and services based on community defined and financed priorities.

- Development initiatives should be tailored to local circumstances, with particular reference to the socio-cultural factors that influence community decision making, knowledge transfer, and organizational development.

- Government should facilitate economic growth and social development of people and their private sector institutions through supporting infrastructure and services, with local dialogue and accountability.

- Highest priority should be placed on the better utilization of existing resources, complimented by a well-planned and systematic effort to mobilize new investment resources.

[3] In the December 1, 1991 workshop, there was a full acknowledgement of the dependency cycle, and a desire to eliminate this through building local involvement in decision making, leading to local resource commitments.

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3. Structure for Socio-Economic Profiles

a. Proposed Outline

Within the above mentioned goals and the major elements of a development and planning framework, a simplified outline for a socio-economic profile is as follows:

- A Preliminary Statistical Profile
- Geographic Overview and Definition of Major Agro-Ecological Zones
- Population Pressures (including refugees) on Natural Resources, in General and by Agro-Ecological Zone
- Directly Productive Activities, in General and by Agro- Ecological Zones (including economic returns, potential and constraint analysis)
- Supporting Economic or Physical Infrastructure, in General and by Agro-Ecological Zones
- Supporting Social Services, in General, by Agro-Ecological Zones, and by Population Concentrations
- Supporting Institutional Structures and Linkages
  - Government/Political
  - Local/Tribal
  - Private Sector
- Investment Resource Availability, Utilization, and Mobilization

If the profiles were organized according to the above framework and outline, it would be possible to prepare decision making summaries that recommend strategies and priorities, in general, by agro-ecological zones, by tribal zones and by administrative units.

b. Organization of Information

In modifying the existing, and preparing the next two socio-economic profiles, the emphasis should be on **utility**. This may be done through a two volume

approach. The first volume should be brief, outlining the distinguishing features of the people and area, doing an analysis of critical development potentials and issues, and making recommendations on key investments, and as importantly, priority information needs for future planning.

The second volume should be structured to provide the supporting and detailed statistical and analytical annexes by sector that will help general and line agency planning. This, with a clear definition of key development indicators, will allow the initiation of selected automation of existing data.

c. Potential Innovations

There are three innovations that may increase understanding and usefulness of the profiles:

The first is the preparation of in-depth, representative community profiles that examine local conditions, potentials, and constraints, with an emphasis on the human/tribal socio-cultural history and practices which will yield insights as to how to tailor development interventions most effectively.

The second is a series of family farming systems models by tribal/location/agro-economic zones. These models would provide a basis for analyzing economic returns and constraints as well as the process of farmer decision making.

Within the first two innovations, the third is data collection and analysis on the participation and decision making roles of females (related to male roles) so that extension, training and investment initiatives can be designed with appropriate targets[4].

G. SOCIO-ECONOMIC PROFILES: WHAT'S NEXT?

1. Government's Commitment

The original intent of the profiles has been accomplished, though their usefulness has been limited. The question turns to what should happen next, given the scarce resources of time and funds.

In 1975, Westview Press published a Development Alternatives, Inc., study entitled Women in Rural Development: A Seven Country Survey. The methodology was developed to identify the participation and decision making roles of women in family, production, and community tasks. Rapid reconnaissance methods were used to develop this data base which provided significant insights on how to tailor extension and other development initiatives in different localities.

Modified socio-economic profiles could become effective tools for development planning and decision making if there is a commitment by Government to:

- the process and institutionalization of regional planning;
- a time-phased plan for developing these capabilities over the remaining life of TADP; and
- the coverage of longer-term staff and operational costs to sustain and build these capabilities at the Provincial and tribal Agency levels.

2. End-of-Project Targets

In developing Government's commitments, there is a need to specify end-of-project targets and success measures. The proposed targets over the next two years include:

- socio-economic profiles for the seven tribal Agencies are prepared and used for development decision making and institution building purposes -- regional planning, project identification and design;
- the essential data contained in the profiles are automated, consistent with the highly developed NWFP information system to allow periodic updating and eventual integration of the two systems, with a PC-based, GIS capability;
- basic methodologies for regional economic analyses and planning are in use at the Provincial and tribal Agency levels, based on the modified socio-economic profiles; and
- institutional arrangements are in place for longer-term planning with public participation, supported by applied research and pertinent economic/market analyses.

The above is a feasible agenda, with measurable results.

H. THE PROPOSED ACTION PLAN

To accomplish these results, there are certain, sequential steps that should be taken which are outlined below.

1. Establish a Dialogue with Key Government Officials on Planning and Decision Making Requirements, with a Particular Focus on the Use of the Socio-Economic Profiles

The initial requirement is to a shared understanding of regional planning and the possible use of the socio-economic profiles as a tool. This should be done should be done through a combination of an ongoing dialogue with decision makers plus a series of one day, Coverdale workshops on regional planning for senior Provincial officials, the planning units of line agencies, and the Political Agents. This process will be facilitated with the integration of USAID's TSPU into the SDU structure.

2. Prepare a Model (Short and Based on a Representative Socio-Economic Profile) Decision Making Document for Review by Government Officials that Responds to their Planning and Decision Making Requirements as well as Identifies Critical Information Gaps

The foundation for this dialogue could be an introductory paper on regional planning combined, with a decision making document, built on discussions with senior Provincial officials and Political Agents and the preparation of a model built on the information contained in one of the completed socio-economic profiles.

The intent of this exercise is to develop a commitment towards regional planning, based on building a common understanding of development decision making requirements and on designing a document(s) that meet those needs.

3. On Approval of the Model, Prepare Decision Making Documents for the Five Completed Profiles, with a Preliminary Cross-Profile Analysis that Signals Critical Issues and Primary Information Requirements for Immediate Collection

Before embarking on the preparation of the next two socio-economic profiles, there is a need to institutionalize the end-use
of the five-completed profiles, with a hard assessment of the major information gaps and how they can be filled. Further, a cross-profile analysis would yield an understanding of the commonalities across tribal areas and the differences that may make a difference in development planning and decision making.

Review of these documents should be done on the basis of decision making responsibilities. The cross-profile analysis should be discussed in a workshop forum to help define future development strategies and priorities as well as critical information gaps.

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4. Concurrently, Develop a Planning/Analytical Framework and Identify, Code and Enter Data for the Key Indicators Available from the Existing Profiles

The main weakness of the TADP socio-economic profiles was the failure to base this investment on a solid development planning and decision making framework. This was not part of the initial terms-of-reference but nonetheless should have been the primary concern, carried out in a way that allowed periodic and automated updating.

The current requirement is to narrow information requirements to those key indicators that will allow monitoring and ongoing planning and evaluation. This should be done from the perspective of end use, with analytical methods specified in advance. In addition, there is a need to capture through these profiles the human dynamics in a way that makes a difference in developmental results, given varying local/tribal circumstances.

With the above steps and with the information provided by the profiles, attention should turn to a limited number of variables from the profiles, defined by end use, that can be immediately automated. This data base can be expanded, with clearly defined and priority data inputs for decision making. Moreover, this should be done in a way that allows mapping (or a PC-based, GIS system). Unless major resources become available, and unless improved and cost effective technologies are readily available, should a GIS remote sensing/ground truthing initiative be undertaken[5].

Institutionally, USAID, in dialogue with SDU/P&D, the Political Agents and the Additional Chief Secretary (ACS), should determine the key indicators to be automated. The actual coding should be done by Institute of Development Studies (IDS) or a similar institution (with a longer-term development perspective). On receipt of the coded data, the mapping or PC-based, GIS should be the responsibility of SDU/P&D.

[5] As yet, efforts to initiate a GIS based on remote sensing have not worked due to unproven technologies and inadequate technical skills as witnessed in the Afghanistan initiative. In contrast, the PC-based initiatives under USAID's Afghanistan and Pakistan development initiatives are beginning to work while developing a strong personnel pool for carrying on this work.

5. Establish a Model and Training Program for an Associated Institution to Gather and Analyze the Information Needed for Updating the Automated Data Base and Improving the Quality and Relevance of the Decision Making Documents

The value of the socio-economic profiles can be enhanced greatly through primary data collection, with focus on the three innovations suggested above -- community profiles, model family farming systems, and the participation and decision making roles of females. This effort can be combined with village organizational development which argues for a participatory rural appraisal approach.

One way of doing this is working through university departments, institutes, and outreach centers so as to involve faculty and students, particularly from the tribal areas. This approach would help build institutional capabilities as well as develop individual skills and commitments. Alternatively, or jointly, these functions could be carried out by NGOs or young people in their first government assignments.

The critical elements for success in this initiative are training, monitoring and ongoing evaluation, with constructive feedback.

6. From the Above, Plan and Carry Out the Preparation of the two Additional Profiles, Strengthening Institutional Roles and Relationships

After carrying out the above tasks, the stage should be set for proceeding with the final two socio economic profiles. These should be designed as to permit periodic review and refinement of the process.

I. INSTITUTIONAL "HOME" FOR SOCIO-ECONOMIC PROFILES

An unanswered question is what the institutional "home" for the socio-economic profiles should be, or more importantly where responsibilities for leadership and planning should lie. This is the role of Government, with P&D as its main executing agency.

In the near future, TADP will be integrated into SDU which has the mandate for the planning and implementation of integrated area development projects in the defined areas. Through this mandate, with expanded capabilities, it could take the lead in developing a regional planning capability at the provincial level. Even though P&D FATA would be a credible alternative, the pragmatic answer to the question of an institutional "home" is to place responsibility with the entity accountable for resource expenditures, and through experience and dialogue allow a longer-term strategy to evolve.

In determining future institutional arrangements, the broader and main issue should be expanding institutional involvement and interaction.

J. SUMMARY OF RECOMMENDATIONS

Inherent in the proposed action plan are a series of recommendations that are sequential. These recommendations are presented below.

1. Recommendation 1

Initiate a dialogue with Government through individual discussions and workshops to develop a commitment to a regional planning strategy and process, with specific reference to the use of socio-economic profiles.

2. Recommendation 2

Increase the relevance of the socio-economic profiles through refinement, based on a development framework, proven regional planning methodologies, and decision making requirements.

3. Recommendation 3

Involve academic, private sector and community entities in a participatory rural appraisal process and in planning studies to meet these requirements.

4. Recommendation 4

Identify and enter key indicators into an automated data base, designed to allow mapping through a GIS that is PC-based.

5. Recommendation 5

Institutionalize regional planning for the tribal areas through the development of SDU/P&D, working in cooperation with other Government, private sector and donor agencies.

K. IMPLEMENTATION SCHEDULE

An implementation schedule is presented in Attachment C.2, with cost estimates in Attachment C.3.

L. SOME GOP AND USAID IMPLICATIONS

The GOP requirements or commitments (outlined above) are clear. To carry out this strategy, USAID should reconsider its reduction strategy, placing greater priority on retention of those planners and information systems experts who can provide continuity and institution building assistance.

ATTACHMENT C.1
AN ANALYSIS OF SOCIO-ECONOMIC PROFILE SOURCES

Sections	Sources	Comments
Geography	a. FATA Agriculture b. Meteorological Department c. Geology Section, FATADC	Generally accurate information as geographical features and climate/rainfall data is based on scientific observations.
Administration and Economy (General)	a. Political Agents b. Local Public c. Richard English, The Economic Impact of Afghan Refugees in Tribal Areas	Accurate information about administrative organization. Data on shops in various markets reported in English's book also believed to be accurate.
Population	Population Census, 1981	Data is controversial because of methodological, political and inaccessibility issues.
Refugees	Commissionarate of Afghan Refugees	Generally accurate as are based on actual registration of refugees.
Land Use and Agriculture	a. NWFP Agriculture Statistics b. Census of Agri- culture c. FATA Agriculture	Estimates given in each source are different and hence not reliable.
Irrigation, Flood Protect- ion and Potable Water	a. FATADC b. LG and RD	Data relating to schemes is accurate; beneficiar- ies and acreage covered estimates, however, doubtful.

Sections	Sources	Comments
Irrigation, Flood Protect- ion and Potable Water	a. FATADC b. LG and RD	Data relating to schemes is accurate; beneficiar- ies and acreage covered estimates, however, doubtful.
Animal Husbandry	a. Livestock Census b. NWFP Livestock Department	Livestock counts are not reliable.
Forestry	NWFP Forestry Department	Generally accurate.
Communications	NWFP Communications and Works Department	Statistics are accurate.
Education	NWFP Education Department	Enrollment figures are not reliable.
Health	NWFP Health Department	Number of patients treated are generally not accurate.
Electrification	WAPDA	Accurate; based on recorded facts.
Investment and Development	a. FATADC b. P&D/FATA Section	These figures show actual allocations and so are correct.

ATTACHMENT C.2
AN INITIAL IMPLEMENTATION SCHEDULE

To implement the recommendations of this Annex, the following schedule is recommended. As presented, a major effort is required at the outset to establish a foundation for future action.

A. THE FIRST THREE MONTHS

1. First Month

- Preparation of a "talking paper" on regional planning and its applications and significance.
- Discussions with Government officials on regional planning and the use of the socio-economic profiles for decision making.
- Preparation of model decision making document from one completed socio-economic profile.
- Workshop to review the regional planning paper and the efficacy of decision making document based on a socio-economic profile.
- Procurement of the PC-based GIS hardware and software for SDU, based on USAID's Primary Education Project.

2. Second Month

- Modification and review of the decision making document.
- Preparation of the four additional decision making documents, based on the model.
- Preparation of the cross-profile analysis, highlighting major issues and information requirements.
- Identification of key indicators for immediate coding.

3. Third Month

- Workshop to determine information strategy and requirements, and how to meet these.
- Development of plan for the completing the remaining two profiles.
- Local contract (perhaps with IDS) to code one profile one profile.

B. SUMMARY OF END OF PROJECT REQUIREMENTS

The above is an illustrative schedule for the first three months. Over the following months, until the end of the Project, the main requirements are:

- contractual arrangements for completing the two remaining profiles, with guidance and supervision of their completion;
- the coding of basic development indicators as well as the establishment of a PC-based GIS (per the Information Systems Annex D); and
- ongoing training in regional planning and participatory rural appraisal techniques.

ATTACHMENT C.3
THE ESTIMATED BUDGET

The estimated budget is rough and based on two major assumptions which are:

- TSPU will take the lead in this effort, integrated as planned into the SDU; and
- the information systems technical support will come from that component.

A preliminary budget is as follows:

TABLE C.1: ESTIMATED BUDGET FOR SOCIO-ECONOMIC PROFILES

Line Item	Budget ($ '000)
Technical Assistance (3 MM of Regional Planner)	48
Profile Preparation (Mohmand and Khyber)	200
Updating Existing Profiles	30
Data Entry from All Profiles	20
Training	30
Total	**328**

ANNEX D
DEVELOPING EFFECTIVE INFORMATION SYSTEMS: AN ASSESSMENT AND RECOMMENDATIONS FOR THE FUTURE

A. SUMMARY

Considerable thought and resources have been devoted to the development of Provincial, line agency, and project-specific information systems in North West Frontier Province (NWFP). The purpose of this report is assess how effective these efforts have been in the USAID-sponsored TADP and NWFADP, what lessons have been learned from similar initiatives, and what steps should be taken in the future.

The main conclusion of this report is that the information systems developed are evolving but have not as yet matured, with full utilization for purposes of development planning, decision making, and management. Their evolution has been based on the inputs of USAID-financed professionals who are being phased out without the development of an internal Government capacity to maintain and expand the use of these systems.

Moreover, the current information systems are used primarily for word processing and monitoring physical and financial progress, even though data bases would allow more relevant and sophisticated analyses. And further, decision makers (or end users) are not fully aware of how to use the information contained in these systems.

One means that has proven effective for decision making has been the use of mapping to help show key development indicators, investments, and location, based on population concentration and other geographic characteristics. The Additional Chief Secretary (ACS) sees this as an important input, using existing information (especially, the census data).

With a modest investment of Rs 3.4 million of remaining TADP funds, the likelihood of sustainable information systems can be increased, with greater end use. The recommendations place high priority on developing Special Development Unit (SDU)'s information systems expertise for internal planning and management, for project-specific technical support, and for improving area-specific, development decision making through a PC-based, Geographic Information System (GIS). Essential elements in this effort are:

- developing an information systems plan;
- provision of appropriate technical assistance and training (based on existing capabilities plus a PC-based, GIS/mapping system);
- developing a professional staff capability (and incentive structure) within the Government; and
- adopting a decentralized strategy that responds to agency specific decision making and management needs.

The immediate implication of these recommendations for USAID are clear.

- First, there is a need to intensify training and technical assistance, with an institution building focus.
- Second, the provision of these inputs should be based on a longer-term information systems development plan, with special emphasis on decision making needs.

Of particular importance in developing this plan is a review of current USAID and other donor efforts to build NWFP information systems.

B. BASIC FUNCTIONS OF INFORMATION SYSTEMS: A FRAMEWORK

As an initial step in developing an information systems plan, there is a need to clarify its functions and potentials. Information systems in their very basic form are used for record keeping and data storage purposes. The four essential quality parameters for information for effective decision making are :

- precision;
- completeness;
- timeliness; and
- correctness.

Computer based Management Information Systems (MIS) and a more sophisticated Decision Support Systems (DSS) built systematically bring highest value to these parameters.

MIS and DSS have the following essential ingredients :

- computer hardware selected according to a plan;
- computer software developed according to a plan;
- people i.e those who build the systems and those who use them; and
- Procedures that govern the flow of information in the organization.

C. TADP, NWFADP, AND RELATED INFORMATION SYSTEMS: SOME BACKGROUND

There are a number of Government and donor agencies funded projects in the NWFP. These projects are planned, designed, executed, monitored and evaluated by a diverse group of agencies in GONWFP. The levels of decision making and planning are known but a clear framework does not exist.

Ideally, all entities involved should have a common platform for effective and interactive information exchange for facilitating the planning and decision making process in GONWFP. This involves a unified methodology for procurement and maintenance of computer hardware, design development and maintenance of computer software, building skills in the computer staff as well as the end users and standardization of procedures for information access within and across various organizational units related to projects. These units could be SDU/P&D, the GONWFP/FATA line agencies, project offices or Project Management Units (PMU)'s and donor agencies.

There should be local area networks (LAN) within the organizational units with decentralized applications and the systems of these units should be linked with each other in a wide area network (WAN) configuration.

TADP and NWFADP provided computer hardware, software, training and skilled manpower to the four line agencies as tools to support planning and management initiatives. In the process, the line agencies became more aware of potential uses. USAID/TADP obliged by providing the line agencies with additional computing resources.

Similar efforts were made by NWFADP at their project office at Topi. The computer center staff was led by a qualified information systems manager and a systems analyst, both provided
by USAID.

Now, several years later, the line agencies have mature applications and computing resources that started with the initial efforts of TADP and NWFADP. These efforts were sustained over the years through continuous and relentless efforts of the USAID systems analysts. The line agencies often come up with their computerization requirements to TADP but TADP has limitations in its scope to provide support especially with the USAID provided staff being phased out; moreover, with this phaseout, use and maintenance of these systems have been negatively affected.

During data collection, a number of other initiatives were also investigated.

- UNDCP Chief Technical Advisor at SDU is working on standardization of reporting for donors related to projects handled by SDU and he also plans to install a local area network for this purpose.

- Dutch for strengthening of the P&D Department have already acquired the services of a Dutch systems analyst who is investigating the ADP and Rural Settlement applications at the P&D computer center and is suggesting ways to streamline the data bases for a more effective use of the existing computer facilities.

- Primary Education Development Project has its own computer center and experts are developing a financial accounting system and designing an Educational Management Information System (EMIS). Efforts are also being made to implement a PC based GIS for effective plotting and retrieval of data related to planning and decision making for primary education.

- During our discussions with the Afghan AID representative we came to know that there are roughly six different agencies in Peshawar alone who are trying to implement the PC based GIS (which will be complementary to any TADP initiative).

- Development Alternatives Inc. (DAI) has installed and have been working on a sophisticated GIS with remote sensing and satellite imaging

capabilities (which has encountered difficulties in getting products that can be used for decision making).

All these initiatives are to facilitate work within their respective domains. The flow of benefits can be maximized with cross project interaction in developing a framework for information system planning, design and development.

D. A BRIEF ASSESSMENT OF INFORMATION SYSTEMS

Insights into some strengths and weaknesses of the information systems built in the line agencies and the project offices will help identify the future directions for these systems.

1. Some Strengths

- Computer hardware, systems software and utilities for software development are close to adequate in the computer centers.
- Data bases for necessary information have been built in P&D, LG&RD, FATADC and the Gadoon project office at Topi. Some reports are also being generated for information purposes.
- The most urgent GONWFP posts for computer centers at P&D, LG&RD, C&W and FATADC have been created though are unfilled and inadequate for continuous and evolving information systems development.
- Basic training in computer orientation has also been conducted at various levels of management for P&D, LG&RD, C&W and FATADC. To further develop capabilities, more professional personnel and systematic training from data entry to end use is needed.
- Computer centers have been equipped with the necessary facilities such as furniture, power protection equipment and air conditioners etc.

2. Some Weaknesses

- The information systems have been developed in isolation to a planning and decision making framework.
- The information systems within and across various line agencies were designed and developed in isolation to each other and without a larger

overall information system plan and a lot of redundancy of effort exists across different line agencies.

- There is no comprehensive information systems plan specifying the information requirements across the line agencies and project offices of TADP, NWFADP and other donor initiatives.

- The computerization effort is such that all computer related work is done in the computer centers. This has resulted in overloading the centers with tasks that could have been easily performed by the end users in a decentralized design.

- Computer awareness from the basic skill level up to the awareness of the computerization process is scarce.

- Senior level posts for computer professionals do not exist, therefore, increasing the risk of high manpower turnover.

- Computer applications do not have adequate documentation and the risks of modifying these applications run high and any replication would be difficult if not impossible.

- Principles of structured systems analysis and design have not been strictly adhered to which makes the systems difficult to operate and maintain in the absence of those individuals who developed them.

- Most of the effort, in fact, all of the computerization effort has been the result of direct involvement of USAID. Now, these analysts have been phased out -- the process will be complete by the end of 1991. The process of institutional building is not even halfway through for the computer centers and there is a danger that without USAID analysts and other support substitute, the computerized systems would not be able to sustain themselves in the future.

E. DISCUSSION OF SPECIFIC FINDINGS

Data on the information systems was collected mainly through individual and group interviews with key people in USAID/TADP, the line agencies, SDU, P&D and the Project Management Unit of Gadoon Amazai project. The UNDCP Chief Technical Advisor was also interviewed during the process as well as senior officials in related USAID-financed initiatives in Pakistan and Afghanistan. A detailed account of

information systems at the P&D, C&W, LG&RD and FATADC is given in attachment D.1; principal findings, however, are reported below:

- The computer center at GAADP project office at Topi has:
  - a USAID funded Information Systems Manager to be phased out in December 1991.
  - a Systems Analyst to be phased out in 1993.
  - 3 computer operators with very little programming skills.
- The SDU computer center has no computer programmer or systems analyst and the computer operators are used for word processing by various officers.
- Posts for computer staff including systems analysts, computer programmers, data processing supervisors and computer operators for the line agencies have been created. These posts have not been filled because of the low salary packages and limited career path.
- Phasing out of the USAID systems analysts, though necessary, was much too sudden and has left the computerization efforts at all four line agencies in a limbo. A general feeling of insecurity in terms of the future of computerization in the line agencies exists especially among the computer staff.
- USAID and GONWFP are now looking at institutional strengthening of the various computer centers.
- There is currently only one USAID systems analyst looking after the computerization affairs of all four line agencies in place of four systems analysts only a few months ago. This systems analyst is to be phased out in December 1991. There is no way that one USAID analyst can provide direct support to the line agencies.
- The computer centers are mostly being used as a word processing pool by the line agencies and the non-existence of any senior staff post at the computer center was the main reason to prevent this routine.
- The technical staff of the computer centers is expected to carry out administrative duties along with their technical work. This environment is not conducive to systems development and will endanger the

sustenance of the existing computerization let alone further software development.

- Awareness in some quarters of the top management exists in terms of what the actual use of computers should be but this awareness is limited and needs to be spread through training programs for senior officials of the line agencies.

- No awareness in the top management exists in treating computerization as a process of change and that impacts of computerization are far greater in scope and intensity than what a few machines and software appear to bring about.

- A need for a GIS has been identified at P&D for planning purposes. PC based GIS systems are being used at varying levels of sophistication in at least six organizations in Peshawar including the Afghan AID Representative's Office and Primary Education Development Project which provide a base for future TADP and NWFADP information systems development.

A classification of information that exists at P&D, the line agencies and the project office is presented below, by major functions.

1. Applied Research

Socio-economic profiles were prepared by the Technical Support Planning Unit (TSPU) with the help of GONWFP. The USAID staff maintain that these profiles have not been used by the decision makers. They reason that the development decisions are based mostly on political considerations than on rational basis. The objective of developing these profiles was to highlight the disparity among different areas and provide a rational basis for decision making for development schemes and regional planning.

One of the reasons for the profiles not being made use of was also the lack of expertise in interpreting data given in the profiles. A need to provide this expertise to the decision makers has been highlighted during our survey.

These profiles need to be updated periodically; to do this, there is a need to establish a community based approach to data collection, updating and communication to a center such as SDU which assumes responsibility for the profiles

and their use. This will help enable the decision makers in working with the latest or most current data.

Data on the profiles also needs to be computerized for frequent updating and retrieval in different formats to provide decision support.

2. Planning

Every line agency has planning officers whose main job is to provide liaison with P&D. There are no reports which are generated either manually or through computers and passed onto P&D solely for planning purposes. Most reports that are sent to P&D are for information purposes and reporting only. These reports show what has already been accomplished and not what has been planned for future action e.g there is no use of a Critical Path Method (CPM) based technique for project planning either at the line agency or the P&D level.

Computer based project planning and monitoring is a very common technology these days especially for construction and other development projects. So far, its application in the GONWFP has been marginal.

Rural Settlement data has been computerized but it is not being used by the P&D management in planning and decision making due to the following reasons :

- The management is not aware of the capabilities of the computer and in most cases do not know what the computer can provide to them.
- The computer center staff do not know the planning process and they dante know how they can help management in the planning process by providing data.

This gap of two specific domains, i.e planning and use of computers, needs to be filled by training or some other organizational development intervention. Moreover, the integrity of Rural Settlement data is also questionable. There is an acute need for bringing together the data collection and the data preparation/entry organizations i.e Bureau of Statistics and P&D.

There is an analyst from the Dutch donor agency who has suggested ways of streamlining the ADP and Rural Settlement data based in P&D, making these more useful for decision making. Moreover, there is considerable interest at P&D for getting a GIS for integrating the rural settlement data with it. This could be accomplished through a PC-based system.

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Different GIS definitions exists ranging from basic mapping with key indicators to a high tech remote system model. The basic mapping systems, PC-based, is a model which is being tested and development by six Government and donor, and provides a model for SDU and P&D.

According to the Province's chief information systems analyst, the ACS is primarily concerned about mapping the census data, Rural Settlement data (which is now being collected in the defined areas), and basic development initiatives and investments. A high tech system is not needed but a low cost Atlas -- GIS (PC-based) approach is feasible. More sophisticated systems can be introduced as institutional capabilities expand, and the high technology and its applications are refined.

3. Project Implementation and Management

The GAADP project office was visited and their computerized systems were studied. The computer center consists of four personal computers with Word Perfect, Lotus and Dbase III Plus on them. There is no Local Area Network.

A number of databases have been created on:

- training of local people and staff;
- agriculture for people who were provided alternate crops as poppy substitutes; and
- forestry.

Spreadsheets are being extensively used for maintaining the accounts of the project but no data base application exists.

Most of the reports are for local record keeping and some are sent to SDU such as Monthly Expenditure Report and Monthly Physical Achievements Report.

At GAADP project office, the biggest problem being faced by the computer personnel was the slow speed of data input. This was due to slow data collection from the sources and subsequent delay in data preparation.

Recent news of phasing out of the Project Coordination Unit (PCU) is the main cause of a lack of interest among the staff and no further applications are being contemplated at the moment.

The Kala Dhaka project office also has five computers including 286 and 386 machines and similar software tools but no databases or computer applications have been developed there.

At LG&RD, C&W and FATADC most applications are for record keeping and reporting of finances, physical achievements and payroll of staff and officers. At P&D, a number of applications exist providing information on projects but this information is also used basically for record keeping.

4. Comparative Evaluation

No systems exist that provide comparative evaluation of projects or sub-project initiatives.

5. Impact Assessment

No systems exist that provide Impact Assessment of projects.

E. CONCLUSIONS

The following conclusions may be drawn from the findings during this study:

- In the absence of USAID systems analyst support and without a substitute plan, there is a danger that the computer centers will not be able to maintain the existing information systems.

- The computer center at SDU should be strengthened in terms of skilled manpower, information systems planning, project management skills and additional computer hardware and software. This center should provide guidance and consultancy services to all concerned organizational units of a project for building their information systems and ensure consistency and conformity to a unified methodology of information systems design and development.

- There is a risk of high manpower turnover in the computer centers.

- The existing software applications need to be consolidated in terms of completing their documentation.

- Manual information systems in SDU, the project offices and the line agencies need to be studied and designed so that information

requirements of all participating organizations such as the GONWFP, the line agencies and the donors are satisfied and these requirements can be automated.

- There is a lack of a directed effort in information systems analysis/design with information automation as an objective.

- Training is needed at the following levels in the line agencies, project offices and SDU :

  - at top management level;
  - at end user level;
  - at technical user level; and
  - at computer center staff level.

- Rural Settlement Survey Data System is not as yet utilized for planning purposes.

- GIS is needed at P&D, though it should be a basic system (PC) with marginal cost and high concentration on key decision making requirements.

  Alternatives of access to a GIS system either in the shape of procurement or buying GIS services from some other organization needs to be worked out.

F. ALTERNATIVE MODELS FOR BUILDINGS INFORMATION SYSTEMS

Three alternative models of varying levels of sophistication are presented with respect to the current SDU resources and the potentials of a GIS. A brief description of these three Models is given below, while a detailed discussion is available at attachment D.2.

1. Model A: Ideal Model

Model A is the ideal model with highly qualified staff at the SDU computer center including an information systems manager, a systems analyst, three programmers and six computer operators. State of the art computer hardware including a Local Area Network with ten sophisticated work stations, laser printer, digitizing tablet and line printer is suggested.

Additional software suggested is also the latest available for computer based project management along with mapping software to generate maps and sophisticated graphics for effective planning and decision making. It also includes some scientific programming languages.

The GIS recommended is PC based in nature and does not have any remote sensing or satellite imaging equipment.

2. Model B: Workable Model

This Model does not provide for the in formation systems manager but provides for the systems analyst, two programmers and four computer operators.

Hardware suggested consists of a five work station network, plotter and a line printer.

Additional software consists of computer based project management tools and some scientific programming languages.

The GIS recommended is basically a pseudo GIS developed by a suitable scale grid on the existing geographical maps and plotting the Rural Settlement data onto these grids. Since the Rural Settlement data bases exist, this would be simpler and cheaper option though low in sophistication and accuracy.

3. Model C: Basic Model

This Model requires SDU computer center staff of one systems analyst, two computer programmers and four computer operators.

Hardware consists of a five work station network and a matrix line printer.

Additional software consists of computer based project management tools.

GIS option is the same as that of Model B above.

This model should be adopted in case of absolute necessity and not as matter of choice.

3. Common Elements of the Three Models

Three alternative models for building future information systems have been suggested. However, there are four common elements to all three models. Highlights of the common elements of the three models are presented below.

- Strengthening of SDU computer center in terms of highly skilled staff, sophisticated and powerful computers and sophisticated computer software and the expertise to use it.

  SDU needs to take on the role of a consulting organization for the information needs of all projects including studying their computing requirements, assisting in design and development of software for them and transfer of technology in terms of latest software and skills through organizing training programs.

  Details are given in attachment D.3.

- An organizational relationship model has been developed for the SDU computer center in relation to other organizational entities such as the donor agencies, vendors of computer hardware, software consulting organizations, the training institutes, the line agency computer centers and end user staff.

  Their roles have been defined in detail in Attachment D.4.

- An effective training strategy for all project organizational units at all levels:

  - top management of line agencies in the process of computerization, role of management in computerization, and communication skills to communicate user requirements to the analysts in a clear, precise and complete manner;
  - end user staff (actual users of the applications) in how to use the applications;
  - engineers to be trained in use of scientific packages and some scientific programming language;
  - computer center staff in computer programming, systems analysis and design, database management systems, local area networks etc.;

- computer center staff in art and science of training to impart training in computers.

The training strategy that is suggested is aimed at organizational development as well as development of the individual participants.

Details of this strategy are given in Attachment D.5.

- Development of an Information Systems Plan (ISP).

An Information System Plan (ISP) is analogous to a building's architectural drawings. The ISP study will analyze in detail:

- the organizational and information systems goals and objectives;
- the inventory of current capabilities and resources of the line agencies with special emphasis on SDU; and
- the corporate plans of all project organizational units to ensure that the MIS can grow with the organization's growth.

Based on this data, a complete plan for computerization will be developed including:

- the requirements for hardware, systems software and utilities;
- application software;
- human resources;
- alternatives for the structure of software development team;
- training at various levels;
- financial plan; and
- implementation plan.

This study will precipitate the expectations of donors, SDU and the line agencies into a working set of requirements for all projects that it is handling. It also will identify problems in the existing information handling procedures of the projects, line agencies and the donor agencies and suggest ways to circumvent these problems.

The estimated time duration for this ISP study is six months for a team of two information systems specialists. Detailed outline of this study is presented in attachment D.6.

G. RECOMMENDATIONS

Based on our interaction with the project organizational units during this study and the experiences of the previous study, our recommendations for future information building for all project organizational units are given below.

1. Adopt the Ideal Model (Model A)

This option has the following advantages :

- SDU's computer center will be adequately staffed for developing unified standards for information handling for all projects in a short time;
- GONWFP will have access to information on planning, monitoring and evaluation information in a very short time thus offsetting the higher expenses of this option; and
- use of modern hardware and software such as a laser printer, plotter and computer based project management tools will enhance productivity of the computer staff giving more accurate, timely and presentable results.

2. Develop a Computer Center Employees Retention Strategy

High tech manpower turnover is rated high round the world. Computer centers of the project organizational units will face this problem even more acutely because the salary and benefits package offered to the computer staff is far lower than that offered in the private sector. Some measures to retain computer center employees could be:

- providing relative independence to the computer centers; and
- providing for a high level (possibly Grade 19) post in the computer centers as a career growth path.

Details of the employee retention strategy can be found in attachment D.7.

3. Empower the End User Through Decentralized Computing

Computerization should be designed around a decentralized system providing for computer networks commonly known as Local Area Networks. The end users

should be empowered by providing them with the necessary know how and skills in operating the applications from their own office premises instead of loading the computer centers with the burden of all computer related tasks.

4. Form an Independent Computer Bureau in GONWFP

This is a long term (within five years) effort. The recommended bureau would consist of a team of highly qualified computer professionals responsible for:

- insuring a standard approach to computerization for all government departments; and
- act as a hub and pool of resources i.e manpower, skills, technology to all government departments.

Aims and objectives of this bureau are presented in detail in attachment D.8.

H. ESTIMATED BUDGET FOR IMPLEMENTATION

The cost estimates for developing an effective information system, as outlined above, are based on the following assumptions:

- ISP will be made by an outside consultant;
- Model A is adopted as the solution for future information systems design;
- the training schedule presented in the previous (1990 computerization) study still holds good;
- charges for the training programs have been worked out as follows:
  - average course has a maximum of 15 participants;
  - the courses are held in a five star hotel;
  - outside training institutes are employed for training programs; and
- cost of the additional staff at SDU has not been reflected in these estimates since it is reflected in the section on organizational structure.

The total estimate for carrying out the recommendations and the essential elements i.e training and information system planning based on the above

assumptions comes to Rs 3.4 million. A detailed breakup of this budget is given in attachment D.9.

ATTACHMENT D.1
INVENTORIES OF COMPUTING RESOURCES OF P&D, LG&RD, C&W AND FATADC

Inventories of computer hardware, systems software and development tools, applications software and skills are presented in this section for each of the captioned agency.

A. PLANNING AND DEVELOPMENT DEPARTMENT

1. Computer Hardware and Systems Software

TABLE D.1.: P&D: INVENTORY OF COMPUTER HARDWARE/SYSTEMS SOFTWARE

Number and Configuration of Computers	Usage	Funding Agency	Operating System	Development Tools
2 IBM A21	ADP WP	P&D	DOS 4.0	Dbase III+ Dbase IV Release 5.0 WP Lotus 1-2-3 PC Word BASIC
4 IBM PS/2 Model 80	-do-	-do-	-do-	-do-
6 IBM PS/2 Model 50	-do-	-do-	-do-	-do-
2 External Disk Drives				
1 Akhtar IBM/PC AT Compatible	-do-	-do-	-do-	-do-
5 IBM PC/XT	-do-	USAID	-do-	-do-

2. Inventory of Applications Software

- Annual Development Plan
- Quarterly Review Monitoring
- Rural Settlement Survey
- Monitoring of Unapproved Schemes
- Re-appropriation of ADP
- Selection of Sites Statements
- Chief Minister's Directives
- District Briefs

3. Inventory of Skills

TABLE D.2: P&D: INVENTORY OF SKILLS

Name	Title	Education	Comp. Trng.	Period in Comp Field	Strengths
Mohammad Shafique	Programmer	M.Sc. (CS)		2 Yrs	Systems Analysis
Shakirullah	DPS	B.A.	1 Yr	6 Yrs	WP, Dbase
Raziqa Yasmin	DPS	-do-	-do-	5 Yrs	-do-
Haroon	EI	-do-	-do-	6 Yrs	Supervision
Zaheeruddin	Operator	-do-	-do-	1 Yr	WP, Dbase Fontasy
S. Mahmood	-do-	B.Sc.	6 Mo	1 Yr	WP
Khan Mohammad	-do-	B.A.	1 Yr	6 Mo	-do-
Shahid Mamoon	-do-	-do-	6 Mo	-do-	-do-
Akhlaque Ahmad	-do-	-do-	-do-	-do-	-do-
Shaheen Yusuf	Assistant	-do-	1 Yr	3 Yr	-do-

4. Concluding Observations

Computer center at the P&D department is better staffed, equipped and managed out of all four agencies. This is because computerization efforts began here and it was the first agency to receive the attention and resources in terms of computer hardware, systems software, training and direct support from the USAID systems analysts.

B. LOCAL GOVERNMENT AND RURAL DEVELOPMENT DEPARTMENT

1. Computer Hardware and Systems Software

Details of existing computer hardware and systems software are available in the following table D.3.

TABLE D.3.: LG&RD: INVENTORY OF COMPUTER HARDWARE/SYSTEMS SOFTWARE

Number and Configuration of Computers	Usage	Funding Agency	Operating System	Development Tools
7 Everex (5 Monochrome 2 Color)		USAID	DOS 3.3	Dbase III + Dbase IV WP Release 5.0 Lotus 1-2-3 WS 2000 MS Project

2. Inventory of Applications Software

- Local Development Fund
- Chief Ministers Directives (CMD), 1988-91
- Community Uplift Program (CUP), 1989-91
- CMD (CUP), 1989-1991
- Black Topping of Existing Rural Roads, 1989-1991
- Special Federal Funded Program (SFFP), 1989-1991
- Rural Works Program (RWP), 1989-1991
- Special Educational Program, 1989-1991
- Drinking Water Supply System
- Special Program Rural Roads, 1989-1991

- Detailed report of various projects under USAID
- Major Contracts for Peshawar Division

3. Inventory of Skills

TABLE D.4: LG&RD: INVENTORY OF SKILLS

Name	Title	Edu-cation	Comp. Trng.	Period in Comp Field	Strengths
Mohammad Saleem	Pro-grammer	M.Sc. (CS)		5 Yrs	Systems Analysis
Abdul Hamid	DPS	B.Sc.		3 Yrs	WP, Dbase Lotus
Faisal Naeem	DPS	-do-	Dip.	2 Yrs	-do-
Kamran Murad	Operator	B.A.	-do-	3 Yrs	-do-

(Continued...)

TABLE D.4: LG&RD: INVENTORY OF SKILLS (Continued)

Name	Title	Edu-cation	Comp. Trng.	Period in Comp Field	Strengths
Bilal Ahmad	-do-	B.Sc.	-do-	2 Yrs	-do-
Ahmad Sultan	Steno	B.A.	Cert.	3 Yrs	WP, WS Lotus

4. Concluding Observations

Generally weak capabilities.

C. COMMUNICATIONS AND WORKS DEPARTMENT

1. Computer Hardware and Systems Software

The computer hardware and systems software details for the C&W Department are given in the following table D.5:

TABLE D.5.: C&W: INVENTORY OF COMPUTER HARDWARE/SYSTEMS SOFTWARE

Number and Configuration of Computers	Usage	Funding Agency	Operating System	Development Tools
4 286 Based		USAID	DOS 3.3	Dbase IV WP Release 5.1 WP Release 4.2 Lotus 1-2-3 WS 2000 Framework
1 NEC 286 Based		C&W	DOS	

2. Inventory of Applications Software

Following applications have been developed a the C&W Department:

- Schedule of Rates
- Personnel Data of Grade 17 and above

3. Inventory of Skills

TABLE D.6: C&W: INVENTORY OF SKILLS

Name	Title	Edu-cation	Comp. Trng.	Period in Comp Field	Strengths
Khaziqur Rehman	DPS	B.Sc. (Engg)	Dip. (One Yr)	6 Mo	WP Lotus
Naureen	Data Entry Operator	F.A.	6 Weeks	8 Yrs	WP
Shahida Anjum	-do-	B.A.		6 Mo	-do-

4. Concluding Observations

Computerization at C&W is almost negligible whereas there is tremendous scope and need for computerization at this line agency. Computers along with the computer center staff are mostly used for word processing.

There is an acute need of Computer Aided Design and Drafting expertise at the Central Design Office (CDO) of this Department. The senior management realizes this need but it does not have the know how in planning such training activities. There is only one computer in the CDO office which is occasionally used for word processing.

There is also an acute shortage of skills in C&W computer center and is felt at all levels of the management. No development work is being done or attempted due to the non availability of technical staff at the computer center.

Top management of C&W including the Secretary and Deputy Secretary were very enthusiastic about future computerization and also felt that their computer center needed more attention from the USAID systems analyst than it was getting.

D. FATA DEVELOPMENT CORPORATION

1. Computer Hardware and Systems Software

Following Table D.7 provides details of existing computer hardware and systems software:

TABLE D.7: FATADC: INVENTORY OF COMPUTER HARDWARE/SYSTEMS SOFTWARE

Number and Configuration of Computers	Usage	Funding Agency	Operating System	Development Tools
4 IBM 286		USAID	DOS 3.3	Dbase III + Framework WP Release 5.0 Lotus 1-2-3 WS 2000 Printmaster AUTOCAD
2 Multitech 286		FATADC	-do-	-do-
4 DM Printers 1 Plotter 4 UPS Units		USAID		

2. Inventory of Applications Software

The following applications have been developed at FATADC:

- Special Development Program
- Annual Development Program
- Staff Payroll
- Officers Payroll
- Monthly Expenses Statement
- Gauges
- Provident Fund Schedules
- Tube wells Monitoring System
- FATA-DC Budget in Lotus 1-2-3
- Year wise Allocations of P&D, FATADC and MNA/Senator's Program

3. Inventory of Skills

Inventory of computer related skills available with FATADC are reported in the following table D.8.

TABLE D.8: FATADC: INVENTORY OF SKILLS

Name	Title	Edu-cation	Comp. Trng.	Period in Comp Field	Strengths
Farman Ali Shah	Operator	F.A.	1 Yr	4 Yrs	WP, Lotus Wordstar
Nisar Ahmad	-do-	-do-	-do-	3 Yr	-do-
Fazal Subhan	-do-	Matric	-do-	-do-	Lotus Wordstar
Hashim Ali	-do-	Dip.	-do-	-do-	-do-

4. Concluding Observations

Applications development process has been set in an orderly fashion primarily due to the USAID systems analyst support and hard work. All applications developed previously are functioning well but this effort can only be sustained if higher level expertise is hired immediately.

ATTACHMENT D.2
ALTERNATIVE MODELS FOR FUTURE COMPUTERIZATION

A. MODEL A: THE IDEAL MODEL FOR INFORMATION BUILDING

1. Resources of the SDU Computer Center

The SDU computer center should be strengthened. Staff of the computer center should be as follows :

- Information Systems Manager One
- Systems Analyst One
- Computer Programmers Three
- Computer Operators Six

More computer hardware and software is also required to increase SDU's computing capabilities. It is suggested that a network with the following configuration is installed in SDU computer center:

- One 80386 based system for mapping and plotting purposes
- One 80386 based LAN server
- Ten 80286 based work stations
- One Laser printer
- One plotter
- One Digitizing tablet
- One matrix line printer

The existing PC's should be traded in with the new equipment because they are not powerful enough to run the more demanding software as mentioned below.

The following additional software needs to be added into the computer center:

- Harvard Project Manager
- INSTAPLAN
- C Language compiler
- PASCAL Language compiler
- LAN software
- Mapping software

2. Geographical Information System

GIS needed for planning and decision making purposes should be a PC based mapping system which can:

- read in or assist in drawing maps from a digitizing tablet;
- read in or import data from a Dbase database; and
- plot it onto a map according to requirements.

Such software is available at a fairly low cost and can fulfil the decision makers needs for planning purposes.

B. MODEL B: THE WORKABLE MODEL FOR INFORMATION BUILDING

1. Resources of SDU Computer Center

The staff of the computer center should be as follows:

Systems Analyst	One
Computer Programmers	Three
Computer Operators	Six

More computer hardware and software is also required to increase SDU's computing capabilities. It is suggested that a Local Area Network with the following configuration is installed in SDU computer center:

- One 80386 based LAN server
- Five 80286 based work stations
- One plotter
- One matrix line printer

The existing PCs should be traded in with the new equipment because they are not powerful enough to run the more demanding software as mentioned below.

The following additional soft ware needs to be added into the computer center:

- Harvard Project Manager
- INSTAPLAN
- C Language compiler
- PASCAL Language compiler
- LAN software

2. Pseudo Geographical Information System

A pseudo GIS can be developed by making a suitable scale grid on existing geographical maps and plotting all Rural Settlement data onto these grids. Data out of the databases of rural settlement data can be plotted onto these grids whenever a query needs to be responded to. Please note that a computer application with the Rural Settlement data already exists at the P&D computer center.

C. MODEL C: THE MINIMUM MODEL FOR INFORMATION BUILDING

1. Resources of SDU computer center

The staff of the computer center should be as follows :

- Systems Analyst One
- Computer Programmers Two
- Computer Operators Four

More computer hardware and software is also required to increase SDU's computing capabilities. It is suggested that a Local Area Network with the following configuration is installed in SDU computer center:

- One 80386 based LAN server
- Five 80286 based work stations
- One matrix line printer

The existing PCs should be traded in with the new equipment because they are not powerful enough to run the more demanding software as mentioned below.

The following additional software needs to be added into the computer center:

- Harvard Project Manager
- C Language compiler
- LAN software

2. Pseudo Geographical Information System

Same as for Model B above.

ATTACHMENT D.3
STRENGTHENING OF SDU COMPUTER CENTER

Role of this computer center should revolve around the following activities:

- Provide a consultant's role to all organizational units concerned with a project in terms of giving advice and assistance in:
  - studying the user requirements for computer applications;
  - guiding the software design process;
  - creating awareness among the computer centers staff in new methods of structured systems analysis, design, coding and testing;
  - transferring technology for assessment, evaluation and procurement of computer hardware, systems software and development tools;
  - developing a schedule for training of the organizations computer staff, the project office staff, end users and management and ensuring its implementation;
  - developing documentation standards for the existing as well as future computer applications for the line agencies;
  - developing software design, testing and implementation standards for the existing and future applications for the organization;
  - developing a unified methodology for standardizing the software development efforts in all organizational units to curb redundancy in applications development;
  - providing liaison between external software consultants, the line agencies and donor agencies during the Information Systems Plan development; and
  - planning staffing of the computer centers and in hiring the required staff.

- Develop a unified computer based project management system using a CPM based software tool such as Harvard Project Manager or INSTAPLAN.

ATTACHMENT D.4
ORGANIZATIONAL RELATIONSHIP MODEL FOR FUTURE COMPUTERIZATION

A suggested organizational model is shown in Figure D.1. This model shows seven entities and their interaction with each other. The seven entities, their roles and their relationships are described below:

A. SDU COMPUTER CENTER

The role of this computer center will be as a guiding and supervisory body ensuring that all computerization efforts are being performed in accordance to the project's requirements at all
levels.

The computer center shall:

- fund, mobilize and supervise the Information Systems Plan study;
- provide supervisory and advisory assistance for computerization and training to each organizational unit related to a project;
- guide the computer center staff in determining the user requirements of the future applications;
- assist the computer center staff of each organizational unit related to a project in selecting and hiring outside consultants for development of software;
- assist the computer center staff of each organizational unit related to a project in devising and implementation of a software project management system;
- assist the computer center staff of each organizational unit related to a project during implementation of the newly developed software;
- assist the computer center staff in conducting a training needs assessment for the operational as well as senior management staff of each organizational unit related to a project;

- guide each organizational unit related to a project in ascertaining its training needs in technical and management subject areas;
- sponsor training programs for end user as well as computer center staff of each organizational unit related to a project in technical, management and training skills areas; and,
- help build training capability of the line agency computer centers by funding purchase of training aids, some additional computer equipment and building of a training facility within each agency so that the agencies have in-house training capability to train their end users.

B. LINE AGENCIES COMPUTER CENTERS

The computer center staff shall:

- work under direct supervision and advice of the SDU Information Systems Manager;
- assist in conducting user requirements analysis at the respective line agency and get end user sign off with SDU analyst and the outside consultant at the time the Information Systems Plan is being made;
- ensure that the software consultants follow acceptable standards of software design;
- develop parts of computer applications alongside the software consultants;
- monitor the progress of the software consultants according to the agreed schedule;
- prepare test data for the software consultants to test their applications after development;
- ensure that applications developed by the software consultants conform to the agreed technical as well as functional specifications;
- play the lead role during implementation and parallel run of the applications for the end users;

- conduct computer orientation courses for end users to maximize their involvement and interest;
- carry out occasional meetings with other line agency counter parts to share experiences and standards; and
- ensuring that all stages of software development are well documented by the software consultants/computer center staff.

C. END USERS AND SENIOR MANAGEMENT

End users and senior management of all organizational units related to a project can facilitate the entire process of computerization by:

- providing cooperation and dedicated time to the computer center staff and the software consultants in determining the user requirements for their organization disregarding the grade levels of the computer center staff/systems analysts;
- creating an awareness that computerization is a process of change and that the entire organization has to prepare itself for coping with this change;
- taking an initiative in learning how to operate the computer and encouraging their junior staff as well;
- communicating the manual procedures and computerization requirements to the analysts in a clear, precise and complete form;
- devising and implementing some reward mechanism for the computer center staff as extra incentives to curb manpower turnover;
- helping in formulation of an organizational structure in which the computer centers operate as autonomous bodies within the organization and are under the direct control of the top management;
- helping in building an in-house training capability/facility for training of end users as well as computer center staff;
- encouraging computer center staff to go for advance courses within and outside Peshawar in technical courses;

- arranging industrial tours for the computer center staff in other provinces to share experience, knowledge and skills in similar efforts; and
- holding meetings with counterparts in other organizational units to standardize the report formats and information handling procedures;

D. TRAINING INSTITUTES

Training programs for senior management on process of computerization and computerization as a change process etc. may not be within the scope of the local training institutes. Training expertise for such programs can be called in from outside Peshawar. The training institute selected for conducting training programs for the line agencies should ensure that:

- all training programs will be preceded by a training needs assessment exercise;
- trained trainers should offer these programs;
- training sessions must use modern training techniques such as case studies, simulations and role play;
- extensive training materials should be given to the participants as reference material;
- a good trainer/participant ratio should be maintained (1:5 is an acceptable standard);
- all training programs must follow through with projects given to participants to be done in their organizations to internalize the knowledge and skills learned during the training program; and
- all training programs should be evaluated by the participants regarding the level of skills learned, level of skill of the trainer and quality of logistic support.

E. SOFTWARE CONSULTING COMPANY

Role of the software consulting company will be to design, develop, test and implement applications according to the end user requirements. Software consultants

will work with the computer center staff and under the supervision of SDU Information Systems Manager or systems analyst.

The software consultant shall:

- design, develop, test and implement applications according to the technical as well as the functional specifications laid down in the Information Systems Plan;
- work out and follow a software project management system;
- follow the principles of structured systems design and programming;
- develop documentation at each step of the development process such as software design, coding/debugging/unit testing, system testing and implementation/parallel run.
- provide training as follows:
  - end user training on using the applications;
  - computer center staff on maintaining and modifying the applications;
- ensure availability of trained manpower to remove any bugs or other problems that might arise in the software on a minimum time delay basis.

F. VENDORS

Most leading vendors have offices in Peshawar.

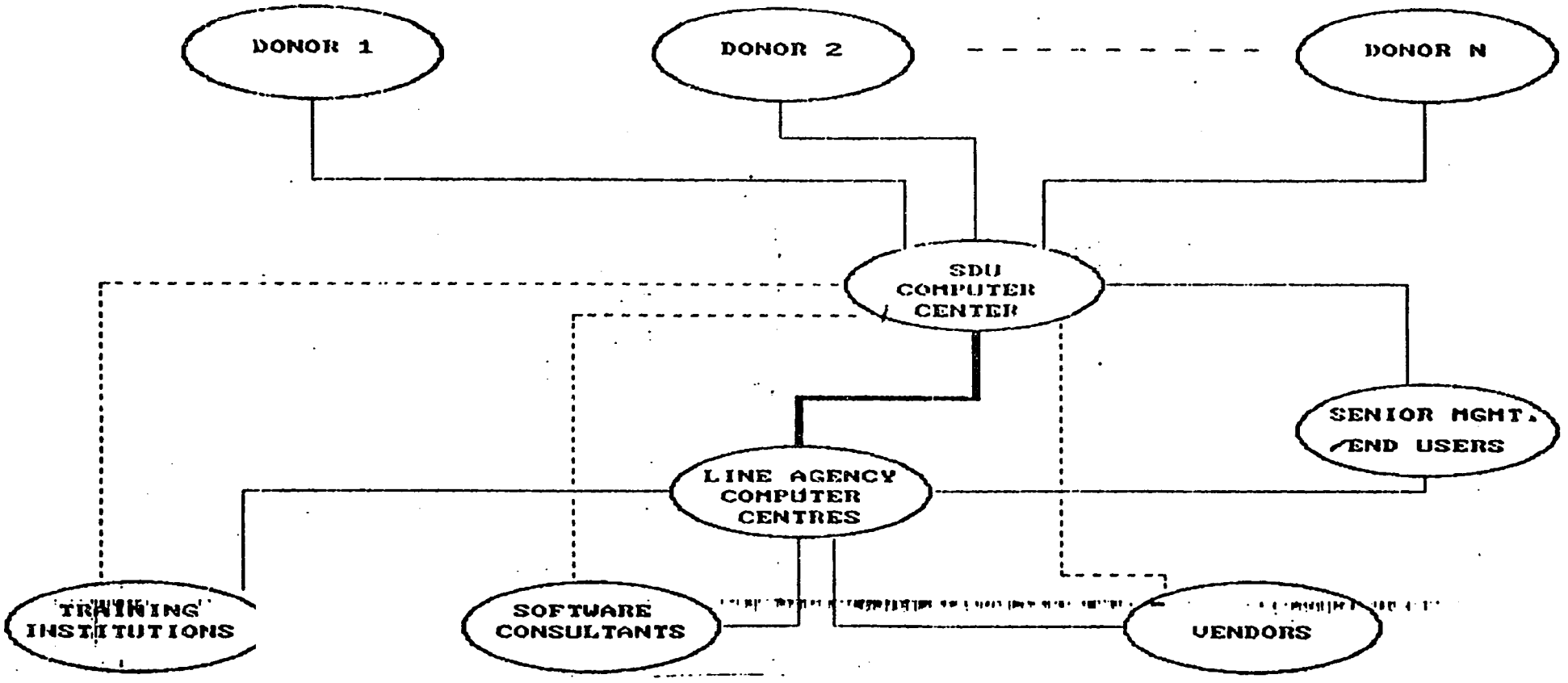
Responsibilities of the vendor in this organizational model are as follows :

- provide alternative solutions to the hardware specifications laid out by the line agency;
- provide maintenance and after sales support for the supplied computer equipment;
- provide loaner machines in case of breakdown of the supplied computer equipment;

- provide training to the computer center staff for effectively using the equipment; and
- liaison with the software consulting company, the line agency computer center staff and the SDU Information Systems Manager/Systems Analyst for problem resolution.

BEST AVAILABLE DOCUMENT

FIGURE D.1
ORGANIZATIONAL RELATIONSHIP MODEL



LEGEND

EXHIBIT	: 1
TITLE	: ORGANIZATIONAL RELATIONSHIP MODEL.

——— Direct / Full Time Interaction.
——— Direct Frequent Interaction.
- - - - Occasional Interaction.

ATTACHMENT D.5
DETAILS OF THE TRAINING STRATEGY

A. OBJECTIVES

Objectives of this training effort will be:

- internalization of the knowledge and skills learned during the training programs by the participants;
- substantial improvement in the performance of the organization sending the participant for training;
- institutional development of the line agencies computer centers so that they are able to continue the skill building effort of the line agencies independently; and
- institutional development of the private sector training institutes in and around Peshawar region to provide a permanent, long term resource for training in computers.

B. IMPLEMENTATION

These objectives will be realized by following the essential steps given below:

1. Training Needs Assessment

Training Needs Assessment (TNA) will be an essential and first step towards conducting any training program. This is an expectation sharing exercise and mainly consists of interviews with the potential participants of a program. Reasons for holding the training program are identified through these interviews. Specific objectives of the potential training program are established and shared with the participants and their management. These objectives then lead to the design of the training program.

TNA ensures that the right contents for the participants go into the design of the training program and they cater to a particular group's specific needs.

2. Design of the Training Programs

During the design phase of the training programs, presentations, exercises, case studies, simulations and role plays etc. will be prepared according to a particular group's specific needs.

Reading material to be used during the workshop and for reference is selected and collated as a workshop manual.

Lesson plans for each lesson/session are prepared during this phase as well.

Design of the training programs should include exercises and case studies/mini-projects out of the job environment of the participants so that at the end of the program, the participant has either solved his/her problem completely or partially in which case he/she can carry on working on it even when the program is over.

3. Conducting the Training Programs

Training programs should be conducted according to the lesson plans and program objectives. It should be noted that sometimes the lesson plans need to be changed during mid-course of the training program. The lesson plans and general design of the training program should be flexible enough to incorporate such changes.

4. Evaluation

Each training program should be evaluated at the session level and at the program level by the participants for:

- effectiveness of content;
- effectiveness of the delivery;
- quality of reading material;
- skill of the training team
- preparedness of the training team; and
- quality of logistic support.

These evaluation statistics should be analyzed occasionally and passed onto the management of participating organizations for progress monitoring of the training effort.

5. Short Booster Programs

Each main program should have follow through short booster programs. This should be a short training program after a pre-determined period of time after the main program. The objectives of these programs are to:

- ensure that the knowledge and skills imparted during the main program have been internalized by the participants; if not, suggest ways and means to bring about this internalization; and
- assess the progress of the mini-project given out at the time of the main programs.

6. Training of Trainers

Training sets off a change process in organizations. The line agency management has to prepare itself to deal with this change. Training efforts needs to be continued by building "change agents" within the line agencies. These "change agents" are computer center staff who have been trained as trainers in computer knowledge/skills at different levels. Training services hired from outside training institutions on a permanent basis is expensive and creates dependency on these institutions. Moreover, in order to strengthen the line agency computer centers as institutions, internal training capability needs to be built into the line agency computer centers.

ATTACHMENT D.6
DETAILED OUTLINE OF THE PROPOSED ISP STUDY

The result of this study will be an Information System Plan (ISP). Detailed outline of the ISP is given below :

- Organizational set-up of each project with reference to its donor:
  - organizational goals and objectives;
  - organizational structure and major decision focal points; and
  - reporting relationship with the donor agency.
- Evolution of the current information system
- Current information system inventory:
  - hardware, system software and utilities and their utilization;
  - applications software and their status/utilization;
  - human resources and their utilization; and
  - existing plans for near future.
- Limitations/Constraints of current system
- Proposed management information system:
  - long term objectives;
  - Short term objectives;
  - description of proposed computerized system at system, subsystem, and applications level;
  - hardware specifications with various configuration alternatives;
  - networking trade offs between the SDU, line agency and its field offices;
  - query requirements;
  - proposed input forms;
  - proposed menus;
  - proposed report formats;
  - proposed human resources requirements;
  - proposed data input procedures;
  - proposed data backup procedures;
  - proposed electronic mail facility/procedures; and

- proposed documentation standards.

- Major changes in current information system

- Impacts of proposed system:

  - organizational impacts;
  - social impacts; and
  - strategies to cope with these impacts.

- Training Needs Assessment at various levels of the line agency and SDU.

- Consultant's role in post study activities

- Development plan:

  - alternatives for procurement of hardware;
  - choice of systems software and utilities;
  - overall approach for software development;
  - end-user training strategy;
  - detailed project schedule;
  - project team structure;
  - project team monitoring mechanism;
  - project cost and payment schedule; and
  - phasing strategy.

- Description of end products and services:

  - applications programs;
  - user's guide;
  - systems programmer's guide;
  - configuration guide;
  - built-up database; and
  - users training for:
    - o DP Staff
    - o end users

- Quality parameters for applications software

ATTACHMENT D.7
COMPUTER CENTER EMPLOYEES RETENTION STRATEGY

All posts created by the computer centers have not been filled yet because of low salary and a lack of career growth path for the programmers and analysts. These computer centers will eventually face the problem of their computer staff turnover. Some measures to minimize this problem that can be taken immediately are suggested below :

- provide organizational independence to the computer centers within the organization's structure and have them report to the top management of the organization;

- the computer center staff should have a career growth path. Efforts should be made to create a senior level post (Grade 19) in the computer centers of each line agency and the SDU to look after the computerization.

  During requirements analysis, analysts need to know the corporate and strategic plans in order to incorporate them in their software design and future computerization planning. This would also be facilitated when a senior official exists in the computer centers.

  Presence of a senior official in the computer centers will also prevent other senior officials to use the computer centers as word processing pools.

ATTACHMENT D.8
FORMATION OF AN INDEPENDENT COMPUTER BUREAU IN GONWFP

Formation of an independent computer bureau in GONWFP seems to be the need of the future. This could be included in the long term plans of computerization of GONWFP.

The aims and objectives of this body would be as follows:

- to ensure proper planning of information systems in all GONWFP line agencies in conformance to the decision making process of the government;
- formulation of and adherence to applications development standards;
- formulation and implementation of a policy for selection, acquisition and installation of computer hardware;
- formulation and implementation of a policy for maintenance of computer hardware across all line agencies of GONWFP;
- formulation and implementation of a policy for selection and promotion for computer professionals for the bureau as well as for the line agencies, providing a career growth path to the computer staff. This could be a major incentive for retention of quality high tech manpower;
- act as a hub and a pool of resources -- manpower, skills, technology and training for all GONWFP line agencies;
- stream line and remove redundancies in efforts of computerization in various line agencies of GONWFP;
- conduct training needs assessment for all line agencies for nominating suitable participants for training programs; and
- provide a central training facility for training line agency staff and senior management in computers.

ATTACHMENT D.9
ESTIMATED BUDGET

TABLE D.9: ESTIMATED BUDGET

Activity Description	Budget (Rs '000)
Development of Information System Plan	600
Upgradation of Computer Facilities, LG&RD & FATADC	100
Upgradation of SDU's Computer Facilities (Inc GIS)	1,300
Training at Top Management Level	
■ Computer Orientation	160
■ Computer Process	100
Training at End Users Level	
■ Computer Orientation	225
Training at Technical Users Level	
■ Computer Aided Design and Drafting	160
■ Structured Programming for Engineers Using Pascal	100
■ Structured Programming for Engineers Using "C" Language	100
■ Computer based Project Management	100
Training at Computer Center Staff Level	
■ Systems Analysis and Design	50
■ Communications Skills for Systems Analysts	30
■ Introduction to Local Area Networking	80
■ Advance Data Base Techniques	50
■ Advance Courses in Dbase III+	100
■ Training of Trainers	160
Total	3,415

ANNEX E
IMPROVING DEVELOPMENT PLANNING AND RESULTS
SUGGESTIONS FOR BUILDING SDU/P&D CAPABILITIES

A. SUMMARY

This paper is devoted to examination of improved development planning alternatives with primary focus on Special Development Unit (SDU) within the Planning and Development Department (P&D). The paper concludes, inter alia, that SDU, with its mandate for planning, management and evaluation of donor-assisted development projects in the Defined Regions, is an appropriate candidate for regional planning related institutional building efforts. The paper also examines the existing personnel resources of SDU and suggest minimum, desirable and ideal alternatives for future staffing alongwith potential financial implications. More importantly, the paper highlights potential interventions for effective utilization of current TADP and NWFADP resources for SDU's institution building.

Principal recommendations of this paper are: place high priority on developing SDU/P&D institutional capabilities; develop a time-phased plan for integration of USAID and Government resources; establish SDU's extensions at the Tribal Agency level to test and develop models for decentralized and participatory development planning; and provide personnel and/or financial support to SDU/P&D through foreign-financed projects.

B. INTRODUCTION

This study proposes a priority on the reorientation of TADP and NWFADP towards improved planning with active community involvement aimed at achieving dynamic economic growth with equity and social justice. Achieving these results requires an institutional "home", with supporting vehicles that increase popular participation.

Various institutional alternatives were considered in the process of this study, with a primary focus on the GONWFP's P&D. Department. P&D's Special Development Unit was chosen because of its mandate for the planning, management and coordination, and evaluation of foreign donor-financed, area development or multi-sector projects in the defined areas.

SDU/P&D, with its mandate, has the potential for creating cost sharing arrangements between Government and donors to test and develop planning, project

management, popular participation, and information systems models that may make a difference in the development of the Defined Regions and that provide the basis for improving development planning and results within the Province.

The 1990 Dalton study reinforces this finding, and the current senior advisor to SDU/P&D is preparing a five year institutional development plan. The purpose of this annex is not to replicate, or second guess these studies, but rather to highlight potentials and to make recommendations on how the existing resources of TADP and NWFADP can be most effectively used.

C. THE NEED AND DESIRED RESULTS

The purpose of the TADP/NWFADP reorientation team is to determine how USAID can assist the Government in achieving sustainable results with the remaining resources and time under these projects. Further, these recommendations should set the stage for a solid base for future Government, of particular importance is:

- a shift of emphasis towards production and income oriented activities;
- building a regional planning capability;
- increasing popular participation; and
- developing effective information systems in support of planning, management and evaluation.

These priorities are directed towards increasing the prospects for sustainable development benefits. The basic problem is how to accomplish these initiatives.

D. PLANNING AND ADMINISTRATIVE STRUCTURE AND PROCESS

A brief discussion of planning and administrative structure and process is available in Annex A. The discussion in Annex A highlight the complexity of planning and administrative structures and processes with distinct Federal and Provincial responsibilities, broken out by FATA, PATA, and settled area designations. A summary of these structures in relations to planning of foreign aided projects in settled areas as well as FATAs is presented in attached Figure E.1. In carrying out responsibilities related to both local and external financed projects, the P&D serves as the focal point for planning and coordination.

Ideally, over the long term, development planning and decision making responsibilities will be consolidated for the tribal and settled areas under the Provincial Government. Although political factors suggest that this may take considerable time, the foundation for this change should laid through Government, donor, and private

sector investments. Initiatives should be made to create a common development framework, planning approach, information systems, and processes for encouraging local involvement and through this local resource investments in development initiatives. Further, there is a need for decentralization to develop systematic planning, with strong local participation.

E. THE ROLE AND CAPABILITIES OF SDU/P&D

1. Current Status

SDU/P&D has a unique role in coordinating and assisting the planning, management, and evaluation of foreign-financed, area development or multi-sector projects in the Defined Regions. It has supervisory responsibility for eight projects, amounting to over $200 million with six new projects on line. In this position, with adequate staffing and financial support, it has the potential to be innovative, contributing to project development and implementation through cross-project fertilization as well as the integration of development efforts in the Province.

Even though the SDU was established in 1984, it remains a shell organization, with a well motivated and managed but overworked staff. Moreover, its potential roles have not been clearly defined in a way that generates Government and donor investment in its operations.

2. A Possible Framework

In a simplified form, built upon the existing structure, management and technical services functions should be performed through the individual project management units. To support these investments, there are certain functions that may be performed by central organization such as SDU/P&D. These include:

- government and donor coordination (existing function, well performed);
- project monitoring and broad resource control (existing function--performed but needs serious improvement);
- technical oversight (existing function but not performed due to a lack of professional capabilities);
- planning, investment promotion and evaluation, on a more decentralized basis (new function);
- information systems development and standardization (new function); and
- development of vehicles and processes for increased popular participation (new function).

In carrying out these functions, the concentration should be on guiding and developing models for increasing lower level, planning and management capabilities.

3. Building SDU/P&D Capabilities

The above model suggests that the performance of the current and planned development projects can be increased if SDU/P&D performs certain support functions directed towards building local capabilities. If the above functions are acceptable to the Government and donors, there is a need for a strategy to build SDU/P&D capabilities.

Of primary importance is expanding SDU/P&D's staff and operational resources but this should be done in a manner that helps insure a sustainable capacity. This might be accomplished through Government financing of core positions and operations, with the foreign donor projects contributing to expanded areas of mutual concern. This should be done on an evolutionary basis, with concentration on: (i) planning; (ii) project monitoring and resource control; (iii) technical oversight; (iv) popular and private sector participation; and (v) information systems development.

For developing SDU/P&D's capabilities, an overall plan is needed, incorporating the Dalton and UNDCP recommendations, with at least a five year timeframe. Serious consideration, at least on a trial basis, should be given to developing (with project funding initially), divisional or district/tribal agency SDU/P&D offices, with responsibilities for planning, investment promotion, and the involvement of communities and the private sector in development planning and decision making.

4. Possible USAID Contributions

One past problem with USAID assistance has been a tendency towards direct management rather than institution building. Currently, USAID is giving serious consideration to the integration of its resources into the governmental structure, with the condition of firm commitments to core staffing and coverage of recurrent budget costs.

USAID has several resources, albeit on limited time schedules, that may contribute to SDU/P&D's development:

- NWFADP which is in the process of phaseout but which could add trained personnel and equipment and vehicle resources to SDU/P&D;

- TADP, with PC I approved for a PMU under SDU/P&D, and which should contribute to central functions;
- the TSPU which, if integrated with the SDU/P&D, could increase its technical and planning capabilities;
- the Coverdale contract for training and institution building; and
- related projects such as NGO and private sector development, the primary education, university assistance, and the Afghanistan initiatives which can contribute knowhow, if not resources.

If the proposed reorientation strategy is accepted, USAID resources from the above should be directed, on a negotiated and reciprocal basis with the Government, towards developing SDU/P&D capabilities in:

- regional planning and economic analysis;
- community participation approaches;
- information systems development; and
- improvement of technical support in engineering and in agricultural planning.

These priorities suggest a reassessment of USAID's current phaseout plan, giving special emphasis on maintaining capabilities for assistance in planning, information systems, and popular participation. A senior engineer is also required to build planning and technical oversight capabilities. As part of the planning initiative, priority should be placed on agricultural planning, with special reference to domestic and international market potentials.

The training agenda should include a series of conceptual and decision making workshops at the Provincial and the Tribal agencies designated for developing a decentralized, decision making model. Overseas training may be valuable if done on a participatory basis where the trainees are assigned to work with a particular unit for a period of at least three months. Some immediate possibilities are: town (United Kingdom) and county (United States) planning agencies; regional and district governments (Japan, Tanzania and Botswana); and general (the International Institute for Rural Reconstruction in the Philippines).

Attachment E.2 shows the organization charts for the SDU/P&D today and three possible models from minimal to ideal, and Attachment D provides the detailed staff costs currently and for the three models.

One innovation that TADP may wish to test is establishing a SDU/P&D unit at the tribal agency level, with a planner, social organizer, and research officer. Its intent would be to develop a model for decentralized planning and development decision making.

F. RECOMMENDATIONS

The above discussion suggests a series of recommendations that should be considered with full consideration of the Dalton report and UNDCP proposal for the longer-term development of SDU/G&P.

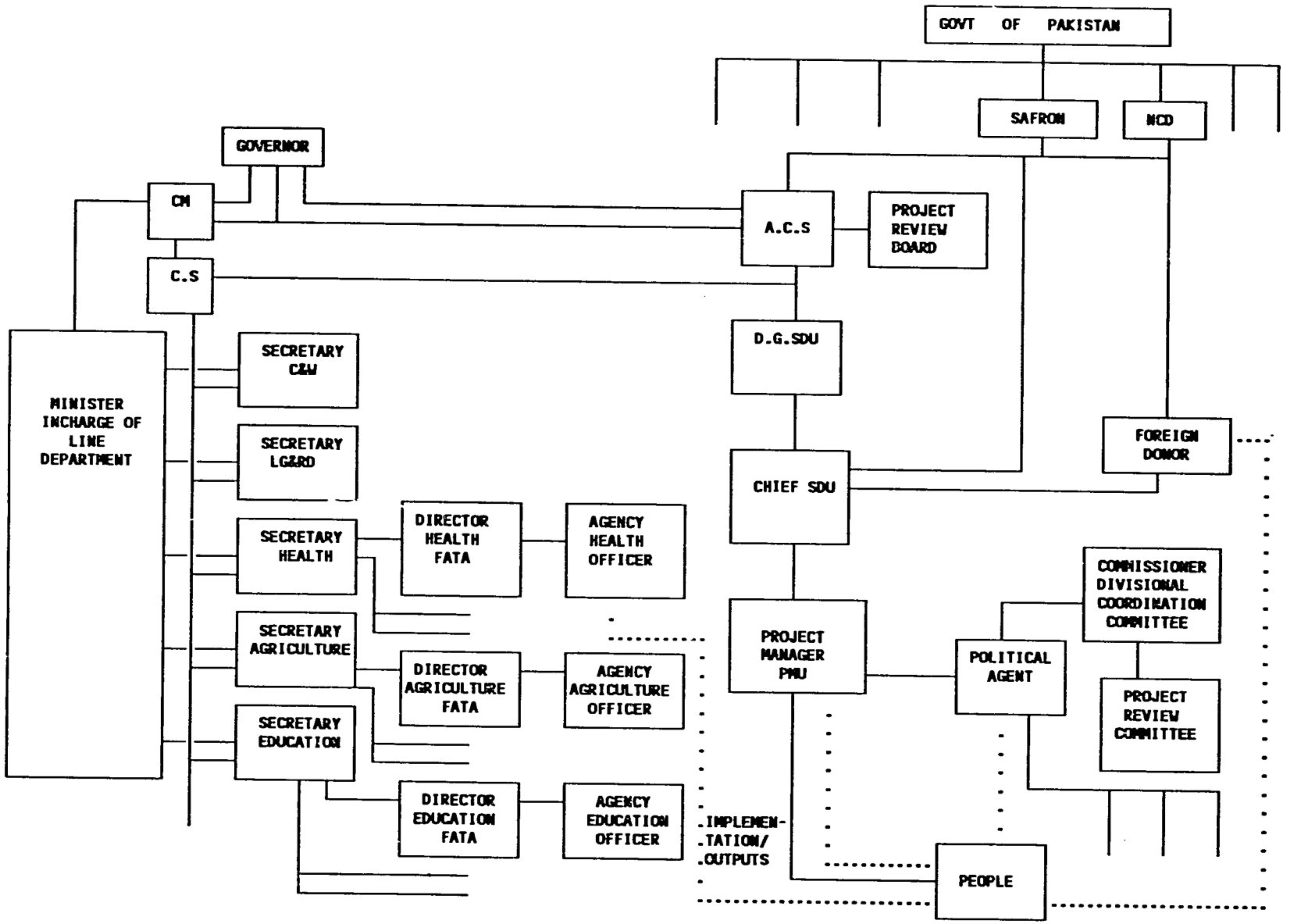
- Place high priority on developing SDU/P&D institutional capabilities, with particular reference to decentralized regional planning, information systems development, and popular participation.

- USAID and SDU/P&D develop a time-phased plan for the provision and integration of Government and USAID resources, starting immediately with the establishment of the TADP PMU.

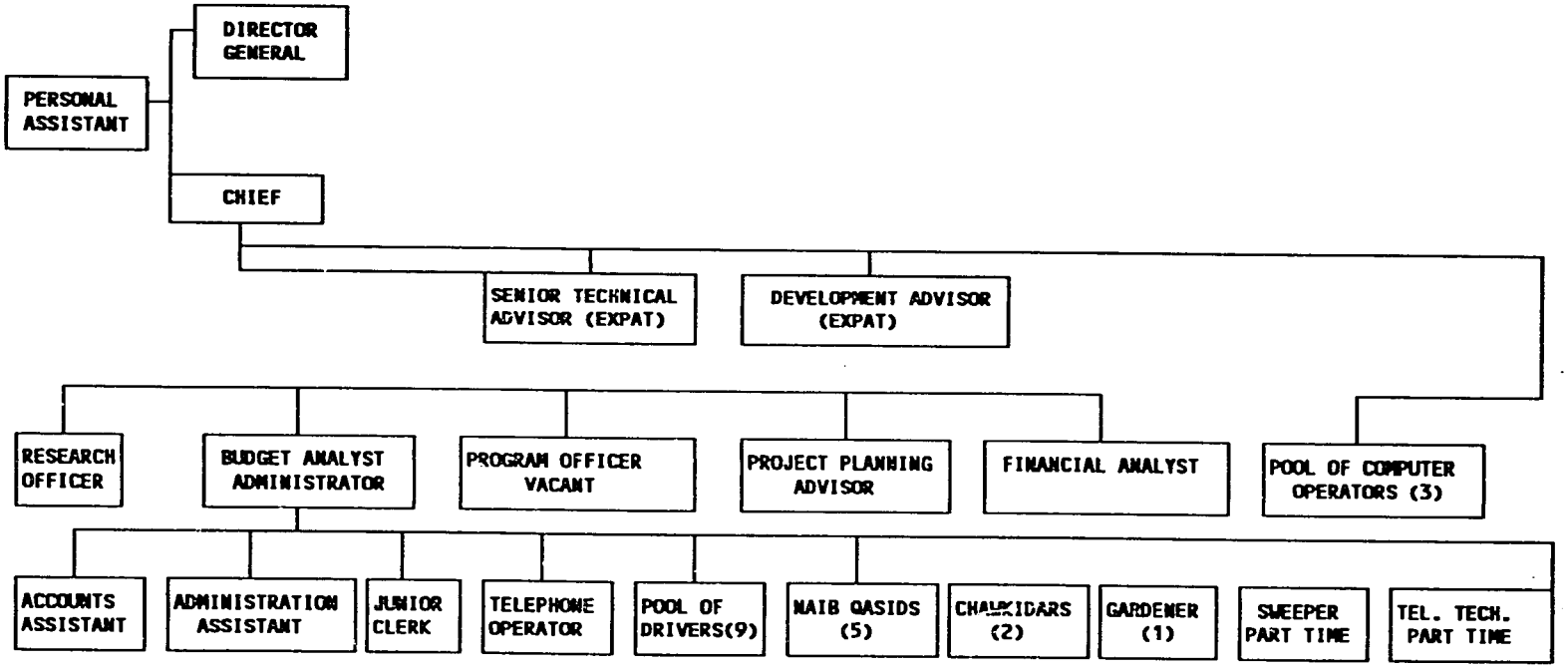
- On an experimental basis, SDU/P&D and TADP establish units at the Tribal Agency level to test and develop models for decentralized and participatory development planning and decision making process.

- In line with its longer-term institution building plan, SDU/P&D require foreign-financed projects to contribute personnel and/or financial resources in support of its central functions.

ATTACHMENT E.1
FOREIGN AIDED PLANNING ORGANOGRAM OF THE GOVERNMENT OF NWFP

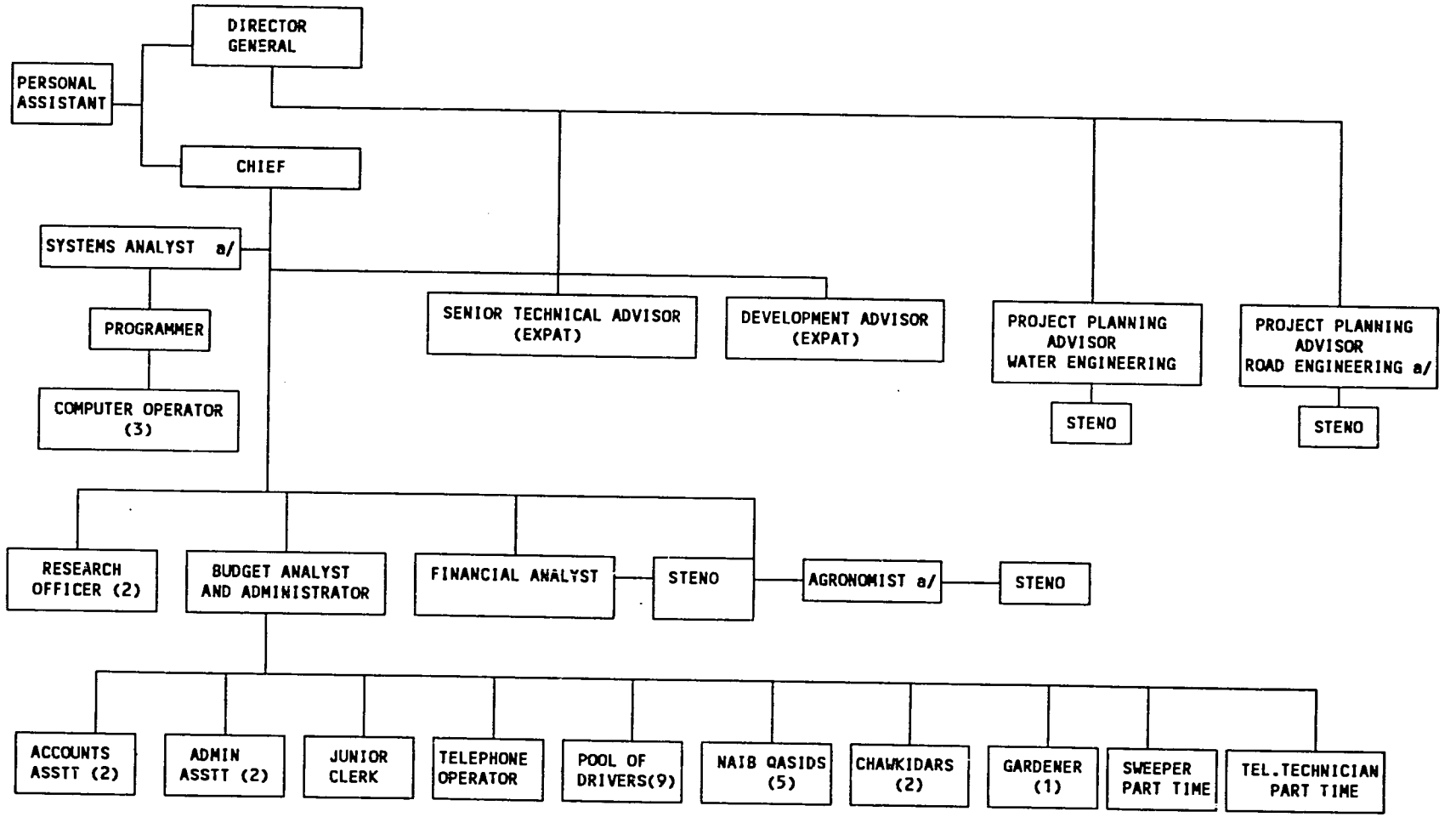


ATTACHMENT E.2
ORGANOGRAM OF THE SPECIAL DEVELOPMENT UNIT: EXISTING



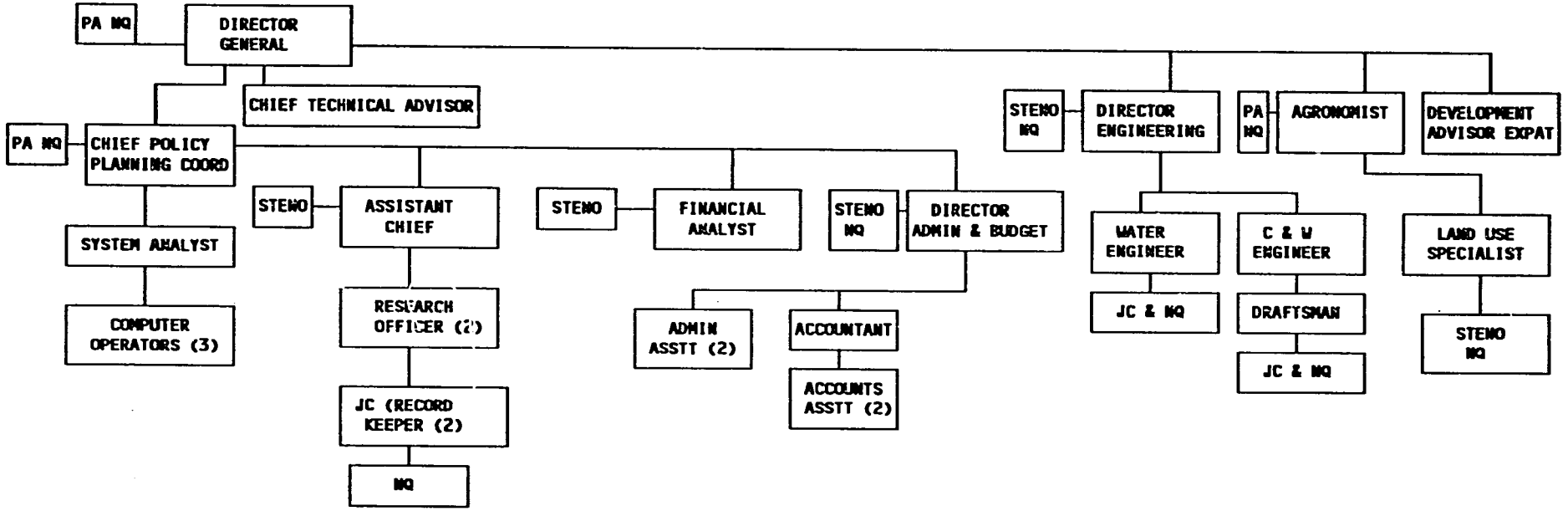
ATTACHMENT E.3

ORGANOGRAM OF THE SPECIAL DEVELOPMENT UNIT: MOST MINIMAL



a/ Staff to be provided by USAID; other staff to be provided by GONWFP or other donors.

ATTACHMENT E.4
ORGANOGRAM OF SPECIAL DEVELOPMENT UNIT: DESIRABLE



Pool Staff

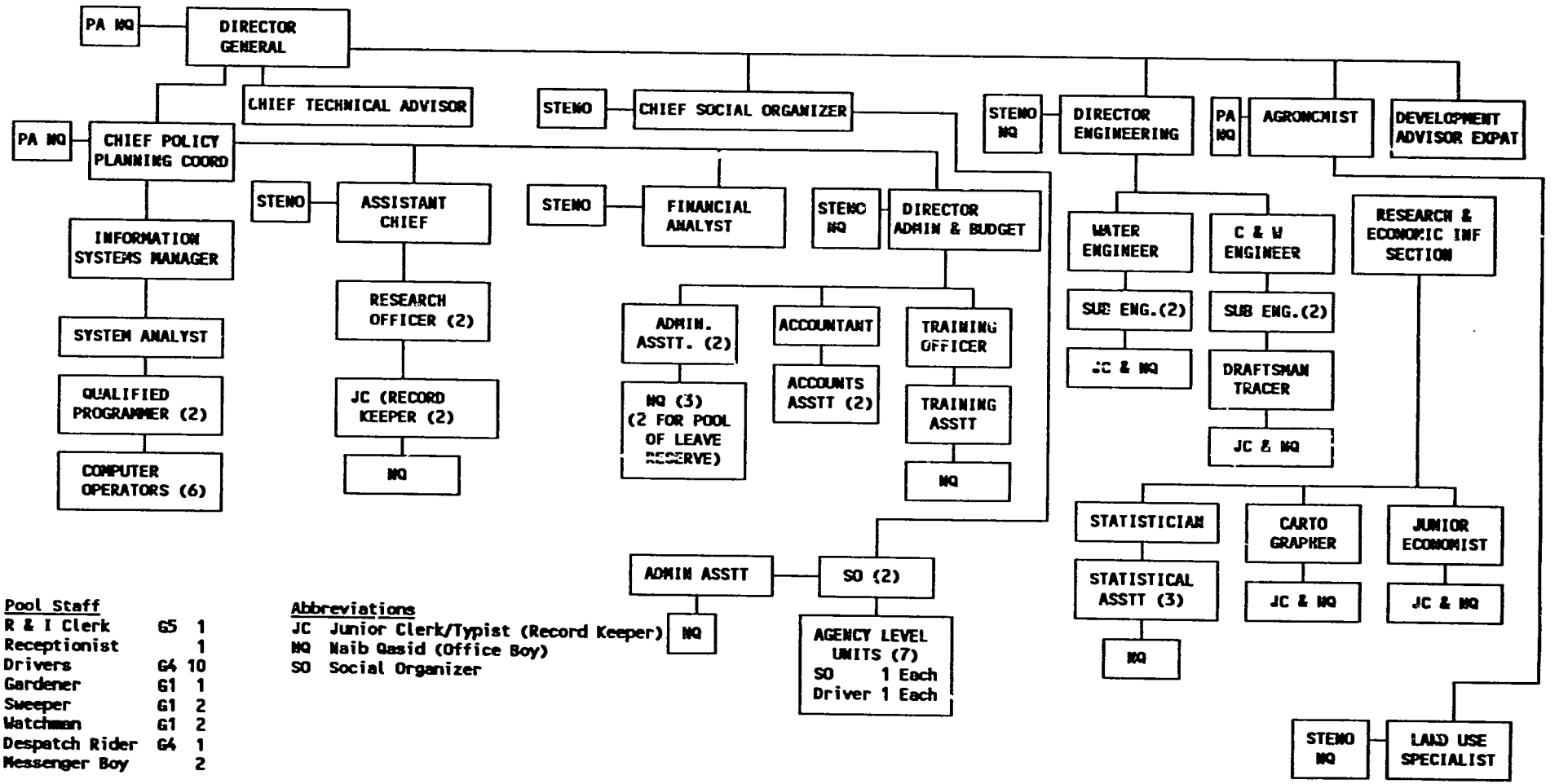
R & I clerk	G5	1
Receptionist		1
Drivers	G4	9
Gardener	G1	1
Sweeper	G1	2
Watchmen	G1	2
Despatch Rider	G4	1
Messenger Boy		2

Abbreviations

JC Junior Clerk/Typist (Record Keeper)
NQ Naib Qasid (Office Boy)

Note: No planning, monitoring and evaluation section is necessary to be established. Each department should do its own monitoring and feed the computer. Evaluation should be done by a team of three officers drawn from different disciplines within the SDU and a representative of the donor(s) or it should be got done from outside consultants.

ATTACHMENT E.5
ORGANOGRAM OF SPECIAL DEVELOPMENT UNIT: IDEAL



Pool Staff

R & I Clerk	G5	1
Receptionist		1
Drivers	G4	10
Gardener	G1	1
Sweeper	G1	2
Watchman	G1	2
Despatch Rider	G4	1
Messenger Boy		2

Abbreviations

JC Junior Clerk/Typist (Record Keeper)
NQ Naib Qasid (Office Boy)
SO Social Organizer

Note: No planning, monitoring and evaluation section is necessary to be established. Each department should do its own monitoring and feed the computer. Evaluation should be done by a team of three officers drawn from different disciplines within the SDU and a representative of the donor(s) or it should be got done from outside consultants.

ATTACHMENT E.6
STAFFING COST OF SPECIAL DEVELOPMENT UNIT: EXISTING

Name of Position	Grade BPS	Number of Positions	Pay and Allowances Per Position (Rs/Annum)	Total Pay & Allowances (Rs/Annum)
Director General	20	1	184,188	184,188
Chief	18	1	102,216	102,216
Personal Assistant	16	1	55,212	55,212
Assistant	11	1	36,432	36,432
Naib Qasid	1	2	45,888	91,776
Financial Analyst	19	1	164,796	164,796
PPA	19	1	140,880	140,880
Administrator	18	1	124,440	124,440
Secretary	12	1	40,380	40,380
Computer Operator	12	1	35,064	35,064
Assistant Accountant	11	1	31,992	31,992
Telephone Operator	7	1	28,740	28,740
Junior Clerk	5	1	23,772	23,772
Driver	4	9	32,124	289,116
Naib Qasid	1	6	22,944	137,664
Telephone Technician (Part Time)		1		
Sweeper (Part Time)		1		
Expatriate Advisor (Vacant)		1		
Program Officer		1		
Total		33	1,069,068	1,486,668

ATTACHMENT E.7
STAFFING COST OF SPECIAL DEVELOPMENT UNIT: MOST MINIMAL

Name of Position	Grade BPS	Number of Positions	Pay and Allowances Per Position (Rs/Annum)	Total Pay & Allowances (Rs/Annum)
Director General	20	1	161,460	161,460
Chief	18	1	86,028	86,028
Senior Technical Advisor (Expat) *		1		
Development Advisor (Expat) *		1		
Project Planning Advisor (Water)	19	1	120,636	120,636
Project Planning Advisor (Road)	19	1	120,636	120,636
Agronomist **		1		
Financial Analyst	19	1	120,636	120,636
Director (Budget and Administration	18	1	86,028	86,028
Research Officers	17	2	67,716	135,432
Systems Analyst	18	1	86,028	86,028
Programmer	17	1	67,716	67,716
Computer Operators	12	3	34,092	102,276
Personal Assistant	15	1	34,884	34,884
Stenographer	12	3	34,092	102,276
Accounts Assistant	11	2	31,824	63,648
Admin Assistant	11	2	31,824	63,648
Junior Clerk	5	1	24,168	24,168
Telephone Operator	7	1	26,328	26,328
Driver	4	9	23,880	214,920
Naib Qasid	1	5	20,868	104,340
Watchman	1	2	20,868	41,736
Gardner	1	1	20,868	20,868
Sweeper	1	1	20,868	20,868
Telephone Technician (Part Time)	7	1	26,328	26,328
Total		45	1,267,776	1,830,888

Note:

I. Secretariat Allowance has not been included as it will not be allowed to future incumbents.

II. Pay has been calculated as mean of minimum and maximum of pay scale.

* To be paid by UNDACP

** To be paid by USAID

ATTACHMENT E.8
STAFFING COST OF SPECIAL DEVELOPMENT UNIT: DESIRABLE

Name of Position	Grade BPS	Number of Positions	Pay and Allowances Per Position (Rs/Annum)	Total Pay & Allowances (Rs/Annum)
Director General	20	1	161,460	161,460
Chief	18	1	86,028	86,028
Chief Technical Advisor (Expat) *		1		
Chief Development Advisor (Expat) *		1		
Agronomist **		1		
Systems Analyst **		1		
Assistant Chief	18	1	86,268	86,268
Financial Analyst	19	1	120,636	120,636
Director (Budget and Administration	18	1	86,028	86,028
Water Engineer	18	1	67,716	67,716
C&W Engineer	18	1	86,028	86,028
Land Use Specialist	18	1	67,716	67,716
Research Officer	17	2	67,836	135,672
Computer Operator	12	3	34,884	104,652
Admin. Assistant	11	2	34,092	68,184
Accounts Assistant	11	2	31,824	63,648
Draftsman	12	1	31,824	31,824
Junior Clerk	5	6	24,168	145,008
Personnel Assistant	16	3	48,084	144,252
Stenographer	12	3	31,824	95,472
Drivers	4	9	23,880	214,920
Gardner	1	1	20,868	20,868
Naib Qasid	1	8	20,868	166,944
Sweeper	1	1	20,868	20,868
Watchman	1	2	20,868	41,736
Despatch Rider	4	1	23,880	23,880
Total		56	1,197,648	2,039,808

* To be paid by UNDACP
** To be paid by USAID

ATTACHMENT E.9
STAFFING COST OF SPECIAL DEVELOPMENT UNIT: IDEAL

Name of Position	Grade BPS	Number of Positions	Pay and Allowances Per Position (Rs/Annum)	Total Pay & Allowances (Rs/Annum)
Director General	20	1	161,460	161,460
Chief	18	1	86,028	86,028
Chief Technical Advisor *		1		
Director (Eng)	19	1	120,636	120,636
Agronomist **		1		
Chief Development Advisor *		1		
Information Systems Manager	19	1	120,636	120,636
Systems Analyst **		1		
Assistant Chief	18	1	86,028	86,028
Financial Analyst	19	1	120,636	120,636
Director (Budget and Administration)	18	1	86,028	86,028
Water Engineer	18	1	86,028	86,028
C&W Engineer	18	1	86,028	86,028
Land Use Specialist (Asst. Agronomist)	18	1	86,028	86,028
Statistician	18	1	86,028	86,028
Cartographist	17	1	67,716	67,716
Chief Social Organizer	19	1	120,636	120,636
Senior Social Organizer	18	2	86,028	172,056
Social Organizer	17	7	67,716	474,012
Administrative Assistant	11	1	31,824	31,824
Junior Economist	17	1	67,716	67,716
Sub Engineer	11	4	31,824	127,296
Training Officer	17	1	67,716	67,716
Accountant	16	1	48,084	48,084
Research Officer	17	2	67,716	135,432
Programmer	17	2	67,716	135,432
Computer Operator	12	6	34,092	204,552
Admin Assistant	11	2	31,824	63,648
Accounts Assistant	11	2	31,824	63,648
Training Assistant	11	1	31,824	31,824
Draftsman	12	1	34,092	34,092
Statistical Assistant	11	3	31,824	95,472
Junior Clerk	5	8	24,168	193,344
Personal Assistant	16	3	48,084	144,252
Stenographer	12	4	34,092	136,368
Drivers	4	17	23,880	405,960
Gardener	1	1	20,868	20,868
Naib Qasid	1	19	20,868	396,492
Sweeper	1	1	20,868	20,868
Watchman	1	2	20,868	41,736
Despatch Rider	4	1	23,880	23,880
Telephone Techincian		1		
Total		110	2,283,312	4,450,488

Note:

I. Secretariat Allowance has not been included as it will not be allowed to the future incumbents.

II. Pay has been calculated as mean of minimum and maximum of the pay scale.

* To be paid by UNDACP

** To be paid by USAID

SECTION III

COMMUNITY PARTICIPATION

The rationale for community participation in development is founded on the imperative of organizing development on a sustainable basis. Although the merits of involving communities in generating sustainable development are well recognized by Pakistan's policy planners, a participatory development strategy has not effective adoption primarily because of lack of clarity on the mechanics of implementing such a strategy. This Section of the study examines constraints and opportunities for popular participation and attempts to suggest mechanisms for implementing a participatory development strategy in tribal and settled regions of North West Frontier Province (NWFP).

The Section is comprised of four papers: Community Participation in the Federally Administered Tribal Areas Adjoining North West Frontier Province (Annex F), Local Initiatives: Building Blocks for Community Participation (Annex G), Starting a Community Participation Initiative: Participatory Rural Appraisal and Planning (PRAP) (Annex H), and Assessment of Sarhad Rural Support Corporation (Annex I). These four papers provide the analytical base for recommending a participatory development strategy under TADP and NWFADP.

The first paper, Community Participation in the Federally Administered Tribal Areas Adjoining the North West Frontier Province, examines the internal decision making process and external relationships of the governmental authority and tribal society to identify constraints, opportunities and working mechanisms for testing a participatory development method in tribal areas. Major constraints to community participation are the Government's law and order priority, subsidy culture, restricted access to target group, and limited time available under Tribal Areas Development Project (TADP). The strong individual-group relationship in tribal society, evidence of recent local collective initiatives, and recognition by the Government of the need for a participatory development approach are some of the factors that argue strongly for testing a participatory development method in tribal areas. The analysis recommends a community participation approach based on existing governmental and tribal institutional structures.

The second paper, Local Initiatives: Building Blocks of Community Participation, records selected local collective initiatives in tribal and settled regions of NWFP, and based upon this documentation concludes that foundations are in place to build a successful participatory community-based planning and development strategy. The

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paper recommends a joint GOP and USAID commitment to promote effective institutional decentralization requiring the devolution of authority and provision of resources for strengthening Special Development Unit, for increased planning and development capacity at the Agency level, and for initiating a Participatory Rural Appraisal and Planning program.

The paper on Starting a Community Participation Initiative: Participatory Rural Appraisal and Planning provides a summary description of PRAP method; discusses the role of students, professors, and Government staff in implementing PRAP; and recommends training in PRAP methods, examination of the feasibility of developing a cadre of students trained in PRAP procedures, and initiation of dialogue with line agencies to determine the feasibility of their introducing PRAP approaches into their existing systems. In short, the central thrust of the analysis is that PRAP offers a useful method for implementing participatory development and should be encouraged for widespread use in planning and management of public resources.

The final paper Assessment of Sarhad Rural Support Corporation, provides a preliminary assessment of TADP-funded Sarhad Rural Support Corporation (SRSC). The principal finding of the paper is that SRSC has vigorously pursued the initiation of village level institutions but given the fact that these institutions are barely one year old, a realistic assessment may have to wait for sometime. The paper recommends that SRSC should activate its Board of Directors, specify and document detailed plans for sustaining existing village institutions, experiment with alternative low cost participatory development approaches, and undertake a full assessment of its operations.

ANNEX F
COMMUNITY PARTICIPATION IN FEDERALLY ADMINISTERED TRIBAL AREAS ADJOINING NORTH WEST FRONTIER PROVINCE

A. Summary

This paper examines the internal decision making process and external relationships of Governmental authority and tribal society to identify constraints, opportunities, and working mechanism for testing a participatory development method in tribal regions. Major constraints to community participation are the Government's law and order priority, subsidy culture, restricted access to target group, and limited time available under Tribal Areas Development Project (TADP). The strong individual-group relationship in tribal society, evidence of recent local collective initiatives, and recognition by the Government of the need for a participatory development approach are some of the factors that argue strongly for testing a participatory development method in tribal areas.

The analysis suggest a community participation approach based on existing Governmental and tribal institutional structures. It recommends management of community participation related efforts by an experienced social organizer (recruited against the currently advertised position of Community Development Officer in Technical Support Planning Unit), assisted in staff functions by a Program Specialist (recruited against a newly established position) and supported in the field by "students", "volunteers" and staff of the Government line agencies. The study also recommends training support through workshops in Participatory Rural Appraisal method and study tours, both in-country and abroad. The direct financial cost of proposed new Program Specialist and training is estimated at about $143,000.

B. Purpose and Scope

This exercise is devoted to an assessment of potential for community participation in development activities under the USAID-funded Tribal Areas Development Project (TADP) which covers the Federally Administered Tribal Areas (FATAs)[1] of the NWFP. The analysis review the nature of developmental interaction between the Government and tribal society, highlights constraints and opportunities,

[1] Federally Administered Tribal Areas adjoining NWFP are defined in Article 247 of the Constitution of Pakistan to include Bajuar, Orakzai, Khyber, Mohmand, Kurram., North Waziristan and south Waziristan Agencies and Tribal Areas (also referred to as Frontier Regions) adjoining the districts of Peshawer, Kohat, Bannu and D.I. Khan. The terms "tribal areas", "tribal regions" and "tribal belt" have been used in the text to mean these Federally Administered Tribal Areas.

identify a framework for participatory development under TADP, and, finally, suggests an implementation mechanism.

C. The Meaning of Community Participation

Community participation in development is defined broadly to mean participation by a human collectivity in organizing and managing development in its settlement based largely upon local resources. The local resources may be complemented by external resource inflows, but the primacy of the collectivity in resource planning and management remains central.

D. Rationale for Community Participation

The rationale for community participation in development is founded on the imperative of organizing development on a sustainable basis. Community participation is an effective mechanism for improving development planning and management, minimizing public sector financial and management burdens, and assuring the flow of development benefits over the long-term horizon.

E. Environment for Community Participation

The tribal areas have since long been the ground of a gradual process whereby the state authority seeks to incorporate the fiercely independent tribals into the national political, economic and social mainstream. While para military forces, administrative civil servants, and functionaries from development related agencies symbolize Governmental presence, the influence of the tribals is portrayed by a self-governing traditional system unregulated by most of the legal code of conduct of the country. The Government functions as a monolithic entity: the tribals, their internal factionalism notwithstanding, also responds on matters of broad common concerns more or less as a homogenous group. It is the internal dynamics and external relationships of these two broad set of players that largely shape the development in tribal regions. An understanding of the perception, structure, process and the nature of interaction of the Government and the tribal society is, therefore, necessary to identify constraints and opportunities for popular participation in development.

1. The Tribal Society

The tribal economies are based upon a poor natural resource base which has been subjected to increased pressures because of influx of Afghan refugees. Government, private subsistence agriculture, trading, and remittances from workers in settled areas and overseas are the principal income sources. The past decade has

witnessed significant economic changes apparently resulting from a combination of factors including the cheap semi-skilled and unskilled labor provided by Afghan refugees, development infrastructure installed by the Government, and improved exposure to external markets. Farming systems changes in favor of high value added horticultural activities, flourishing transportation and related services, and growing retail and wholesale trade are some of the signals for improved income levels through expanded private sector activities. This process of economic transformation is affecting positively tribal attitudes towards development and relationship with settled regions.

a. Development Perception

The tribal society is essentially skeptical of the Governmental authority and perceives it as an external influence attempting to erode its traditional system of self-Government. Yet the tribals realize the Government has the financial resources and delivery infrastructure to provide them developmental benefits. Exposure to the benefits of physical and social infrastructure at insignificant financial costs has created an undisputable desire for economic modernization but has also generated an attitudinal environment where the Government is viewed as an institution obliged to deliver development.

b. Decision Making Structure

Tribal society is a cluster of clans and sub-clans where historically authority has been exercised by the "elders" in accordance with time honored precedents. The British, as a part of the policy of indirect Government, formalized the institution of "elders" into maliks. This maliki institution has since been maintained through hereditary succession (to the eldest son) and expanded by creating new maliks. Since an "elder" may or may not be a malik, two pivots of authority ("elders" and maliks) are discernable with each having a distinct role in tribal society. Most "elders" are maliks, most maliks are not "elders". Malik is the politically important intermediary between the tribals and the Governmental authority; "elders" is a respected local institution which deals with tribal communities and custom. Malik receives from the Governmental authority maliki allowance; serves as the channel for distribution of mowajib[2]; is nominated as contractors on Government funded civil works; is given the choice of appointing levies from his section; has the right to vote in elections for tribal members of the National Assembly; and, in general, represents the tribal (in reality of extended family or of sub-clan) interests before the Government. The "elder" on the other hand derives his authority on the basis of his being the living

[2] Mowajib is a collective tribal allowance; mowajib is for the group while maliki allowance is for the person of malik.

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senior in the patriarchal tribal system and hence most suited to interpret tribal customs and look after the interests of the community.

c. Decision Making Process

Development decisions, at least in theory, are by consensus. Development activities of common concern are considered in traditional forum of deliberation and debate, called jirga, where "elders", maliks and tribal people may participate. A jirga may consist of a common interest group, a village or a cluster of villages depending upon the perceived impact of potential development activity. A decision arrived at in a jirga is final and binding on the community. All common divisible benefits are distributed in accordance with the nikat system[3].

The practice of development, however, suggest two broad set of decision making processes: first, in which jirga is convened and the second in which jirga is circumvented. For small Government delivered subsidized schemes of recognized benefits, maliks often assume a representative character and approach the Government without the jirga formality. This decision process, in reality, is frequently geared to personalize benefits or to secure them merely for an extended family system. All development activities that could cut across several extended families or sections, or where the tribals are not merely the receiver of a development gift from the Government, generally, requires consensus building through jirga.

2. The Government System

The Government has a dominant development role in tribal regions: it develops and maintain infrastructure; provides social services; support directly income generating agricultural activities; and, employs several thousand of tribesmen as para-military scouts, khassadars[4], levies[5], badargah[6], chowkidars[7], staff of the administrative and developmental Government machinery operating in tribal regions, and as skilled and unskilled workers on Government-funded civil works projects.

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[3] Nikat is a system of gain and loss sharing within the community based, historically, on households strength. Nikat based upon land ownership is also reported to be operative.

[4] Khassadaris are a group recruited from tribes to perform security functions in the protected areas. The position of khassadar is hereditary and hence not pensionable.

[5] The function of levies is similar to that of khassadaris except that levies are not hereditary and hence normal recruitment and pension rules apply.

[6] Security guards recruited from amongst the tribesmen by line agencies.

[7] Security guards for specific public properties.

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Additionally, the Government provides (nominal) maliki (or lungi) allowances[8] to maliks or lungi holders and cash or kind mowajib allowances to tribal sections and sub-sections. In summary, the Government is not only the principal development entity but is also the main employer.

a. Development Perceptions

The proximity of the tribal regions to the war ridden Afghanistan, the presence of around a million Afghan refugees in the tribal belt, cross border tribal linkages, and a significant presence of sophisticated weapons, have combined to generate a security perspective which assigns added importance to the historical priority of maintaining stability. Development thus is not only subservient to the dictates of law and order but has to be undertaken in the context of sometime exaggerated concerns with perceived destabilization effects of development interventions. On the other hand, the public functionaries fully recognize that integration of the lagging tribal areas with rest of the country require increased efforts to promote directly income generating activities, expand physical infrastructure and assure a more widespread availability of social services.

b. Decision Making Structure

i. Civil (Political) Administration

Article 247 of the Constitution of Pakistan, 1973 authorizes President as the executive head of FATA[9]. The President exercise his authority through (delegation to) the Governor NWFP with a downward staff chain of Chief Secretary and Home Secretary and a line command structure consisting of Divisional Commissioners and Deputy Commissioners/Political Agents[10]. The Rules of Business, 1973 lists States and Frontier Regions Division (SAFRON) under the Federal Ministry of States and Fron-

[8] There is no difference between a malik and lungi holder. Maliks (or lungi holders) receives allowance from the government and are entitled to vote in a limited franchise system operating in tribal regions.

[9] Article 247 clause 5 provide that the President may "... with respect to any matter, make regulations for the peace and good Government of a Federally Administered Tribal Areas or any part thereof". Also Article 247 clause 6 state that the President may "... at any time, by Order, direct that the whole or any part of the Tribal Areas shall cease to a Tribal Area, and such Order may contain such incidental and consequential provisions as appear to the President to be necessary or proper: Provided that before making any Order ... the President shall ascertain, in such manner as he considers appropriate, the views of the people of Tribal Area concerned, as represented in Tribal Jirga".

[10] Political Agent Khyber, Political Agent Mohmand, and Deputy Commissioner Peshawer (for Frontier Regions Peshawer) report to the Commissioner Peshawer Division; Political Agent Orakzai, Political Agent Kurrum, and Deputy Commissioner Kohat (for Frontier Regions Kohat) are controlled by Commissioner Kohat Division; Political Agent North Waziristan, Political Agent South Waziristan, Deputy Commissioner D.I. Khan (for Frontier Regions D.I. Khan), and Deputy Commissioner Bannu (for Frontier Regions Bannu) are supervised by the Commissioner D.I. Khan Division; and, Political Agent Bajuar is under the administrative jurisdiction of Commissioner Malakand Division.

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tier Regions as the overall controlling administrative unit[11]. In accordance with established principles of federal-provincial relationship, SAFRON, however, has no direct control over provincially-employed staff who are responsible to the their provincial command structure. Thus while SAFRON provides federal funds for FATA, operations are conducted in the province with considerable autonomy under the NWFP Governor.

The Political Agent is by far the most important functionary representing Governmental authority in the field and has wide ranging discretionary powers to perform diverse administrative, judicial, revenue and development related responsibilities.

ii. Development Administration

All development work in FATA is planned through the line agencies of the Government of NWFP, each headed by a Secretary reporting to the Chief Secretary; FATA Development Corporation (FATADC) under SAFRON; a development advisory Agency Council consisting of Political Agent nominated notables; the Political Agents/Deputy Commissioners; and, FATA Section of the NWFP's Planning and Development Department. The FATADC staff as well as that of main provincial line agencies (Communication and Works, Agriculture, Forest, Education, Health, and Local Government and Rural Development) are represented in the tribal areas and, while reporting to their respective authorities, perform program design and implementation functions under the operational parameters defined by the Political Agents/Deputy Commissioners.

c. Decision Making Process

Development planning in FATA is severely constrained by the over-riding security concerns, lack of adequate quality information, and absence of a grass root formal institutional structure that could articulate and plan local needs in an organized manner. Although guidelines are provided in the national Five Year Plans finalized by the Federal Planning and Development Division and consolidated statements of activities are developed by the FATA Section of the provincial Planning and Development Department in Annual Development Plan exercises, the planning process, in general, does not reflect a long-term development strategy founded on a sound analytical base. Project selection, therefore, proceeds in a semi-structured development framework.

[11] The jurisdiction of States and Frontier Regions Division includes: policy directives to the Government of NWFP regarding FATA; development plans and programs; agreement with tribes; administrative control of Frontier Constabulary, Khassadars, and levies; and, posting and transfers of officers in FATA.

Development projects can generally be identified and proposed by either the development managers (Political Agents/Deputy Commissioners and line agencies technocrats) or by quasi-representatives (members of Agency Council and maliks) of the tribal people. All projects require prior clearance of concerned Political Agent/Deputy Commissioner. The Political Agent/Deputy Commissioner evaluates each proposal on the basis of development criteria as well as on the grounds of consistency with political expediency.

The politically cleared schemes are evaluated by concerned provincial line agency or FATADC for technical soundness, required PC I or PC II prepared and moved for approval process within the Provincial or Federal Government system, as appropriate. The approved schemes are, finally, executed through concerned Provincial line agency or FATADC. Execution of projects involving civil works particularly suffers on account of occasional demands of "entry fee" from the tribals, work stoppages due to tribal infighting, the presence of system of nominated contractors, and lack of adequately trained skilled manpower in tribal regions. Quality comprises and cost over-runs hence are not uncommon. All projects are required to follow the standard monitoring and evaluation procedure: quarterly report (PC III), annual review Report (PC V), and physical completion review (PC IV).

3. The Government-Tribals Interaction

a. Political

Tribal areas are outside the mainstream political culture of the country, enjoy no right to adult franchise, and only relate to the national legislative structure though representatives chosen by an electoral college consisting of maliks. Absence of popular participation restricts the emergence of representative leadership and inhibits the process of democratic learning[12].

b. Administrative

The relationship between the tribal administration and the tribals can be described as an intense process of negotiation and bargaining where each party is attempting to outwit the other. The administration has the stick of punitive action as well the carrot of development funds. The tribals have the necessary experience to create security difficulties for the administration and, sometimes, even to change

[12] Some analysts, pending full integration of tribal and settled regions, have suggested broadening the electoral college by widespread award of malikis at nominal allowances.

loyalties across the Pak-Afghan border. In short, the relationship is clearly not one of a genuine development partnership.

c. **Financial**

While the Government spends a significant sum on providing development work and subsidized utilities, it has little legal and operational room to raise revenues in tribal regions. Currently small revenues generated are in the shape of import and export duties on commodities and punitive fines.

d. **Judicial**

The Supreme Court or a High Court of Pakistan has no jurisdiction in tribal regions[13]. All inter-tribal affairs are adjudicated upon by jirgas in accordance with tribal customs. The dispensation of justice is reported to be fair and prompt.

F. Constraints and Opportunities for Community Participation

The discussion in the preceding section imply several constraints (law and order priority, heavy subsidies, and tribals skepticism of external promptings) as well as opportunities (self-governing tribal structure) for community participation in the tribal areas. In this section, an attempt has been made to highlight some of the constraints and opportunities that are believed to be of importance from the standpoint of a projectized intervention.

1. Constraints

a. **Restricted Access to the Target Group**

Access to target group is limited by security considerations and can be achieved primarily through Governmental administration[14]. Alternatively stated, the Peshawer based TADP management may well have to deal only with tribal groups practically defined by the field administration.

b. **The Subsidy Culture**

[13] Government of Pakistan, The Constitution of Pakistan, 1973, Article 247 clause 7.

[14] A local resident can also provide access but this is not believed to be an appropriate mode in a project being implemented through the government.

TADP's activities may, realistically, have to operate in an overall environment of heavily subsidized Governmental "give aways" as the TADP's funds form only a small fraction of the total development outlay in tribal regions. At the present, it appears over-optimistic to assume a radical overall policy change within the Government and translation of that policy shift into aggressive implementation actions.

c. **Limited Incentives for Collective Action**

The allocation of limited Government resources is depended largely on personalized access to field authorities and not on transparent uniform development criteria. Such a resource allocation procedure breeds uncertainty and encourages a behavior aimed at maximizing individual rather than collective gains.

d. **Limited Time Frame and Experience**

Developing community participation methods is a long-term business: less than three years are available under TADP for testing community participation approaches in an area where precedents of similar experimentation are non-existent.

2. Opportunities

a. **Structure of Tribal Society**

For centuries the tribal society has withstood the onslaught of external influences and has sustained its traditional self-governing code. It has looked after its security, maintained social organization, settled economic rights and obligations, and has over time developed well established norms of individual and group behavior. Some of the principles of group behavior, such as discussions in a jirga, distribution of gains and losses in accordance with the nikat system, and the collective territorial responsibility in relation to the Government, readily highlight the degree of existing popular participation in the tribal society.

b. **Recent Local Popular Development Initiatives**

Recent field investigations revealed several instances where groups of tribals have initiated developmental work at their own initiative, including schools and dirt roads. There also exist some Social Welfare Societies (such as at Dabkot, South Waziristan and at Parao, Kurram) dedicated to village welfare activities. These instances, though clearly not a widespread theme in tribal areas, indicate a level of awareness which recognizes self-help in development.

c. Status of "Development Market"

The Government's strategy for subsidized development has apparently been predicated on the view that initial subsidies would lead to increased awareness and incomes that would allow eventual phasing out of subsidies. In some respect, this stage for phasing out subsidies has already been reached as is reflected by self-help ventures as well as by some evidence of commercialization of selected activities, such as education and health, hitherto reserved for the Government[15]. Similarly, there exist a custom market for tractors; supply of fertilizers and seeds are in private hands; and, a sophisticated contract marketing for horticultural produce, particularly apples, is in place. All these crude pieces of information weld to generate a picture which suggest that the development process is moving ahead even outside the Government orbit and that the demand for development services is outpacing Government provided supplies.

d. Recognition by the Government

The need for participatory approach to development is well recognized within the Government: what is generally not clear is an acceptable implementation mechanism to encourage community participation. The FATADC appears to be ahead of other Governmental agencies and has already issued directives to its field staff to explore community participation in its portfolio.

e. Government-Beneficiaries Agreements

The tribal administration has in practice a developing system of agreements whereby the beneficiaries provide a formal undertaking to: indemnify the Government in the event of a tribal dispute that adversely affect the implementation of a development activity; and, to assume operation and maintenance, where appropriate, on completion. A sample of such undertakings for dugwells in North Waziristan are enclosed as attachment F.1. It may be noted from this Attachment, that the undertaking also provides a complete list of beneficiaries along with land holdings. This system of agreements offers a useful mechanism to formalize beneficiary-Government partnership in development.

[15] In Miranshah, for example, several private schools are operating on commercial basis. Private practice by qualified medical graduates is also known in tribal areas.

G. Framework for Community Participation

A framework for community participation must start with a frank recognition of the ground realities, identify experimental approaches revolving preferably around existing institutions, and proceed to test and modify methods based upon field experience. The dominant reality of the ground is the Government authority as represented by the Political Agent, the existing institutions are the maliks and jirga, and the target group is the tribal people. It is around these that potential experimental approaches to community participation have been suggested.

1. Role Definition

a. Political Agent

In most accounts of the role of Political Agent, above discussion included, law and order dimension strongly overshadow the developmental aspects. The Political Agent is not only the Agency's chief administrative, judicial and revenue person but also the chief development officer. Priority of law and order notwithstanding, the institution of Political Agent has successfully delivered development resources, particularly in the last two decade or so, that apparently has helped trigger the process of economic change in tribal societies. It is time for Political Agents to assume yet another role: the Agency's "chief social organizer". Active interest, encouragement, support and guidance of Political Agent (and his staff) is clearly an invaluable asset in experimenting with popular participation approaches in tribal areas.

b. Maliks

Maliks are portrayed as the representative voice of the tribal segments as well as a self-interest seeking chieftains installed by the British colonials. Again the institution of malik is reported as all pervasive in tribal life as well as a structure on the decline. Further, the process of economic change has most probably created a special class of maliks who derive their influence not only from Government patronage but also from increased asset ownership: all rich in tribal regions are maliks, but not all maliks are rich. Regardless of the nature of relationship of malik with the people, analysts of the tribal structure are unanimous in conceding a "spoiler" role to maliks: he may not always be the most appropriate vehicle for development but then development interventions are less likely to succeed by ignoring him altogether. It is far better to have the malik within than without.

2. Potential Approach

a. Resource Planning and Management

The organizational framework for involving the community in resource planning and management is available in the tribal system in the form of malik leadership backed by a jirga process. It is suggested that TADP attempt to orient the existing tribal institutions towards development and not experiment with the creation of new parallel structures such as village organizations common in several participatory development efforts[16]. Experimentation, on a pilot basis, with selective functioning social welfare entities formed by the educated leaders in tribal regions (such as at village Dabkot in South Waziristan and at village Parao in Kurram) should, however, be attempted. These existing social welfare entities may be treated as prime candidates for cost-sharing type development interventions. The activists of these organizations may also be exposed to village organizations elsewhere in the country to systematize their functioning.

b. Resource Commitment

i. Time Contribution

This is the simplest possible participatory approach where the objective will be to engage the attention of a tribal segment in a development activity with the only requirement to contribute time. This approach appears suitable for such activities as women education, agricultural extension, field demonstration and training.

ii. Cost Sharing

The primary objective of cost-sharing approach will be to generate additional development benefits with existing public sector resources by encouraging tribal groups to plan and manage development activities through resource commitments. Several cost-sharing approaches have been tested in Pakistan's rural development history[17], but development efforts in tribal areas have relied thus far only on contributed land and FATADC is just beginning to attempt to pass on operation and maintenance of electrical tubewells in private hands.

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[16] Such as in AKRSP and SRSC supported activities.

[17] The Sarhad Rural Support Corporation's approach require land contribution and assumption of the responsibility of implementation and subsequent operation and maintenance (though with an institution building objective); and, Kalam Integrated Rural Development Project is experimenting with a model that requires at least 30 percent contribution to capital costs and assumption of all operation and maintenance costs.

A simple approach to cost-sharing standards is to base it on the need intensity of the beneficiaries: higher the intensity of the felt need greater the contribution beneficiaries would be willing to make. This approach can be justified on such grounds as maximizing the impact of TADP's limited funds, "helping those who are willing to help themselves most", and a healthy competition amongst tribal communities. The dangers, however, are that it may cast the TADP management in a bargaining than a development partnership role; is likely to create unpredictability for the beneficiaries; may result in the neglect of the poorest segments; and, instead of promoting competitive spirit may actually fuel inter-tribal rivalries. An alternative to strictly need based flexible cost-sharing is to devise criteria which are easily understandable and are uniform across regions and communities. The concept of uniformity may not, however, apply across sub-sectors because of widely different (recurring and non-recurring) cost and (financial and economic) benefit implications.

In proposing sub-sector specific cost-sharing standards, several guiding principles have to be kept in mind: first, directly income generating activities are more likely to be operated and maintained than the supporting development infrastructure; second, front loading of resource commitments may create ownership syndrome which should facilitate subsequent operation and maintenance; third, drastic departures from current practices could increase implementation risks. Based on these broad principles, and the qualitative impressions gained during field visits, cost-sharing guidelines are proposed as shown in the following Table F.1:

TABLE F.1: SUGGESTED COST SHARING STANDARDS FOR DEVELOPMENT SCHEMES UNI TRIBAL AREA DEVELOPMENT PROJECT

Development Activity	Current Practice							Proposed Practice						
	Capital Costs				O & M Costs			Capital Costs				O & M Costs		
	Land	Labor		Others	Labor		Others	Land	Labor		Others	Labor		Others
		SK	UNSK		SK	UNSK			SK	UNSK		SK	UNSK	
Water Channels 1/		TADP	TADP	TADP		B	B		TADP	B	TADP		B	B
Flood Protection		TADP	TADP	TADP	GOP	GOP	GOP		TADP	B	TADP	GOP	B	GOP
Karez Improvement		TADP	TADP	TADP		B	B		TADP	B	TADP		B	B
Tubewells/Dugwells	B	TADP	TADP	TADP	GOP	GOP	GOP	B	TADP	B	TADP	B	B	B
Schools	B	TADP	TADP	TADP	GOP	GOP	GOP	B	TADP	B	TADP	GOP	B	GOP
Health Units	B	TADP	TADP	TADP	GOP	GOP	GOP	B	TADP	B	TADP	GOP	B	GOP
Link Dirt Roads 2/	B	B	B	B	B	B	B	B	TADP	B	TADP	B	B	b

SK: Skilled Labor UNSK: Unskilled Labor B: Beneficiaries GOP: Government of Pakistan
1/ Improvement of existing water channels.
2/ Quality improvement of existing link roads.

The essential difference between the existing and the proposed practice is the treatment of unskilled labor costs. Two alternative views exists in this regard. The first view is that free labor is an unrealistic target, is not practiced even in settled regions, and that voluntary" labor in the tribal context may be perceived as "forced" labor. The opposite view is that contributed labor is a genuine possibility in tribal regions and that it is a convenient form of resource commitment. The suggested course for TADP in the light of these contradictory views is to initiate dialogue with beneficiaries on the basis of contributed unskilled labor and, if necessary, revise its strategy to incorporate the concept of subsidized unskilled labor.

It may be emphasized here that cost sharing in development activities is largely an untested arena in tribal regions and it may be appropriate to determine its magnitude through field experimentation. Thus, what is being suggested in table F.1 above, should be treated as a potential approach rather than a precise recommendation.

H. Implementation Plan

1. Management Structure

a. Medium and Long-term Options

i. Non-Governmental Organizations

Implementing participatory programs simply stated requires a cadre of experienced social organizers backed by a core staff in such illustrative disciplines as economic analysis, monitoring and evaluation, agriculture, and engineering. Ideally this requires an organizational umbrella housing principal expertise and appropriately linked to related public and private entities. The needed umbrella organizational structure may be provided probably by a new Foundation (responsible both for FATA and Gadoon Amazai) or by Sarhad Rural Support Corporation (subject to satisfactory assessment in the forthcoming evaluation). This option, however, is not consistent with the time limitations of TADP (and North West Frontier Area Development Project) and thus should be treated as a possibility to be pursued only in the medium and long-term. An endowment based Foundation, in particular, appears as an attractive option, especially from the standpoint of sustainability.

ii. Extended Special Development Unit

Small cells (one professional with support staff) of Special Development Unit (SDU) could be established at each of the seven Agencies to assist Political Agents in participatory development. While this alternative is in conformity with the requirement of strengthening SDU and should be expected to facilitate community based regional planning, it assumes a balanced distribution of limited TADP funds (and activities) across the seven Agencies and also suffers from absence of a definite GOP commitment for recurring costs.

b. Short-term and Immediate Option

i. Overall Management

It is suggested that TADP initiates its community participation activities under a Social Organizer housed in TSPU. The existing vacant position of Community Development and Program Specialist should be redrafted to reflect participatory development field responsibilities, knowledge of participatory rural appraisal method, experience in organizing rural communities, fluency in English and Pushto languages, and preferably familiarity with tribal regions. The proposed Social Organizer will have

overall responsibility for promoting community participation and should, therefore, be expected to have the necessary competence to train and guide a field support structure comprising of "students" and "volunteers".

ii. Staff Support

The Social Organizer will be supported in staff activities by a junior Program Specialist (against a new position) well versed with USAID and GOP procedures, having basic knowledge of economic analysis, and intensely familiar with spreadsheet and data base management type micro-computer software. Both the Social Organizer and the Program Specialist will draw upon technical support from staff of TSPU/SDU, USAID/Pakistan's Office of Engineering, and Government line agencies.

iii. Line Support

The Social Organizer is envisaged to rely, initially, in field support primary on the (technical) staff of the line agencies operating in the tribal regions: a support that will perhaps continue to remain critical in the foreseeable future. A single Social Organizer covering seven Agencies (and possibly Gadoon Amazai) appears reasonable in the initial stages (despite possible impression to the contrary) when viewed in the context that the Social Organizer will have to work, at least in FATA, largely with existing institutions and that strong possibilities exists to expand field structure by tapping potential resources available in the form of "students"[18] and "volunteers"[19]. The field research interests of the "students" and community development spirit of "volunteers" will have to be complemented by an incentive system that not only covers travel and subsistence living costs but also allows for training and study tours elsewhere in the country.

The "students" and "volunteers" will draw conceptual and operational guidance from the Social Organizer. It will be the ability of the Social Organizer to train, motivate and weld these diverse and young group into a productive team that, in the final analysis, will determine the effectiveness of participatory development program.

[18] The Social Organizer, in consultation with Project Officer(s), will be expected to enlist support of students from the University of Peshawer and NWFP Agriculture University, currently engaged or interested in field based research/projects in tribal areas.

[19] This would involve identifying, primarily through the Agency staff, educated tribal activists whose voluntary support could be solicited.

2. Procedures

a. Staff Actions

i. Structure of Village Socio-Economic Profile

The Social Organizer and the Program Specialist will take the lead in developing a structure for village socio-economic profile which should be short, simple, amenable to computerization for comparative and aggregative analyses, and consistent with the requirements of Agency level socio-economic profiles. The village socio-economic profiles developed by the Sarhad Rural Support Corporation and Pak-German Integrated Rural Development Program could be the starting point in the direction.

ii. Structure of Government-Community Agreements

The Social Organizer and Program Specialist will carefully review with the TADP Project Officer and Agency-based staff of line agencies to incorporate cost-sharing arrangements and possibly distribution of benefits of sub-sectoral activities. The temptation to make undertaking detailed and comprehensive, however, should be avoided as over regulation in the tribal context could prove counterproductive. The judgement of the Political Agent should be treated as more or less final in all agreement related matters.

b. Field Actions

The Social Organizer will, in close consultation with the Agency-based staff of the line agencies and under the guidance of Political Agent, identify probable receptive communities preferably with less skewed asset (and hence by implication potential benefit) distribution. The Social Organizer will then, in the company of concerned line department staff, initiate the dialogue with malik (and activists), explain the TADP's development approach, and work to achieve a broad agreement on TADP's developmental principles. Once the groundwork has been successfully completed, malik will be requested to convene a jirga of the potential beneficiaries for two fold purposes: first, to construct a socio-economic profile of the village (using Participatory Rural Appraisal method); and, second, to evolve consensus on the nature of development activity and beneficiaries contributions and roles. Subsequent to a successful jirga process, the Social Organizer will, with the assistance of Program Specialist, staff of the line agencies, and TSPU, prepare a report for the Political Agent with the following main elements: summary of dialogue process; socio-economic profile of the village; the potential financial costs and benefits of proposed activity;

list of beneficiaries and potential benefit distribution; and, the draft agreements between the Political Agent and the beneficiaries.

3. Supporting Elements

a. **Policy Reforms**

i. Elected Agency Council

The composition of Agency Council is at the present determined by the Political Agent. An elected Agency Council will improve the overall environment for participatory development and facilitate community based Agency level development planning.

ii. Participatory Approach for Total Development Funds

The participatory approach suggested for development activities under TADP should be used, within the limits of political realities, for all development works in tribal regions regardless of funding source. In practice, it appears reasonable to assume that a successful TADP's experience with community participation will open the door for replication of a tested method in Government funded development activities.

b. **Training**

Proposed training for community participation efforts can be categorized under two broad sets: first, training in Participatory Rural Appraisal; and, second, study tours both in-country and abroad. These training programs will be handled through the existing Coverdale/AED mechanisms in accordance with tentative plan outlined in Table F.2 at the following page.

i. Participatory Rural Appraisal

Training in Participatory Rural Appraisal (PRA) method could begin in the near term with the initial group including selected staff of agriculture and irrigation related line agencies, "students", and "volunteers". A spin-off of this training would be identification of receptive communities and potential participatory developmental interventions. PRA training should be repeated at periodic intervals for other line agency staff, "students", "volunteers", village activists, and, cooperating individuals.

TABLE F.2 : SUMMARY OF TRAINING FOR PARTICIPATORY DEVELOPMENT

Training Type	Target Group	Place(s)	Period (Days)	Trainees (Number)	Direct Costs ('000 U.S. $)			
					Trainees	Trainers	Other	Total
PRA Method	Agency-based staff of line agencies, students, volunteers, and activists.	Peshawer	7	60	42	28	3	73
Study Tour In-Country	Staff of line agencies, students, volunteers, maliks, and activists.	Kohat Charsadda Mardan Karachi	10	20	25			25
Study Tour Abroad	Senior staff of line agencies, SDU, Political Agents and Deputy Commissioners.	Bangladesh Sri Lanka Philippines Thailand	15	10	25			25

Notes: Three PRA workshops each of 20 participants. The first workshop will be conducted by an expatriate with the assistance of a local expert who will assume full trainers role in the subsequent two workshops.

In-country study tours (two groups of 10 each) will be directed towards exposing the farmers to development activities being undertaken by Sarhad Rural Support Corporation, Pak-German Integrated Rural Development Project and Orangi Pilot Project.

ii. Study Tours

The in-country study tours will be directed to Agency-based staff of line agencies, "students", "volunteers", receptive maliks, and village activists and designed to familiarize the target group with participatory development activities of other entities in Pakistan such as Sarhad Rural Support Corporation, Pak-German Integrated Rural Development Project and Orangi Pilot Project. The study tours abroad will be geared to orient senior level Government officials (such as Political Agents; Deputy Commissioners supervising Frontier Regions; and, senior decision makers in line agencies and SDU) with participatory development methods and activities being undertaken in other developing countries such as Bangladesh, Sri Lanka, Philippines and Thailand.

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ATTACHMENT F.1
SAMPLE BENEFICIARIES UNDERTAKING

UNDERTAKING OF THE BENEFICIARIES IN RESPECT OF
Danat Khel Wazir Bora Khel
of Kam Sarolai Tehsil TEHSIL NORTH WAZIRISTAN AGENCY.

We the beneficiaries of the Scheme. Sinking of Dug well in Kam Sarolai Tehsil North Waziristan Agency hereby give this undertaking : there will be no dispute on the implementation of the scheme and we would continue to maintain the channel except the vital structures.

BENEFICIARIES:-

1. Mir Danat Khel.
2. Sleman Khan
3. Malik Sila Mir Khan
4. Lal Gul Khan
5. Kaka Khan
6. Haji Zakat Khan
7. Tara Khan
8. Samand Khan
9. Dad Gul
10. Malik Sarwar Jan.

Dated.

CERTIFIED.

Political Agent Tank,
N.W.A.

Dated.

ATTEST Attested

Assistant Political Agent,
Assit. Political Agent,
N.W. Agency Miran Shah.

Dated.

COUNTERSIGNED.

POLITICAL AGENT NORTH WAZIRISTAN AGENCY Miran Shah.

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ATTACHMENT F.1
SAMPLE BENEFICIARIES UNDERTAKING
(Continued Page 2)

ضمانت نامہ

ہم ملکان مستری جو رقم پانچ لاکھ روپے بدیں طور ضمانت ایس۔ کے سینکشن آف گرانٹ دیتے ہیں کہ سیرابی تھیلی میزنا تاہ میں کسی قسم کی تعمیر نہ کریں گے۔ اگر کسی صورت مذکورہ میں کسی قسم کا تعمیر پیدا کیا تو ہم پانچ لاکھ روپے بطور تاوان واپس کرنے کے ذمہ دار ہوں گے۔

[illegible]

[illegible]

ATTACHMENT F.1
SAMPLE BENEFICIARIES UNDERTAKING
(Continued Page 3)

[illegible]

1. [illegible] 250 کنال
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13. [illegible] 200 "
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15. [illegible] 200 "

ANNEX G
LOCAL INITIATIVES: BUILDING BLOCKS FOR COMMUNITY PARTICIPATION
Self Help Activities in Selected Tribal And Settled Areas, NWFP

A. Introduction and Summary

The foundations are in place to build a successful participatory community-based planning and development strategy for improving production and incomes in tribal areas. Lack of access to the villages, basic infrastructure and services, and modern technology is acute in those remote and underdeveloped regions, but the potential exists for developing a viable partnership with local communities to increase agricultural production, economic development, and profitability.

This foundation for development is the tradition of fierce independence and self-reliance of tribal society. There is a long-standing commitment among tribal people to maintaining their own cultural and economic identity. There is a well-established pattern of looking to their own resources for solving local problems. This does not mean that tribal society exists in isolation from the outside world, even if that outside world is routinely denied access to its communities. Tribesmen have long maintained active trading, and smuggling, ties with the outside world as evidenced by a frequently heard adage in the bazaars of Pakistan: "If you can't find it here, ask a tribal..."

Beyond this legendary independence, and the corollary tradition of conflict among factions and clans, is a relatively less well documented pattern of collective action in support of economic and social activities. Field study reveals that communities frequently rise above their differences, both to face a common foe and to build and maintain productive economic infrastructure. Evidence of collective action for social services has also been documented. Together these provide a foundation for participatory community-based economic planning and development. This brief analysis summarizes findings and conclusions regarding local initiative for community participation upon which the TADP can, like the NWFADP, begin to build.

The analysis concludes that in order to promote production and income generation it is necessary to capitalize on the strong local institutional structures at the tribal level which have made possible the local initiatives documented here and upon which a participatory development strategy can be built. To accomplish this requires a joint commitment by GOP and USAID to promote effective institutional

decentralization, requiring the devolution of authority and provision of resources available for:

- a strengthened Special Development Unit within the Planning and Development Department;
- increased planning and development capacity at the Agency level;
- utilization of existing leadership and consensus reckoning mechanisms at the local community levels;
- initiation of a participatory rural appraisal and planning program to put communities in charge of their own local resource based planning and development process; and
- organization and implementation of a comprehensive awareness development and skill training program for leadership at all levels.

B. Dependency and Self-sufficiency

Despite a history of rugged independence, even isolation, it is widely believed that tribal society has become highly dependent on Government, that local maliks and their tribesmen only know how to bargain for amenities and services with the prevailing powers, that they are expert at making demands and avoiding responsibilities. Tribals are exempted by the Constitution from paying normal income and land taxes and frequently avoid paying such fees as electric charges, despite obligations to the contrary. Furthermore, it has become an accepted practice for Government to pay an "entry fee" for the privilege of building a road into a tribal area.

Indeed, an insidious dependency syndrome has been developing in the tribal areas for decades. Local people are dependent on their appointed maliks, maliks are dependent on the Political Agent, the Agent and line agencies are dependent on Government, and Government is increasingly dependent on outside donors. The question is: has this syndrome killed local initiative?

C. Findings: An Emerging Pattern of Local Initiatives

1. Tribal Areas

As the study team traveled through the tribal areas and discussed development issues with knowledgeable authorities in NWFP and the Agencies, and effort was made to learn if the dependency cycle had stifled local initiative. A frequently asked question was: "Do the local people or communities undertake any development-oriented initiatives on their own?" To this a common response was: "No, not at all. They only look to Government, always making demands but never taking responsibility for themselves." Examples of Government built roads, schools, clinics, and tube wells were frequently given with frequent mention being made of unpaid electric bills, clinics being turned into hujras, schools being built in order to get the allowances paid for Class 4 employees that are provided by the Government.

Further probing, however, revealed that local initiative was by no means dead. In follow-on group discussions with knowledgeable local officials from the Political Agent's office and line agencies it was discovered that, on reflection, someone always recalled that one community had built a school, another a link road. Such discussions, once started, invariably came up with a list of such projects that, to examine properly, would have taken twice the field time available to the team. A brief summary of these, together with tabulations developed for a sample of Agencies, is revealing. This is followed by a short analysis of the types of local initiative evident in the tribal areas, together with recommendations of actions that might be taken by TADP to build these initiatives into a broad community participation strategy that focuses on increasing production and generating incomes.

a. Bajaur

Initial discussions in Bajaur revealed that one remote community had not only built a school but hired its own teacher, and was providing lodging and salary from their own resources. Further probing revealed that there were not one but four such schools in the remote Barang area that were operating without any Government support, one of which was reported to be a girls school. From these conversations a list of self-help projects evolved that, if a reasonable sample was to be visited, necessitated splitting the team into two groups for a full day of visits.

The first team, traveling West, found that the village of Charmeng, South and West of Khar, had built a self-help road of approximately 2 km that passes through a hilly area requiring hillside cuts. While not compacted the road is of an acceptable local standard. In Rashakai a local malik has donated part of his home for the

operation of a school that presently has 2 Government teachers. The malik indicated that if the project could supply the materials he would see that a proper school would be built with local donations of land and labor.

The second group, traveling North East, passed through half a dozen villages in which community built unlined irrigation channels had been providing water to crops for decades. In Pashad, three channels served five villages and 500 households, irrigating approximately 1,300 acres. As in many other communities, these local irrigation channels frequently powered indigenous water power flour grinding mill. In Pashad, however, the mill had been replaced by a locally constructed mini-hydroelectric plant. This plant, financed by the local Khan, and including a penstock of oil drums and drive mechanism of used machine parts, was designed and built by a local master carpenter, an indigenous engineer who probably understood fluid mechanics and physics better than most college graduates. The power output was used variously as direct drive for several power tools or, turning a generator, powered a table saw and planer by day or lighted approximately 50 households by night. A second such water-powered generator was reported to be operating elsewhere in the Agency. Discussions with local leaders and farmers revealed that the community placed high priority on the further development of irrigation facilities, including bunding and/or aqueduct development to prevent seasonal flooding from damaging irrigation intakes. Furthermore, the community, under the leadership of the local Khan, was fully prepared to provide a substantial commitment of labor and local materials if assistance with imported materials, technology, and engineering guidance could be provided by Government.

A side trip on returning to Khar took the team to another village where a TADP drilled test well was awaiting conversion for irrigation purposes. The villagers made it clear that they were fully prepared to build and maintain the necessary channels for distribution and pay whatever electric charges their elders determined appropriate. They indicated that would get the support of local leaders, convene and obtain the endorsement of the necessary jirga, and sign undertakings, including completing the necessary channels prior to TADP's equipping the well.

b. South Waziristan

The route into the Wana plain winds through dry and barren hills that conceal a veritable horticultural revolution that has been quietly gathering momentum during the past decade. Behind high mud walls rise the tops of a remarkable variety of fruit trees that are now producing significant crops for the city markets of Lahore and Karachi. Two days of intensive visits by two groups from the study team revealed that the backbone of this revolution is the initiative of the local people, individually

and collectively. Most impressive among the collective endeavors is a sophisticated system of underground water sources interconnected, often a hundred feet or more below the surface, by hand dug tunnels. This ancient kareze technology, with origins in Balochistan and Iran, serves dozens of small villages and hundreds of acres of fruit orchards. Despite local rivalries, the karezes continue to be well maintained, supplying upward of a hundred thousand cubic feet of water daily to the villages and farms of Wana and vicinity. A special skilled group of people digs, cleans, and maintains these karezes as they have done for hundreds of years.

Where water is closer to the surface the valley boasts a large variety of privately owned and maintained hand dug wells which range from 50-100' in depth. Some of these are standard wells equipped with electric pumps or manual "Persian Wheels" to bring up water. Other wells have sloping access tunnels which go to a staging area about half-way down the well where an ancient "make-and-break" engine drives a simple piston operated pump. At the South Eastern end of the valley the team observed an Afghan refugee entrepreneur digging such a well with a simple 2 cycle engine-driven power winch. On several occasions during the study tour local farmers and maliks came forward to request assistance with the development and improvement of their water supplies and systems. They indicated clear willingness to provide, as they were already doing, all local materials and labor, seeking mainly technology and imported requirements, such as cement and pumps, for lining, reinforcing, and improving the output and efficiency of their wells, karezes, and water courses.

Traveling to see these water supply systems and the lush orchards that they were serving, the team traveled over 20 km on roads entirely built and maintained by local communities. Initiated largely by local maliks operating with the support of local jirgas, these roads are generally little more than improved tracks made passable for tractors and pick-up trucks, although where they pass through compact villages the standard was often reasonably high. More impressive than the standard of the roads, however, is the degree to which local land use and right-of-way issues had been worked out in jirga, and at no cost to Government. These are matters in which Government C&W officials in settled areas can become embroiled for months, even years, and which result in high levels of compensation being paid to those whose lands are affected. Leaders brought forward requests for additional link roads, suggesting that communities would likely be willing to build the basic road if Government would provide engineering, culverts, and blacktopping.

At the Agency level, the Political Agent made a strong plea for support in expanding and consolidating the private sector horticultural revolution, fearing that the rapid growth of recent years, like a bubble, might burst if new seasonal varieties and

improved marketing intelligence were not made available soon. He further indicated strong local interest and commitment to support, with local labor and materials, the building of link roads, schools, and drinking water supplies. Finally, he suggested that there is strong interest in a number of quarters for improving the standard of education, particularly for girls and women, indicating that his office would provide strong support for such endeavors. The major obstacle standing in the way of implementing needed reforms and promoting increased economic development, however, is the lack of planning, management, and social organization capacity within his own office. If supported with, in effect, a mini-PMU, with a development and local participation mandate, much more could be accomplished locally through improved coordination and utilization of available resources, including but not limited to the TADP.

c. North Waziristan

By the time the study team reached North Waziristan it was becoming quite clear that local initiatives warranted close examination and a systematic tabulation was initiated to collect basic data for comparative purposes. This tabulation, summarized in attachment G.1, highlights the critical role that irrigation plays in the tribal economy. Within the short time spent in Miran Shah and vicinity the team traveled almost 100 km and saw no less than 10 community and/or individually initiated productive schemes and learned of an additional 1,200 such schemes in the area. Those visited included 3 link roads, of which there are probably over 1,000 connecting main roads to virtually every village; 4 irrigation channels of a total of over 100 km along the Toche River; about 10 fruit and vegetable orchards; one ornamental plant nursery; and four small water powered flour mills.

In a follow-up discussion with the Political Agent it was emphasized that there was strong local support, backed up by the Agent's office, for female education and agriculture, especially irrigation. The Agent made a strong case that there is a need for firm, clear policies regarding criteria for approving projects and defining the appropriate role for the local community. Finally, he argued that the traditional tribal system is highly effective and efficient and is the best suited mechanism for meeting administrative, judicial, law and order, and development priorities.

2. Settled Areas: the SRSC and IRDP/Mardan

As part of a reconnaissance to investigate community participation strategies and methods already being implemented in NWFP, the team made visits to villages in Mardan, Charsadda, and Kohat districts. Local initiatives were also found in significant numbers in these areas, except that the pattern differed from that in the

tribal areas. Generally, local initiatives in the tribal areas are undertaken with little or no reference to Government or donor programs, since these are relatively rare. By contrast, in the project villages of Sarhad Rural Support Corporation (SRSC) and the Integrated Rural Development Project (IRDP), subsidized projects play an important role.

Like the tribal areas, settled areas undertook their own collective efforts in the past, turning increasingly to Government and projects sources for assistance during the years since independence. Politically oriented funding, often distributed on a patronage basis, has undermined these early patterns of self-sufficiency in the settled areas, however, making it often necessary for new programs to initiate activities with significant grant funding. Where provided through a village organization type approach, as illustrated by the SRSC and IRDP/Mardan, it appears that the development of this dependency syndrome is being slowed or reversed. The extent to which heavy up-front investment in a subsidized first project ("Productive Physical Infrastructure --PPI") is or is not essential has yet to be tested in NWFP, the only model using limited or no PPI funding being that of the Orangi Pilot Project in Karachi where conditions may be quite different.

One indication of the role played by independent local initiatives in the settled areas is the extent to which local people, having developed a village organization, start up economically productive activities on their own, without grant funding, depending on local resources or loans.

The SRSC has begun keeping records on independent local initiatives and in a recent report noted that in their target villages, 5 farmers had started new livestock activities, 15 have initiated vegetable and/or seed production, 2 have planted citrus orchards, 3 Village Organizations (VOs) have started revolving forest nurseries, 2 VOs have planted mustard and sesame crops in arid areas, 4 VOs have taken out production loans for Rs 100,000, and 2 VOs have constructed farm to market roads and are collecting tolls for maintenance from vehicles using them. All Village Organizations and Women's Organizations in Kohat have sent local farmers for training to become livestock specialists who have now returned to inoculate large and small animals for the first time, and have charged and received Rs. 12,655 for their services. Keri Sheikhan village has placed a public ban on a 100 acre forested area, hired and paid a caretaker, and levied and collected from two offenders fines totalling Rs 1,000. In all, 20 of 61 VOs have undertaken productive activities without financial assistance from SRSC.

These records were confirmed by team visits to a total of 7 villages in settled areas in which the SRSC and IRDP/Mardan are operating. Access to the village of

Rustam, Swabi, was possible only by traveling along a 3 km road that had been constructed entirely by the village prior to any contacts with the IRDP. The road is now over a decade old, having been regularly maintained by the community and local transportation operators. A village water supply provided with IRDP assistance has been completely maintained by the community for the past 2 years. With access to modest resources and reasonable water supplies, villages such as Rustam have initiated economically productive activities without calling upon outside funding and continue to innovate after the subsidies are finished. In such cases local initiatives could become the centerpiece for development, with heavily subsidized PPIs perhaps not being necessary.

Raisee, Kohat, is an extremely poor village of tenant farmers in a dry, rainfed area, where even drinking water is in short supply. Until the arrival of SRSC organizers, the local people had largely accepted their fate, surviving from year to year by sending out young men to work in the cities. Today, with the completion of an impoundment dam, livestock can water without a long trek to the Indus, a locally conceived fish farm has been started, and the villages are beginning to organize and raise funds to deepen or dig a new well to provide a year round source of potable water. The provision of a subsidized PPI has clearly made an important difference in mobilizing local initiative and resources in a substance village economy.

Utmanzai, Charsadda, once home to Pakistan's great philosopher and nationalist, Abdul Ghaffar Khan, is actively involved in the construction of a new all-season road to their village crop lands that is being financed by a Rs 300,000 SRSC PPI grant. The community has contributed a considerable amount of rich crop land for the right of way for the road, recognizing that it will save them Rs 8-9 per acre for local transport costs, or a total of some Rs 20,000 per crop per year.

In Turlanday villagers have accumulated savings of Rs 27,000 against which they are now taking out loans for Rs 55,000 to finance inputs for sugar cane production, helping break a cycle of dependency on sugar merchants.

Nazo Kaley (Dhery) village, 12 km from the Mardan-Naista road, long barren, saline land is being reclaimed with SRSC assistance. With about 150% increased returns from the new lands, the village is earning almost Rs 1 million or enough to cover the SRSC investment in less than 2 years. This investment has spawned individual investments by local farmers for leveiing land or reclaiming additional acreage. Purdal Khan Kaley, where similar land reclamation has taken place, has begun to experiment with new crops, including garlic and potatoes.

From the above analysis four factors stand out:

- local communities are investing their labor and resources in both social and physical infrastructure, including schools, roads, horticulture, and irrigation;
- agriculture, and especially the development of irrigation systems is the major concern related to production and income generation;
- local leadership and traditional institutions are the most important and effective planning and management tools used to implement projects; and
- access to resources, including questions of tenancy and poverty, play a key part in a community's readiness and ability to undertake local production and income generating initiatives.

D. Conclusions

1. Tribal Decision Making: Building on Local Institutions

Field study reveals that communities frequently rise above their well publicized differences, both to face a common foe and to build and maintain productive economic infrastructure. Evidence of collective action for social services is well documented. Together these provide a foundation for participatory community-based economic planning and development.

The Political Agents cited here reiterate a theme heard over and over in the tribal areas and from those intimately acquainted with the structure and function of tribal society: that the local institutions are alive and well and uniquely suited to promoting development interests. In fact, like many other knowledgeable observers, they see that these institution are, in fact, working better than their counterparts in settled areas where local institutions have been eroded by two centuries of colonial interventions, partition chaos, and the swinging pendulum of national politics that, by fluctuating between dictatorship and democracy, has undermined local institutions both philosophically and in practical administrative terms. The isolation and fierce independence of the tribal areas has protected local institutions there from these destructive forces, leaving them in relatively good shape for planning and managing a decentralized development process built around local resources and management.

2. Tenancy and Leadership: Promoting Equity and Activism

Comparison and contrast among the tribal Agencies, the IRDP village of Pitaio Malandri, and SRSC' villages in Charsadda and Kohat is instructive: most are dominated by tenancy systems. The Agencies and Pitaio Malandri, however, enjoy strong traditional leadership resident in the village, have access to reasonable water supplies, and share a strong self-help tradition that is not dependent on outside sources. Building on these to promote accelerated economic growth does not appear to require heavily subsidized investments. Raisee, Kohat, however, with absentee landlords and severe resource constraints, has a far weaker self-help tradition and has only recently developed indigenous leadership. In this setting the SRSC's subsidized PPI has played a critical and potentially catalytic role in which the prospects are improving for increased participation, resource contributions, and hope for the future.

In Pitaio Malandri the concept of self-help seems both established and functioning. The role of the Khan seems to have been particularly positive in promoting self-help activities as the water supply, irrigation channels, and long and well maintained road attest. In fact, in the village's chronology of development activities, both Government and the IRDP are rather new-comers and have been able to build successfully on an indigenous tradition of self-help. Identifying and building upon such traditions, as well as the local leadership structure seems important.

Thus it appears that while local leadership and traditional institutions have critical catalyzing, planning, implementation, and management functions to play, equity considerations require another string in the bow. There is a crucial need for the Government and the TADP to be able to reach out into the communities of the tribal areas, to connect with those villages and/or sectors of society, especially women, which do not have access to resources, information, and a voice that can be heard by the planning and decision making systems which control resource allocations. Without a strong social organization capacity, therefore, a system built exclusively on existing local institutions and leadership structures will be like the stool with a missing leg: destined to collapse.

3. Planning and Management: Provincial, Agency and Local Level

In order to promote production and income generation it is necessary to capitalize on the strong local institutional structures at the tribal level which have made possible the local initiatives documented here and upon which a participatory development strategy can be built. This will require both leadership and resource support from Government that in turn requires both a strong and independent planning

and decision making capacity at the Agency and Provincial levels. At the Agency level this requires providing planning, development and social organization support to the Political Agent's office which serves as the focal point for all development initiatives in the Agencies. At the Provincial level this requires a strong and efficient Special Development Unit, equipped similarly with planning, development, and social organization capacity.

To promote equity and social justice, as well as to help identify, train, and support local leadership and consensus reckoning institutions, the role of the social organizer is particularly important, and positions must be created and identified as such. Without that identification, the pressing demands of day-to-day brush fires, law and order issues, and the long lines of individuals seeking special favors, can easily consume the attention of any additional capacity added to the Political Agents' already overstretched institutional resources.

Finally, if communities are to be put in charge of their own development they, too, will need enhanced planning and management capacity. This suggests the appropriateness of a grass-roots participatory rural appraisal and planning methodology for directly involving communities in the planning and management of their natural and human resources.

Together, these conclusions suggest an expanded need for trained manpower at all levels, from community and Agency to provincial government.

E. Recommendations

To accomplish the objectives of a productive and income generation strategy that provides for local involvement and social justice requires a joint commitment by GOP and USAID to promote effective institutional decentralization, requiring the devolution of authority and provision of resources available for:

- a strengthened Special Development Unit within the Planning and Development Department;
- increased planning and development capacity at the Agency level;
- utilization of existing leadership and consensus reckoning mechanisms at the local community levels;

- initiation of a participatory rural appraisal and planning program to put communities in charge of their own local resource based planning and development process; and

- organization and implementation of a comprehensive awareness development and skill training program for leadership at all levels.

ATTACHMENT G.1
LOCAL INITIATIVES: A TABULATION OF SAMPLE ACTIVITIES

Area/Type	Name/Location Measurement	Length/ Served	Villages Served	HH Served	Acres Served	Remarks
Bajaur						
Road	Charmeng	3 km	2			Improved road through hilly area, recently built with hillside cuts, no compaction.
School	Barang		4			Inaccessible area, reachable only by foot/horse; teachers hired and paid locally; building provided; no funds from Government.
School	Rashakai	1 Room	1			Operating in malik's house; 130 students, 2 Government teachers; will build pakka building if provided materials only.
Irrigation	Pashad	5 km	5	500	1,300	Three channels, including one with mini-hydel.
Electricity	Pashad		1	50		Uses modified traditional grain mill technology; carpentry shop operates during day; lighting provided at night.
South Waziristan						
Road	Gulkach/Zarmilan	4-8 km				
Road	Hankot/Zarmilan	5 km				
Kareze	Dabkot	1 km	1			2 traditional karezes, collapsed, rehabilitated by TADP and FATADC.
North Waziristan						
Road	Dirdoni	12 km	10-12	2,550	1,300	Some steep cuts, generally well made.
Road	Khan Marjan	2 km	2	900	900	Minor cutting, OK.
Road	Haji Mohd	1 km	1	300	400	Steep cuts, OK.
Road	Dirpakhel	1.5 km	3	900	1,250	Minor grades, OK.
Irrigation	Dirdoni	3 km	7	1,200	600	3-4 cusec; 30-40 years old.
Irrigation	Dirpakhel	6 km	7	2,500	7,000	7-8 cusec, 30-40 years old.
Irrigation	Raghzi Kille Chitoon	6 km	6	1,800	750	5 cusec, 30-40 years old.
Irrigation	Faqir	6 km	10	2,000	300-400	FATADC aqueduct & 2 km.lining, flour mill.
Irrigation	Bonda/Anghar	6 km	2	140	500	6 cusec, 2 km lined by FATADC; 100 years old.
Mill	Paikhel		3	500-600	700	Water power.
Mill	Faqir/Boya(Boya Bridge)		3	250	300	Water power.
Mill	Palangzai	1	200	200-300		Water power.
Mill	Alikhel					Water power.
Nursery	Miran Shah	7 kanal				Ornamental plants.
Kurram						
SWS 1/	Parao Village	1				Maintains local road; provides temporary teachers; supports female education; subsidizes transport to bring in female.

1/ Social Welfare Society.

ATTACHMENT G.1
LOCAL INITIATIVES: A TABULATION OF SAMPLE ACTIVITIES
(Continued)

Area/Type	Name/Location Measurement	Length/ Served	Villages Served	HH Served	Acres Served	Remarks
Swabi						
Road	Rustam	3 km	2	400	2,000	Built 1975; well maintained by villagers and transport operators.
Irrigation	Rustam	2 km	1	200	1,000	Original channel improved with Union Council funds.
Water	Rustam	1 km	1	200	1,500	Built with IRDP support; well maintained.
Kohat						
Fish	Raisee	1 ac	1	70	400	Started with SRSC's support.
Forest	Keri Sheikhan	100 ac	1			Village has banned animals; pays caretaker; imposes and collect fines.
Charsadda						
Road	Utmanzai	2 km	3	3,000	2,500	Land donated; road SRSC funded.
Road	Turlanday	2 km	1			Land donated; road SRSC funded.
Land Recl.	Nazo Kalay II		1	30	132	SRSC funded; locals expanding acreage at their own expense; new crops being introduced.
Land Recl.	Purdal Khan Kalay		1	35	100	SRSC funded; locals expanding acreage at their own expense.

BEST AVAILABLE DOCUMENT

ANNEX H
PARTICIPATORY RURAL APPRAISAL AND PLANNING
With Special Reference to the Role of Students as Potential Social Organizers

A. Introduction and Summary

A generally accepted goal of the development process is to help people solve their own problems in a way that is sustainable. It is also relatively widely accepted in Pakistan that community participation in planning and implementing programs to increase production and incomes is essential for both sustainability and equity reasons.

Starting up a new community participation approach in any rural area is problematic, however. Basic information on the area, introductions to its people, and the reasons for appearing in the village must all be clear, both to the local people and any "outsider" concerned. In the tribal areas and Gadoon-Amazai such an approach is especially fraught with potential difficulties. These areas have been or continue to be relatively isolated from the outside world. Many people are suspicious about the motives and intent of new faces. Poppy cultivation and/or smuggling activities have and continue to cause problems for authorities or anxieties among local residents.

Yet rural communities generally are keenly interested in getting outside assistance to meet locally perceived and defined problems. People are still poor, uneducated, and lack many of the resources necessary to improve their condition. And those who wish to provide assistance need good information on those problems if they are to help find solutions.

Furthermore, any community participation strategy requires trained social organizers: individuals knowledgeable in the best techniques of communicating and working with village people, skilled in helping those people get organized, set priorities, implement projects, and provide any necessary follow-up operation, utilization, and/or maintenance.

The conclusion of this brief analysis is that one of the most effective tools available for initiating a sustainable process of community participation is to start with a participatory dialogue process[1]. The method that is particularly appropriate for the unique circumstances of both tribal areas and Gadoon-Amazai is Participatory Rural Appraisal and Planning (PRAP), a method that uses Rapid Rural Appraisal(RRA) techniques within a process of participatory dialogue. This method, used widely by

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[1] PRAP may be viewed as a refinement of systemization of the dialogue process common to AKRSP and related participatory development approaches.

village development programs worldwide, is seen as particularly relevant to the problems and needs outlined above for several important reasons. Basically, PRAP:

- puts local people in charge of their own planning and development process;
- is easily understood by both villagers and outsiders;
- promotes active dialogue and discussion around local needs, priorities, and resources among villagers themselves and between villagers and outsiders;
- provides a foundation for local resource commitments;
- doesn't promise outside help... its a planning process, not a give-away process;
- provides important planning data for both local people and those up the line;
- can be easily taught to students, researchers, local activists, and line agency staff;
- is low in cost where budgets are limited;
- provides quick results where time is short; and
- provides the basic training, experience, and information that new or prospective social organizers need to be effective.

B. What is Participatory Rural Appraisal Planning?[2]

As outlined in one of the best available manuals on Participatory Rural Appraisal (PRA) and Participatory Rural Appraisal and Planning (PRA/P), the basic techniques provide tools for village leaders, field extension officers, students, and/or social organizers working in community level resource management, planning, and

[2] This section is liberally adapted, quoted and abbreviated from Participatory Rural Appraisal Handbook, joint publication of CIDE/World Resources Institute, Clark University, Egerton University, and National Environment Secretariat, USA and Nairobi, February 1990. Additional material from Perm Shah, et. al., "Participatory Rural Appraisal and Planning; (PRAP): The Experience of the Agha Khan Rural Support Program (AKRSP", Ahmadabad, Gujrat, India from Participatory Rural Appraisal Proceedings of the February 1991 Benglore PRA Trainers Workshop, PRA Notes No.13, London IIED, August 1991; with thanks to the authors.

development. These techniques enable change agents to help rural communities define problems, set priorities, adopt and implement village based resource management plans.

Part of the dilemma of development lies in the fundamental approach that is commonly taken in attempting to promote development. For most of Pakistan, as in most of the developing world, the colonial and post-colonial eras brought centralized decision making and, frequently coercive implementation of policies. Rural communities played no role in making decisions that affect important aspects of the political, socioeconomic, and ecological systems that sustained them.

Goran Hyden has observed that, following independence, forces external to the poor villages became critical factors in mounting rural development[3]. "Top-down" or "blueprint" approaches designed programs without consulting beneficiaries. Local resources gave way to imported technologies and inputs. Failure was and continues to be commonplace[4].

PRAP provides an alternative to top-down methods. It is built on village experiences where communities are working effectively to manage natural resources and assumes that community involvement is a key to successful project planning and implementation; that locally managed technologies as well as sustainable economic, political, and ecological systems are fundamental to reverse the current decline in rural incomes and natural ecosystems; and that truly sustainable development will use approaches that local communities can themselves manage and control.

The method does not stop in the village, however. The information generated, while used first and foremost by the village to plan and implement its own projects, is utilized throughout the planning and management process by district, regional, provincial, national, and international policy makers to promote decentralized, small-scale natural resource management policies and foster a growth of self reliance in the villages concerned. PRAP can provide a valuable contribution to the development and improvement of socioeconomic profiles.

An possible PRAP design for Pakistan might have ten clearly defined steps, all but the first conducted in close collaboration with the local community through, for example, the malik and local jirga:

No Shortcuts to Progress, Berkeley, CA, 1983.

Our Common Future, World Commission on Environment and Development, Oxford University Press 1987, p.124.

- site selection and clearance from local authorities;
- preliminary site visit;
- data collection, including spatial, time related, social, and technical;
- data synthesis and analysis;
- problem identification and setting of opportunities to resolve them;
- ranking of opportunities;
- preparation of a village resource management plan, frequently using hand drawn maps, diagrams, or models of the village prepared collaboratively with villagers, usually by simple sketching on the ground;
- adoption of plan by jirga; decision on implementation schedule, who, what, when, where;
- implementation; and
- follow-up, evaluation, dissemination of findings, discussion.... leading to next problem...

A practical example of PRAP at work is provided as attachment H.1. It reviews the experience and methods used by a sister program to the AKRSP based in Gujarat, India, which, as of February 1991, had conducted over 40 PRAPs. A recent conference in Banglore documented over 4000 PRA/Ps undertaken on this subcontinent by 200 field workers from 18 different institutions.

C. New Directions for Kalam Integrated Rural Development Project: Introducing Prap

A key element in the Pak-Swiss KIDP strategy -- aimed at increasing community participation for sustainability beyond the PACD of their program -- is the introduction of PRA approach to village-level planning. This PRA approach is being introduced to KIDP staff through a series of training workshops planned for the next phase of the project. In the view of the Swiss-Pak project re-design team (November 1991) the PRA approach provides significant advantages over the Rapid Rural Appraisal techniques that have already proven quite useful in Malakand and Kalam. PRA, in the view of the Pak-Swiss team, provides the AKRSP-type dialogue process with

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enhanced capability for promoting a simplified but solid information-based natural resource planning process that can be carried out by the villages themselves, increasing both community participation and empowerment of local village organizations.

D. Implementation and Organization: Who is going to do it?

If a PRAP approach were to be introduced as the starting point for a community participation strategy for tribal areas and Gadoon-Amazai, then several problems must first be addressed:

- who is going to do it?
- who do they report to?
- where is their organizational home? and
- how are the bills going to get paid?

With time and budget limitations, and the delays associated with establishing, filling, and funding positions in Government or USAID (even if current policies to avoid direct USAID implementation were ignored), the prospects of establishing a cadre of appropriate social organizers to start a PRAP process is daunting, indeed. In fact, it is unlikely that such a cadre could even be established, let alone be functional, before PACD. What is more likely, however, is that USAID and GONWFP could establish the requisite positions for a Senior Social Organizers within the TSPU and SDU, which are proposed for a merger in the near term. Training of such staff members is also realistic. Further proposals to establish social organization capacity at the Agency level, while also proposed, could take until PACD to become functional.

An obvious target for PRAP skills and training are those already holding positions with line departments in the tribal Agencies and Gadoon-Amazai. Those organizations, like FATADC, FATA/Agriculture, C&W, FATA/Education, and the office of the Political Agent, all have staff who regularly interact with local communities. Equipped with the tools of Participatory Rural Appraisal and Planning, these existing staff members could make significant progress in using PRAP to involve communities in their decision making processes, identify sustainable new projects, and generate local community resource commitments.

PRAP, however, has the additional quality of being an intrinsic "learning process" approach. One learns how to do it by doing it, and the techniques are both

relatively simple and easily transferred in training programs that range from a few days to a few weeks. PRAP is also fundamentally a simplified, participatory research process, uniquely complementary to the needs, interests, and established skills of the academic community.

There are over 100 students from the tribal areas, as well as several who have already worked successfully on applied research in Gadoon-Amazai. They bring unique knowledge of those areas, natural interest, and need little or no introductions. Indeed, they are not even "outsiders" but "insiders". If students were recruited and trained to conduct initial PRAPs in selected areas a natural selection process could be implemented through which those who excel and show special interest and talent could be recruited onward as entry-level trainees for future roles as social organizers, building their formal training on practical, participatory experience.

If such students were recruited to conduct PRAPs, they could initially function under the combined auspices of the SDU and USAID's TSPU, during the transition phase, in much the same manner that the students working on the Gadoon-Amazai research have been engaged and utilized. Interested professors could function as team leaders, coordinators, and/or supervisors as may be determined to be appropriate. Peshawar University, the Agriculture University, the Institute for Development Studies, individual departments and professors, and the Pakistan Academy for Rural Development (PARD) are all potential resources that could be tapped. There role in the future of the socio-economic profiles is also being considered and could be complemented by involvement in PRAP, a source of input for the profiles.

Those students who go show the talent and interest to become social organizers could then be assigned to appropriate positions to be established as determined by SDU and USAID during the coming year.

One professor at Peshawar University is about to embark on his own applied research project in the tribal areas and is particularly interested in the links between local institutions and the development process. A trained researcher with strong roots in an accessible and progressive tribal Agency, he also has access to both tribal students in the university and to the general tribal community in Peshawar. He has been part of the process to develop TADP's socioeconomic profiles.

It might be worth exploring if he and/or others like him would be interested in testing the PRAP methodology. Means might be sought to provide them access to training resources (through a mechanism such as Coverdale), and/or support for enterprising students from the tribal areas to conduct field work. They then would

become a potential resource for implementing an action-research-community dialogue process that could be the opening wedge for a community participation development strategy in the tribal areas.

E. A Training-cum Planning Strategy: Can the Pakistan Pard District Council Model be Adapted for Tribal Areas?

Discussions held at the PARD focused on seeking advice on what sort of approach would be most appropriate in tribal areas, particularly where a new organization is not feasible and where the TADP is largely dependent on line agencies. The reply from PARD's director for training drew us directly to the PRAP approach. The PARD is familiar with the method, having read about it in publications from the University of Sussex in England.

Like the TADP, PARD and UNICEF had sought a mechanism in 1984 for community-based participatory planning and development using existing institutions. The result was a 2 month program implemented in Manshera through line agencies and the District Council system. In tribal areas the analogous approach would be to work through line agencies, the Agency Council, and local village jirgas. The method, which built plans on village surveys conducted by local people, was implemented over a two month period. It's basic structure is built on training trainers, thus multiplying understanding and skills. The program, in brief, uses "outsiders" to train "insiders":

- District Councillor and line agency staff; 3 day training workshop; master trainers chosen from among participants;
- master trainers from District Councils train Union Council members and secretaries;
- Union Council members/secretaries train 10 volunteers from each ward/village/"mahalla"; and
- village volunteers each conduct 10 simple household surveys, using prepared 2 page simple pro-forma questionnaire, seeking data for planning and priority setting.

Using this training multiplier approach, a "bottom-up" planning process is developed:

- volunteers prepare local ward/village problem/priority list and village development plan with villagers;

- village plans are consolidated to make a Union Council plan;
- Union Council plans are brought together to provide input into District Council plan; and
- District Council plans are used to develop Divisional and Provincial plans.

While not at the cutting edge of development management as it was two to three decades ago, PARD, with ad hoc donor support, has made an important, although limited, contributions to research, experimentation, and training directly aimed at village people and their local institutions. The organization has retained the capacity to conduct training in subjects and methodologies relevant to the requirements of tribal areas. Furthermore, it has direct if not current experience with participatory rural information systems and planning initiatives that complement those being used successfully elsewhere in NWFP and being considered for the reorientation of both the TADP and NWFADP. Together with the University's department of Public Administration, the Academy offers a potentially useful resource that may help fill an important gap.

F. Conclusions: Prap as a Tool for Students ... And Non-students

A Participatory Rural Appraisal and Planning approach is a logical starting point for the introduction of community participation and social organization in the tribal areas and Gadoon-Amazai. It is also a mechanism that can be put in the hands of representative "insiders", like students and/or activists recruited from local villages with relatively little training. It provides a means of rationalizing the planning process at the village level, helping to depersonalized local decisions. PRAP focuses on local resources, their optimization, and sustainable utilization. It helps make the implicit explicit, opening up communications and decentralizing decision making.

Students are a potential resource for initiating a PRAP process, although by no means the only such resource. They do, however, have some advantages within the context of limited funds and time. They exist in significant numbers in Peshawar yet have real roots in the target communities, they are engaged in studies where field research might play a useful part, and they do not require posts, perquisites, and piles of paperwork. Students have already served the Gadoon-Amazai program and thus a model, with requisite experience, can be tapped. Students can start work relatively soon, carrying out useful functions that provide a crucial foundation for social organization without TADP and NWFADP having to delay operations while the bureaucratic process of creating positions moves slowly forward.

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Students, however, are not the only resource available for utilization of PRAP approaches. Existing line agency staff, extension officers, even engineers, can profit immensely from the tools and techniques of PRAP. Training is not complex or time consuming, field practice being a crucial component. In relatively short order, under a Coverdale program, for example, significant numbers of individuals, already holding positions in tribal agencies and Gadoon-Amazai, can be equipped with a powerful tool for increasing and maintaining community involvement, and thus improving prospects for the sustainability of the small rural development projects in their portfolios.

G. Recommendations

It is recommended that as a critical part of an overall decentralization and devolution strategy, Government and USAID agree to implement a comprehensive process of community involvement in planning and decision making that is built around Participatory Rural Appraisal and Planning. Further more it is specifically recommended that:

- dialogue be initiated with relevant line departments to determine the feasibility of their introducing PRAP approaches into their existing systems, particularly in the selection and siting of small rural development projects with a production and income generation focus;

- dialogue be initiated with Peshawar University, the Agricultural University, Institute of Development Studies, and Pakistan Academy for Rural Development to explore the feasibility of developing a cadre of students interested in using PRAP procedures with an eye to becoming social organizers at some time in the future (include discussion of linkages with socio-economic profiles);

- training for awareness as well as specific skills and techniques for implementing PRAP be planned and implemented for the staff of existing line departments, professors, training officers, and/or students as may be deemed appropriate; and

- draw on the best local and international talent to provide initial curriculum design and training in PRAP methodologies for the first phase with a plan that these specialists will have a major responsibility for training trainers locally for ongoing training in Pakistan

ATTACHMENT H

PARTICIPATORY RURAL APPRAISAL AND PLANNING: (PRAP) THE EXPERIENCE OF THE AGA KHAN RURAL SUPPORT PROGRAMME (AKRSP

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AKRSP was established in 1985 to promote and catalyse communi participation in natural resource management through villa institutions for increased income generation and productivity f rural communities. AKRSP works with village communities in Gujar using the following approach:

1. Participatory appraisal and planning for development of natural resources in the village.

2. Formation of village institutions for implementation of a Village Natural Resources Management Plan prepared by the villagers.

3. Implementation of the activities identified in the plan prepared by the villagers through local village institutions.

4. Technical, financial, training and management support for implementing the plan to village institutions by their own team of village extension volunteers, village institution office bearers, AKRSP professional support team and external support. The emphasis is on first identifying the local source of expertise, facilitating its access and then seeking external support whenever required by the village institutions.

5. Development of local village level or federated support institutions for sustaining the development process.

6. Participatory Impact Monitoring and evaluation of the programme by the villagers and the village institutions.

7. Ensuring that villagers' long term resource management plans are incorporated in the development plans of the government, people raise resources for funding their plans through government, banks and other development agencies and village institutions are able to perform most support functions without external cataylitic support.

8. Influencing the government to promote participatory approaches in the development process at various stages - Planning, Implementation, Management and Monitoring and develop policies enabling development of such approaches.

Activities Undertaken by the Village Institutions

The activities undertaken by the village institutions as a part of their village resource management plan are as follows:

a) Physically Productive Infrastructure

- water resources development eg. Lift irrigation, community wells, percolation tanks, check dams, groundwater budgeting

- watershed management eg. soil and water conservation, water harvesting, land reclamation, ground water recharging, agroforestry

- wastelands development eg. afforestation on public and forest lands, pasture development and fodder development

- biogas plants construction to increase fuel (energy) availability and reduce dependence on community lands.

b) Production Enhancement/Upgrading

- agricultural input supply eg. fertilisers, seeds, plant protection chemicals, implements

- animal husbandry input supply eg. cattle feed, vaccinations, medicines and improved breeds of animals

- agricultural extension eg. irrigated agriculture, dryland farming

- animal husbandry extension

c) Commercial Activities

- short term and long term credit

- group marketing of agricultural produce and milk

- community operations eg. harvesting, ploughing threshing, plant protection, usage of implements

d) Other support activities

- human resources development

- training

- provision of technical and managerial expertise to other village institutions.

Why Participatory Rural Appraisal and Planning?

Most development programmes have emphasised the involvement o people. Such involvement, though, has focussed on implementatio aspects, contribution of labour and resources, availing service and accruing of benefits. This process, although producing shor term results, does not lead to a sustainable development proces where people develop a long term perspective. AKRSP while workin with village communities realised that unless the villag communities participate actively in the appraisal and plannin process, the development process will not be sustainable. Rura people also have a vast pool of indigenous knowledge and expertis which is generally neglected while planning a developmen programme.

There was, thus, a need to develop an approach which enables rura people to have a say in what they want for themselves, develo their latent and inherent capacity to analyse and evolve their ow plan. Such a plan has a higher chance of being effective, sustainable and being scaled up compared to a plan evolved b outsiders. It is in this context that the approach o Participatory Rural Appraisal and Planning (PRAP) was developed. It is also a very important tool for the outsiders to learn fro rural people. AKRSP through its experience feels that the major strength of this approach is that rural people can adapt this approach according to their situation and carry on this process with limited or no external support after initial catalytic support.

Approach/Methodology

AKRSP has worked with a number of village communities in a variety of social and agroecological contexts-tribal areas, semi-arid areas and relatively well endowed areas in the state of Gujarat. The approach and the methodology followed by the village institutions (initially with AKRSP support and later on their own) is as follows:

i) Deciding the objective of the planning exercise

It is important to clarify the objectives of the exercise for both insiders as well as outsiders. The objectives could determine the methods to be used for the exercise. The objectives could be the preparation of a village natural resources management plan (a whole village exercise) or concerning only one aspect of the programme eg. evaluating the impact of a percolation tank (a topical exercise focusing on one aspect). This needs to be made clear to all the participants in the exercise (insiders or outsiders). It is often done through a series of group discussions with various members of the village community. PRAP requires a consultative process with the community or a village institution (if it exists) before initiating the exercise.

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ii) Deciding the methodology and who should participate

The proposed sequence or methodology should also be discussed with the village participants before hand. It helps in better planning of the exercise. It does not mean that spontaneous innovations during the exercise are not encouraged. In fact a broad agreement or a consensus is good enough in the beginning. If people know that they are expected to contribute, they think about the issues, plan their activities accordingly and are able to offer constructive suggestions about the methodology. In our experience Transect walks have been rearranged in a number of cases after the discussions enabling a more effective transect to take place. Also when the women and the landless are to participate prior consultation is important to find out the most suitable time when one can meet them. Time and place of the meeting with these groups are often decided unilaterally by the outsiders at their own convenience resulting in an ineffective participation of these groups.

In typical heterogeneous villages it would be very difficult for the people to reconcile if outsiders suddenly said that they wanted to discuss an issue with landless or women or want them to participate in a transect walk. Prior consultation on why consulting the poor, women and the landless is necessary will help in creating an open environment for the exercise. This discussion also helps in sensitising the villagers about the need of the exercise. This process also throws up a number of volunteers for the exercise who become interested in the process and take a keen interest in the exercise. This process takes a couple of days before the actual exercise is undertaken in the village. This is undertaken in both type of villages-villages with past interactions as well as new villages.

This prior consultative process is very necessary for both steps i and ii if we want to have an effective, representative and equitable participation of different sections of the village population in the process.

It would be also useful if discussions are held with a core group of people in the village (by no means an elite group, more representative group) about the need of the exercise, nature of participation required, methods to be followed and the difference between this exercise and other exercises in which they might have participated earlier. The key aspects of the approach like 'Learning from each other', 'they deciding their priorities' and 'all sections of community and all resources should be covered' should be emphasised. This core group in turn sensitises others about participating in the exercise. Let them suggest methodological changes.

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iii) Informing villagers about the programme

This is done by the core group of villagers after the outsiders have left. Often the core group uses innovative means to convey the programme - use of drums, use of a village communicator or a schoolboy, writing on the Panchayat notice board by a chalk (biased towards literates) and in some cases using loudspeakers. It is useful to give responsibility to one of the members from each group - landless, women, lower castes etc to inform other members of the community. This is done a day before the exercise. If the core group is not getting formed during the initial interaction, outsiders might have to undertake this function until sufficient interest is generated within the community. However this process may still remain incomplete as outsiders may not know of all the diverse groups in the village and villagers might be unaware of the equity orientation of the outsiders. Villagers should be free to change timings of the programme as well as the place later if they find them inconvenient or face some crisis or eventuality in the village.

iv) Base map preparation on ground/paper

One of the villagers (a member of the core group) or one of th outsider team members comes early to the village and works with group of about 10 people to enable them to draw a base map on th ground. This map shows major natural resources in the village landmarks, boundaries and divisions, drainage points, inhabitatio areas etc. (described in detail in the section on participator mapping). This map helps in developing a participatory environmen in the village. It also helps to understand the diversity of th village resources. The initial group of 10 expands to 20 an further, and a number of other points get added subsequently a different participants take a different perspective.

This process of ground mapping is a fast way of overcomin inhibitions as people feel more comfortable with the ground. Th details shown in a ground map are shown in Figure 17. There ar a number of innovations like using rangoli, local colours and othe local materials like twigs, tree branches, leaves, flowers, lime dung, thorns etc. which are suggested by the village participant as well as the outsiders participating in the exercise. These ar primarily used to show local diversity of resources. Ou experience shows that these maps show most natural resources, stat of these resources, local landuse and soil classifications, river (nallas), drainage points, boundaries with other villages, statu of assets or common infrastructure (like ponds, drinking wate wells, tanks and individual wells; functioning or dysfunctiona and the diversity of the village in terms of availability resources, their utilisation, status and access.

There are always peripheral groups who wait on the fringes for t main group to clear from the scene so that they can have a clos look at the map. Some groups of poor and women initially wat

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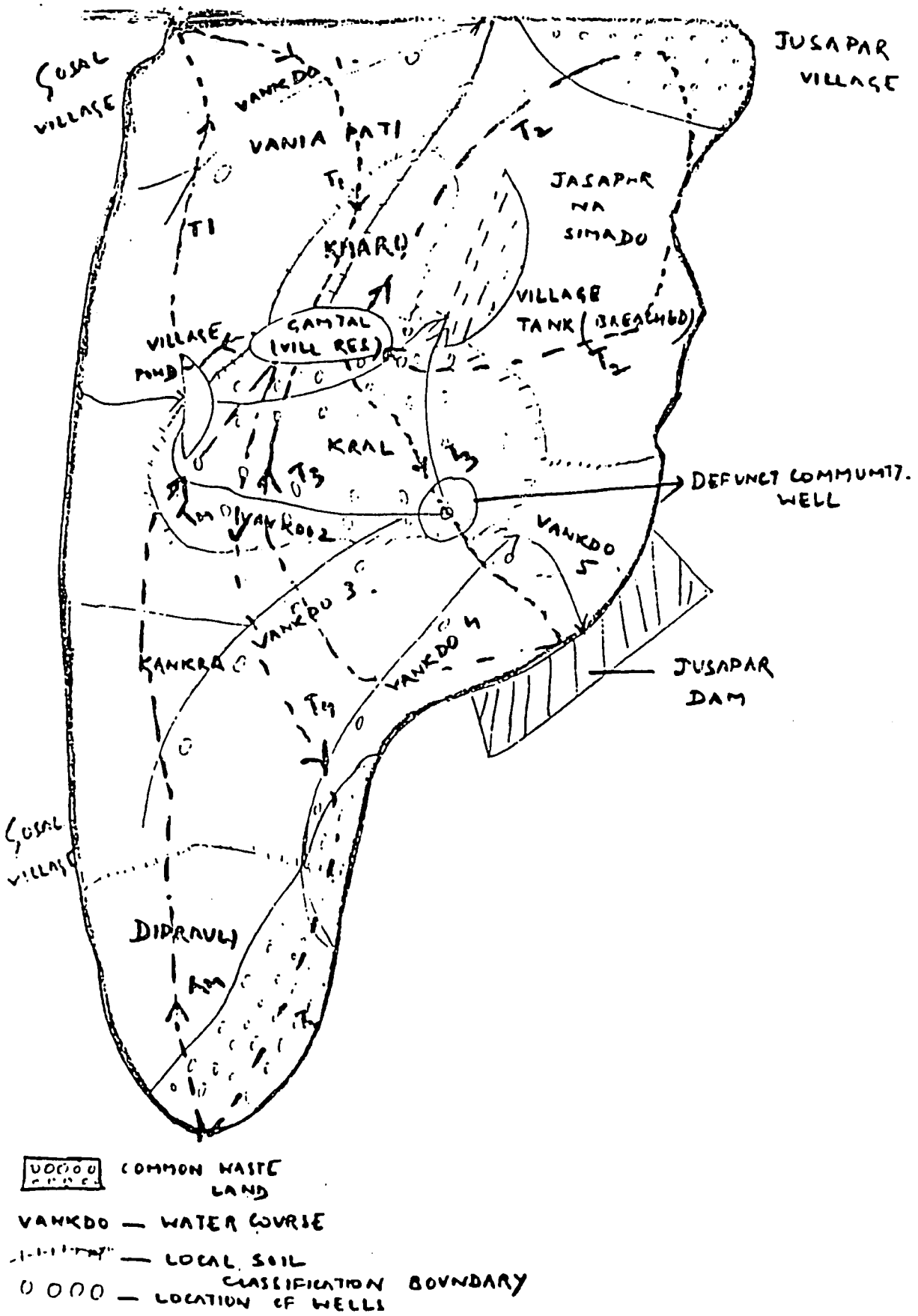

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Figure 17 Ground resource map of Madargadh village, Gujarat showing natural resources, village boundaries, local soil classifications and drainage points. Used for

from a distance. It may be possible to have them in the core group a number of times. In most of the cases it is possible to encourage the peripheral group to add their perspectives. The common additions by women include sources of drinking water, fuelwood, fodder, meeting places and their own land in the map. Often they have been able to categorise wastelands based on quality and access to fuelwood and fodder. Tree density perceptions are also indicated by them. Landless include the degraded common property resources, major private lands (major sources of employment), major and minor products from common property resources, sources of drinking water, fuelwood and fodder in the map. This base map can be prepared by the villagers without any external support in time periods ranging from half an hour to two hours depending on the size of the group and the level of participation. Often outsiders have the tendency to intervene in the mapping process. This should be resisted and mapping should be allowed to develop as a creative process.

This forms the basis for deciding the transect route, number of transects, type of transects, the transect groups in the village and other methods to be used for the exercise. At this stage discussions are held about issues like who are the owners and users of these resources and who is likely to have a stake in them. Transect groups are decided at the end of this process and primarily based on this map.

v) Transect Walk

Depending on the local mapping of resources on the ground, transects are decided. Our experience has shown that doing a transect based on the local soil classifications has proved to be the most effective and representative of the diversity of the natural resources and the people affected by them. Each transect team involves 5 to 8 participants who own and use the resources and know the problems related with them. In case of the transect team working on the common lands (forest etc) women and the landless are very important members of the team and it should be ensured that they participate as they are the major users of products from common lands.

However, presence of women and landless is largely determined by the timing of the exercise (mostly they are working during the day when transect exercises are done). It would be useful to have a discussion with the group and ask them to nominate people for the transect. In a very undulating area, Top to Bottom transects or Upland-Lowland transects are helpful in understanding resources and problems related with them. Generally going to a high point is useful because it helps in identifying certain resources and problems which are related with the interrelationship of the resources, which is difficult to visualise or discuss while discussing a particular problem.

The process of transect involves the following steps:

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Observation of physical characteristics eg. erosion, waterlogging, soil depth, soil type and people's perception on these issues. This is done by walking through various resources ie. public lands, private lands, forest lands, rivulets, nallas, gullies, local land use and soil types. People are encouraged to talk about their own land and the problems as they affect them. Physical observations may involve diagramming on the ground and drawing simple maps showing flows of run off, ground water, drainage and showing how various phenomena are affecting productivity and management of resources owned and used by the participants.

Observation of crops or any other biomass (if it is the sowing or harvesting season). It is useful to ask people about the relationship between productivity and the characteristics of their land and other resources. Asking people to make a sketch map of their own field on the ground and showing the problems and constraints in the diagram/map is the best way to encourage discussion of the problem and the constraints faced. This becomes a good frame of reference for further discussion and encourages other members to contribute ideas and facilitates interviews with focus groups.

A number of small thematic maps are drawn at this stage on the paper like the water resources map, local land use classification map, resource utilisation map, cropping pattern map, Aquifer map. These are generally an extension of the ground map and are very useful to understand the resources and the problems related with productive management and utilisation of these resources. Each map is produced by a group of 5 to 6 people during the transect exercise. It is not uncommon to find a source of local expertise on a thematic issue like a water diviner or a local soil expert who is able to contribute towards inventorising of these resources and identifying critical areas requiring intervention. These maps become a basis for use of other methods and discussion. However, it is difficult for illiterate people to participate unless they are encouraged to draw symbols to illustrate various aspects of the diversity, characteristics, problems and solutions. They can draw well and most of them are creative in drawing diagrams. It is always helpful if people can describe the resources, process, status and problem in terms of symbols and colours eg. symbol of a crop, deforested trees (by black), colour of the coil (by different colours) and numbers by number of grains. Some of the examples of the maps prepared by people are shown in Figures 18, 19 and 20.

These lead to questions about problems faced/constraints faced in effective utilisation of resources. In fact it is difficult to segregate the problem definition phase and

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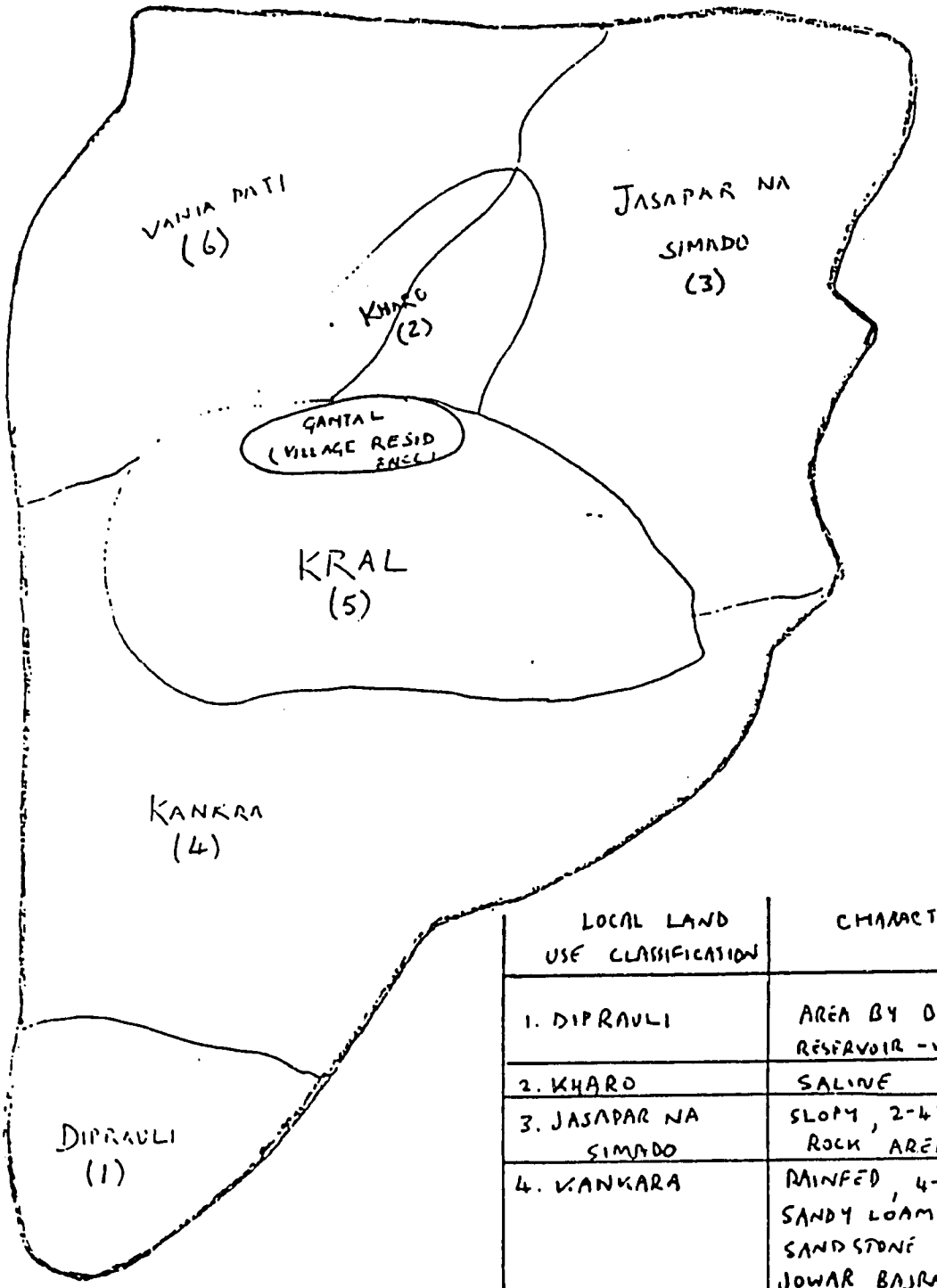

LOCAL LAND USE CLASSIFICATION	CHARACTERISTICS
1. DIPRAULI	AREA BY DAM RESERVOIR - WATERLOGG
2. KHARO	SALINE
3. JASAPAR NA SIMADO	SLOPY, 2-4%, HARD ROCK AREA
4. KANKARA	RAINFED, 4-6% SLO SANDY LOAM WITH SANDSTONE, CROPS JOWAR, BAJRA, MAG, T MATH; LOW PRODUCTI NEEDS TILLING AFTER HA OF MONSOON CROP
5. KRAL	MOST FERTILE, 80% WELLS IN VILLAGE IN THIS ZONE (50 ACRES IRRIGATION); MAIN CRO WHEAT, CUMIN, COTTON, GROUNDNU
6. VANIYA PATI	LAND BELONGING TO VANIYA (TRADERS). SAME CHARACTERISTICS AS KANKARA

Figure 18 Local land use classification map, Madargadh village. December 1989

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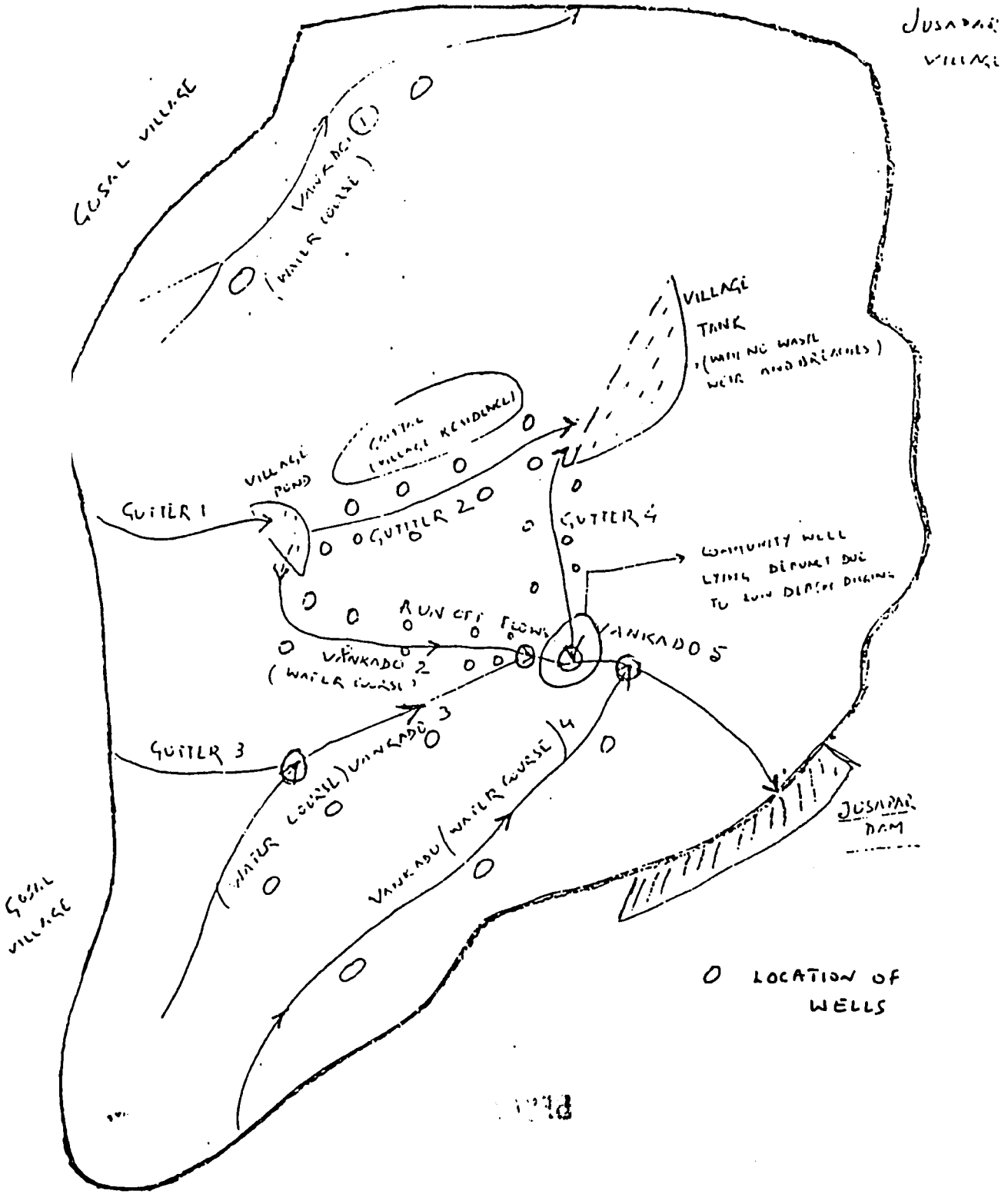

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Figure 19 Water resources map, Madargadh village. December 1989

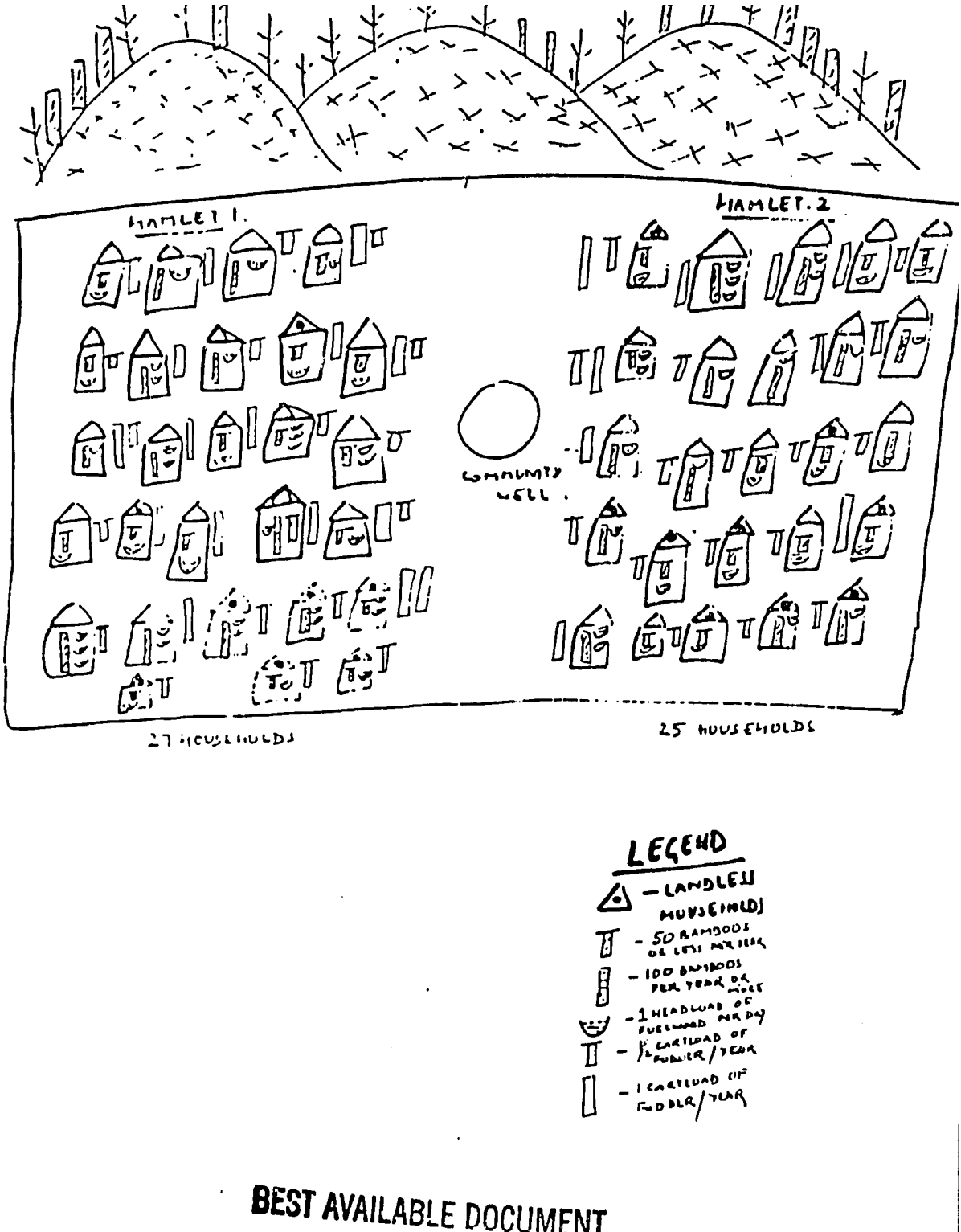

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Figure 20 Forest land users map, showing products used by different sections of village community. Bharuch District, Gujarat. All household names were on the original map

the solution identification phase. Our experience has shown that most people have some solutions in mind when they are talking about the problem and they tend to indicate them along with the problems. During the transect walk observations are made leading to identification of problems. Mapping is done to facilitate analysis of the problem and helps in focusing on the problems and the solutions during the subsequent discussions (both local as well as suggested based on the experience).

- This is followed by an intensive discussion with the transect team on the field itself to take advantage of the visual clarity to the persons asking the questions and answering them. Utmost care should be taken not to ask leading questions. Questions like what more! should be asked again and again. It is important at this stage to ask people to suggest solutions which they have tried out earlier, which have worked and which have not worked and why. It would be also useful at this stage to ask people why they have not been able to try some solutions is very critical to ensure that their feasibility is appraised by both local people as well as outsiders while deciding their priorities. All possible problems and solutions should be identified.

- This leads to a transect diagram which is prepared by the local people in form of a Opportunity Identification Matrices. This matrices show al natural resources, local land use classifications, existing state of resources, constraints/problems in productive development of these resources, local solutions tried out by the people and options identified by the people for solving the problems and development of each resource. A typical opportunity matrix is shown in Figure 21. This matrix is subsequently used as a facilitating input to other methods used subsequently.

vi) <u>Equity Aspects</u>

Until now the process has involved concentrating on the resources (primarily physical aspects) the next phase of the approach involves looking at the equity aspects in the village. This is particularly important if one is working in heterogenous villages. although care is taken to ensure that representatives of all sections are involved in the transect exercise any transect and mapping exercise cannot involve more than 25-30 people with 5 transect groups. In order to ensure that more wider consultation is carried out and the poorer and less articulate sections of the village community are involved it is necessary to develop a simple wealth grouping/ranking exercise to identify the major economic groupings in the village community. The more important aspect of this exercise is the finding of the criteria used by the village community to group themselves according to wealth. This helps in identifying different sections of the village and identifying the

Figure 21 Opportunity identification matrix prepared by transect 1 team in Kral region of Madargadh village in Surendranagar District

LOCAL LAND USE CLASSIFICATION AND ZONE	CHARACTERISTICS OF ZONE	LAND USE	CROPPING PATTERN	APPROX. AREA
KRAL	1. Most fertile part of village 2. 80% of land less than 2% slope 3. Soil from Kankara zone deposited here leaving a good layer of soil 4. 80% of the village wells in this zone	1. Irrigated 50 acres 2. Rainfed 150 acres 3. Bordi (fruit trees) on borders of irrigated fields (20-100 trees) 4. Prosopis bushes on boundaries of rainfed fields	→ Wheat, Cumin, Mustard, Lucerne → Bajra, Jowar, Cotton, Groundnut	200 acres 50 irrigated 150 rainfed

NATURAL RESOURCES IN ZONE	EXISTING STATUS OF RESOURCES – PROBLEMS	LOCAL SOLUTIONS TRIED OUT	SOLUTIONS SUGGESTED
VILLAGE POND	1. Breached + silted 2. Very low storage capacity 3. Leads to flooding of nearby lands	1. Repairing of earthen embankment on voluntary basis 2. Not completed due to inefficient + incomplete work in subsequent rainy season 3. Difficult to mobilize all people at same time 4. Needs additional material investment	1. Desilting of pond + repairing 2. Repairing of waste weir + gutter from pond
GUTTER	1. Silted up + loss of depth 2. Poor water recharge to wells 3. No use of silt	–	1. Desilting + deepening of gutters 2. Building ground water recharge structures for better well recharge 3. Community management of silt in gutters

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NATURAL RESOURCE IN ZONE	EXISTING STATUS OF RESOURCE - PROBLEMS	LOCAL SOLUTIONS TRIED OUT	SOLUTIONS SUGGESTED
VILLAGE PERCOLATION TANK	1. Breached earthen embankment 2. Waste weir poorly designed 3. Flow is not channeled into tank 4. No provision for overflow 5. Poor percolation due to silting	1. Petitioned to government for repair. Not repaired for last 6 years	1. Renovation of percolation tank 2. Redesign + construction of waste weir 3. Repair of all gutters leading to the tank 4. Desilting as part of renovation 5. Lift irrigation from tank
WATERCOURSE 2	1. Run off flow being wasted to Jasapur dam. Village making no use of run off water 2. Poor percolation of wells in area 3. Number of wells becoming dysfunctional is increasing	1. Earthen recharge structures	1. Earthen embankment with stone spillways near to wells so as to enable recharge
WELLS (25)	1. 16 wells are functional, 9 are dysfunctional 2. Water table 35 - 55 feet 3. Wells not recharged from Jasapur dam reservoir due to difference in elevation	1. Earthen recharge structures	1. Groundwater recharge structures (farm ponds, stone or masonry dams) 2. Deepening of some wells to enable higher discharge + recharge.
COMMUNITY WELL	1. Too little DEPTH LEADING TO poor discharge + being dysfunctional	-	1. Deepening and construction of bore well (well capable of irrigating 80 acres)
RUNOFF RAIN WATER	1. More than 80% of run off lost to Jasapur dam	1. Small earthen structures (but do not last long)	1. Develop a grid of conservation structures across all watercourses to harvest all run off

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NATURAL RESOURCES IN ZONE	EXISTING STATUS OF RESOURCES – PROBLEMS	LOCAL SOLUTIONS TRIED OUT	SOLUTIONS SUGGESTED
PRIVATE LAND RAINFED 150 ACRES	1. Poor soil + water conservation of land 2. No use of run off water (damages the soil rather than benefits it) 3. Lack of draught power leads to poor + untimely tillage 4. Insufficient inputs + credit	1. Small bunds in the fields. But washed away during floods	1. In situ SWC 2. Watershed develop 3. Community purch of inputs 4. Construction of water harvesting structures for support irrigation 5. Credit for deep ploughing with tractor or purc of bullocks 6. Raised horizontal by planting Bard trees near all SWC structures 7. Bori grafting
PRIVATE LAND IRRIGATED 50 ACRES	1. Low yields of cumin crop + wheat due to pest incidence	–	1. Trials on most cost-effective pest control through community action 2. Farmer experimen on new varieties 3. Community thresher
GAMTAL VILLAGE INHABITATION	1. Drinking water well dysfunctional	1. Government has repaired twice. Does not work	1. Technical feasib for repairing existi well + construct new well for drinking water be carried out

Note : Similar exercises were done by other transect teams and collated for presentation.

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groups which have been left unrepresented in the mapping or transect walks tried earlier. It also helps in identifying focus groups for further discussions. Also if priorities identified in the opportunity identification matrix have overlooked certain sections in the village it is an indicator of the need for giving more careful attention to equity aspects in using all other methods in the village. Wealth grouping is generally done in form of a diagram. This is done with a group of persons representing different localities in the village.

Another exercise undertaken at this stage is Social Mapping. This involves mapping different social groups within a village. This is particularly important for heterogenous village communities. In number of cases social mapping and wealth grouping have been combined to understand the relationship between social groupings and the wealth status. In some cases social maps have also been extrapolated to find out the correlation between resource ownership, resource management and the social groups in the village. It is possible to identify the resources which need interaction between various social groups for managing or developing them. Based on this process groups which have not participated in identifying the problems and solutions related to them are identified.

vii) Focus Groups

Based on the outputs and the process generated earlier focus group discussions are conducted with the different groups separately. These groups could be the following:

a) Resource Owners
b) Resource Users
c) Resource non owners and Users
d) Resource non owners and non users
e) Groups facing a common problem related with a resource
f) Women
g) Socially Disadvantaged communities
h) Groups left out of the initial appraisal process

This list is just indicative of the possible ways of organising focus group discussions. Depending on the local situation focus group discussions could be organised. The process followed during the focus group discussion is as follows:

Those members of the group who have participated earlier during the mapping, transect walk and the subsequent identification of priorities explain the process of collecting information in a narrative form and explain the outputs produced by them (maps, diagrams etc). They also explain the opportunity identification matrix prepared by them related with their commonly identified problems. All the intermediate outputs like small maps are also displayed to facilitate focussed discussion. A local villager and

an active participant of the group acts as a facilitator for the discussion.

- Each problem is discussed and the group indicates if the problem has not been defined correctly eg. group working on common property resources identified replanting of certain species as a possibility for development of that resource. During the focus group discussion, women participants identified protection as the priority and not planting as identified by the original group. New problems are also identified at this stage by the group and new solutions generated as a result of the discussion. People also indicate the likely conflicts in implementing solutions, inconsistencies, their past experiences with some of the solutions when they were tried out earlier, areas of agreement and some sense of prioritisation.

- At this stage seasonality and livelihood analysis involving variables like rainfall, fuelwood and fodder availability, employment etc. is carried out to find out the major constraints to adoption of certain priorities identified by the people, (it is very difficult for the local people to establish a casual relationship between priorities and trends for planning purposes. This method ie. still more important for outsiders who have a limited knowledge of the implications of seasonality on the choice of priorities identified by the people. (However, this method is very important during the implementation phase of the plan to maximise the impact of any activity on the livelihoods of the people).

- Often within a small group also there is considerable discussion between the members of the group before any consensus is reached. It has been our experience that the outputs produced as a result of the mapping and the transect walk stimulate discussion by other members of the group (inarticulate as well as illiterates) and enhances their participation in the focus group discussion. It has been our experience that even larger group community meetings are more participatory and effective if they are preceded by an interactive process involving mapping and transect walks by a smaller group. This process leads to a modified listing of priorities and indication of a disagreement within the group on some priorities and the reasons for disagreement.

viii) <u>Village Meetings</u>

Since already group interactions have indicated priorities of a particular group having a common problem and agreed set of solutions, the next step is having a village meeting where most residents in the village participate and most groups in the village are represented. The group nominates a representative who represents the group in the village meeting and presents their

problems and priorities to the village community. At this stage a number of outputs produced earlier are used to explain various solutions identified by the group. The group helps the facilitator and produce outputs on charts in a creative manner so that they can use them for discussion with others. People use colours, symbols and numbers. This process is very critical as they have to make presentations to their own people. People generally went to make a good presentation when they are making presentations to their own people.

Questions on the solution and the likely problems which may arise are encouraged at this stage. However, the interactions need to be managed in such a manner that discussions are healthy and do not become very acrimonious (this does not mean that discussions are not going to be heated as the solutions involved have different implications for different sections of the village community). During this whole village presentation the inter group dynamics becomes more clear. If there is a strong resistance by a group towards a priority identified by the other group, there is a need to explore the relationship between the group and the resource deeply and understand the reason for a potential conflict. It could be discussed in the meeting itself or subsequently in smaller groups over a number of interactions. Conflict situations should be handled through persistent dialoguing. In this meeting areas of agreement should be noted and strong areas of disagreement should be also noted. In the meeting the group should agree to a time frame for coming to an agreement on a list of priorities.

Our experience has shown that in most of the villages villagers have an intensive meeting on these issues and come to an agreement on the conflict issues. This is facilitated by the realisation that they can put their plans to practice and their is a likelihood of their plans being implemented in the same manner in which they are proposed. However in highly stratified situations more number of interactions are required before arriving at a consensus. It may be possible that consensus is not possible in a village. This shows that the village is not yet ready for preparing a village resource management plan. In such villages initiatives are left to the group which showed more interest in participating during the appraisal phase to convince others about agreeing to a village plan or initiating the implementation of the plan (those components on which there was agreement between the groups). The appraisal gets equity oriented in the process.

ix) Management Plans

Villages which have an agreement at this stage are able to identify activities they will be able to take as a part of the resource management plan. They are also able to identify the likely participants for each activity. At this stage discussions are initiated with the community on prioritisation of the options identified under the resource management plan. This leads to conducting shorter but intensive topical appraisal exercises with the community. These involve transect walks with the focus groups

concentrating in detail on the local solutions identified by th people. The focus is on the technical, management and financia aspects. New maps are prepared in some of these exercise resulting in critical analysis of the options available. It i often seen that within the options identified by the people as a option under the village natural resources management plan ther are a wide range of possibilities depending on the location technology, management aspects, scarcity of resources and th viability of the activity eg. a soil and water conservatio programme could be undertaken entirely using techniques tried ou and adapted by the people at a low unit cost and highe contribution from the community both in terms of management as wel as financial resources. Based on these exercises, villagers ar able to prioritise the various activities identified as a part o the natural resources management plan. At this stage appraisal i done on the following aspects.

- o whether the local solution found out is appropriate or it needs further investigation by outsiders
- o what are the various financial components of the activities proposed
- o what are the likely costs of taking up such an activity. Villagers are able to prepare reasonably accurate estimates of the costs if they have a prior experience of undertaking the activity. In some cases where the choice involves a new or a complex technology the outsiders might have to help in making a cost estimate
- o what are the likely benefits from these activities. How are the poor going to benefit. To what extent. Can the activity be redesigned in such a manner that it benefits the poor more
- o does the activity require high external investment. How much can the community contribute. In what form, labour, cash, kind or credit. Can community first take up activities which are low cost and are dependent on the internal expertise.
- o if the resources available are limited what choices should be made. What are the total resources required. How much will the community contribute
- o what would be the village institution framework for implementing the village natural resources management plan. How would the institution function and operate.
- o what would be the management responsibilities taken up by the village community and the village institutions

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- what training inputs the villagers would need and in which areas the village community is going to train the outsider professionals.

This process takes place in different villages at varying speed. There have been certain villages where the participatory appraisal and planning process takes less than a month and in some cases it can take six months after the village has gone through a number of intensive discussions between the community. These discussions are mostly carried out by the insiders who are interested in such a process taking shape and getting completed in their village.

This leads to a prioritised work plan of the village community and is always used by the community as a reference for any future discussion about the specific options.

x) Community Proposal

Depending on the activities identified by the community a simple proposal is generated by the community which indicates most of the aspects indicated earlier. This proposal is then shared with the external agencies which want to fund the implementation of the plan eg. AKRSP, Government, Banks etc.

This village natural resource management plan also becomes a future reference for monitoring and evaluation of the programme subsequently after the programme is implemented.

Output from this Approach

There are several outputs from this process:

- maps
- baseline information
- listing of priorities
- involvement of different groups of the village in the process
- opportunity identification matrix
- village natural resources management plan
- understanding potential conflicts between various groups in the village in implementing these priorities
- prioritised plan and proposal for identifying these priorities
- a common frame of reference for implementation, management, monitoring and evaluation of the programme

Current Problems Being Faced in PRAP

- excessive collection of information and a significant amount of qualitative information not being put to productive use

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- there is no effective mechanism for filtering data in the process of collection so that the data collected can be put to effective use

- the methods used need continuous innovation, otherwise they tend to generate problems related to structured questionnaires. PRAP is extremely useful for generating a participatory environment in which people are able to articulate their priorities and generate local solutions. This leads to an intensive process of community action. PRAP is essentially a catalytic process and should not be considered as the only process for community participation. It has to be integrated with the community interaction process and other processes

- mapping is more interesting for both insiders as well as outsiders. This may lead to a lesser focus on interviews, group discussions and other methods. A higher degree of integration between these methods is required to be maintained

- intensive efforts need to be made to introduce equity orientation towards women and the poor in this method also to avoid distortion.

- PRAP focuses more attention on the physical resources and lesser degree of emphasis is placed on the social aspects such as the social conflicts and their likely implications on the community action and the options identified by the people. This needs to be developed further in the PRAP approach. PRAP methodology at present is not helpful for conflict resolution which is very important for the development process in heterogenous societies.

Points for Trainers

- the trainers should first find out about the attitudes of the participants (villagers, NGO staff or other outsiders). Initially some exercise should be initiated which enables change of attitudes. Without this working on various methods will not be very effective

- trainers should ascertain the existing methods currently used by the outsiders and compare the quantitative and the qualitative aspects

- more time should be spent on field exercises and learning. Without doing this innovations would not be possible. The trainees should be encouraged to innovate and experiment until they develop their own framework for trying out this approach

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- we should not get carried away by sticks, rangoli and seeds. Focus should be on local innovations and people should be encouraged to develop local adaptations

- emphasis should be on the process observation in the training programmes both in the field exercises as well as during the mock exercises during the discussions. Once the process becomes learning oriented the techniques, methods and the approaches become more meaningful and effective.

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ANNEX I
ASSESSMENT OF SARHAD RURAL SUPPORT CORPORATION

A. Summary

The Sarhad Rural Support Corporation (SRSC) was established in 1989 as a Non-governmental Organization for promoting participatory rural development in selected regions of NWFP. Using AKRSP's participatory rural development approach and USAID/Pakistan provided funds, SRSC has thus far initiated 61 Village Organizations (VO) and 19 Women Organizations (WO) in Kohat and Charsadda districts. The long-term challenge for SRSC is to carefully nurture these village bodies into mature effective institutions undertaking diverse unsubsidized directly income generating, infrastructural, and social services related activities of common concern.

SRSC has barely passed its initial formatory stage and thus an evaluation of its performance, particularly the institutional dimension, may have to wait for some time. Meanwhile, it seems necessary that SRSC's management vigorously pursue, as an on-going learning process, continuous analysis and review of its current operations and future plans actively involving members of the Board of Directors, USAID/Pakistan, and selected rural development practitioners. It is, therefore, suggested that SRSC energize its Board of Directors, specify and document detailed plans for sustaining existing village institutions, experiment with alternative low cost participatory development approaches, and undertake a full assessment of its operations.

B. Background

1. Concept

The Sarhad Rural Support Corporation (SRSC), a product of collaborative efforts of the Government of NWFP, USAID/Pakistan, and Agha Khan Rural Support Program, was incorporated in 1989 under the Companies Ordinance, 1984 as a private company limited by guarantee and not having share capital with the general objective of promoting participatory rural development in selected regions of NWFP. The rural development framework of SRSC is founded on the AKRSP method of organizing village based resource development tested in Pakistan's Northern Areas[1]. The distinctive feature of this method lies in initiating village institutions through the incentive of one-time subsidized Productive Investment (PI) or Productive Physical

[1] For a detailed discussion of SRSC's approach, see SRSC, Project Proposal for Five Years, 1990.

Infrastructure (PPI) and subsequent nurturing of these institutions by providing technical and unsubsidized credit support. The short-term success of this approach can thus be gauged, among others, by the development benefits resulting from PI or PPI while the appropriate yardstick for measuring long-term success is the continual presence of effective village institutions sustaining the flow of benefits from initial investment and undertaking diverse unsubsidized directly income generating, infrastructural, and social activities of common concern.

2. Long-term Objective(s) and Strategy

The long-term objective of SRSC is to "facilitate rural economic growth by supporting the evolution of organized rural communities capable of carrying on their socio-economic development with improved managerial, entrepreneurial abilities and financial means"[2]. For realization of this objective, SRSC has developed a strategy which views program development activities in three formative, consolidation, and institutionalization stages. In the formative stage, the emphasis is on initiation of village institutions and savings; identification, planning and implementation of PPIs and PIs; development of management planning and financial skills; nurturing of community leaders; training to minimize farm production losses; and, on initiation of village based development planning. In the consolidation phase, SRSC plans to focus largely on technology transfer; development of credit system; training of educated unemployed and entrepreneurs; and, on linking village institutions with public sector development agencies and formal credit sources. The final institutionalization stage is visualized to be devoted to facilitate farming pattern shifts in favor of high value added agricultural activities; encourage cooperation amongst village institutions; and, to strengthen linkages between village institutions (or clusters thereof) and research, extension, and formal credit system.

3. Management and Staffing

SRSC is headed by a Chief Executive Officer who works under the conceptual guidance of a 13 member Board of Directors. The Chief Executive Officer is assisted by an expatriate Project Director and about 30 local professionals organized into four sections: Operations; Monitoring, Evaluation and Research; Technical; and, Financial and Administrative section. With the exception of Operations section, all positions of sectional heads are vacant at the present. The organizational structure and staffing positions are shown in attachment I.1.

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[2] SRSC, Proposed Strategy: Talk Given by Chief Executive Officer Mr. Javed Majid in the Board of Directors Meeting Held September 30, 1991, 1991.

4. Funding

In anticipation of approval of a "Setting-up Proposal" by USAID/Pakistan, SRSC started its activities in the first half of 1990 with a loan of Rs 800,000 from the AKRSP. USAID /Pakistan approved the "Setting-up Proposal" and released Rs 5,155,000 in June 1992[3]. USAID/Pakistan approved a $2 million grant under Tribal Areas Development Project (TADP) for SRCS's two years activities and, after clearance of the Government of Pakistan's Standing Committee on NGOs in December 1990, released funds in April 1991 through Winrock International. As of September 30, 1991, SRSC's sources of funds included USAID (96.9 percent), Canadian International Development Agency (1.8 percent), and Government of NWFP (1.3 percent).

C. Overview of Activities

1. Current Status

At the present the geographic coverage of SRSC'S activities is limited to Kohat and Charsadda districts. By September 1990, SRSC had helped establish in these districts functioning 61 Village Organizations (VO) and 19 women Organizations (WO) with a total savings of Rs 653,000 and Rs 83,000, respectively. These Organizations have implemented or are in the process of implementing a total of 27 agriculture, forestry, nursery, roads and poultry related PPIs or PIs at an average cost of around Rs 250,000 per project. The loan program has been initiated for production inputs and several loan requests for small businesses are being processed. Additionally, 55 Organization members have been trained in agriculture and livestock (especially poultry) to provide extension services within the villages on commercial basis.

2. Near-term Directions

There are at least five themes that are being currently discussed within the SRSC for the future: obtaining program funds from additional sources, notably other donors; strengthening linkages with public research, extension and development system; encouraging loan financed income generating activities; and, expanding the base of agriculture related technical manpower in the villages. These themes can be viewed as part of the overall strategy recorded at A.2. above.

[3] SRSC, First Financial Progress Report, 1990.

D. Preliminary Observations

Given the fact that SRSC is a new entity in the business of institutional development, a realistic assessment of its performance, particularly the institutional dimension, may have to wait for sometime[4]. A few tentative observations can nonetheless be offered at this stage. These observations are based largely on discussions with SRSC's staff, field visits, and performance indicators (attachment I.2) through September 30, 1991.

1. Staff Activities

a. Financial

i. Funding Sources

SRSC is at the present overwhelmingly dependent on USAID/Pakistan funds. It is, however, working to raise resources from three sources: private sector, Government of NWFP, and other donors. To raise funds from the private sector, SRSC has proposed to (i) constitute a committee of the members of the Board of Directors to contact local philanthropists and industrialists and (ii) to acquire the status of an association as described in section 42 of the Companies Act, 1984 which would enable private donors to claim income tax deductions for donations to SRSC. As regards the government of NWFP, SRSC has requested for a minimum of Rs 1.6 million for core support. On the front of other donors, SRSC is engaged in discussions with several donors including Dutch, Swiss, Asian Development Bank and IFAD for providing services to their selected rural development projects in NWFP. The final outcome of these efforts is uncertain at this stage although the SRSC's management expressed optimism particularly with regard to SRSC acting as a coordinator to Asian Development Bank funded Barani Area Development Project.

ii. Management Costs

A breakup of SRSC's actual and budgeted expenditures is available at attachment I.3. For the first three quarters of 1991, the core and development support costs accounted for, respectively, 39 and 31 percent of the total expended resources but are planned to drop to respective figures of 16 and 23 percent during the subsequent five quarter period. Thus over a two years period, core support costs are expected to be 23 percent and development support costs 25 percent of the total

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A USAID/Pakistan evaluation is planned for 1992. SRSC has also developed detailed terms of references for a joint USAID/Pakistan-SRSC review sometime in mid-1992.

outlay. While these numbers indicate a favorable planned direction of change, they, in the absence of a readily available comparable standard, are not sufficient to make a "high-low type" judgment on expense profile. It, therefore, appears appropriate to examine intensively SRSC's financial structure relative to development programs and compare it with corresponding data from other rural development non-governmental entities (particularly AKRSP) after making suitable adjustments for locational and programmatic differences.

b. **Technical**

SRSC has at the present a reasonable reservoir of social organizers supported by specialists in engineering, agriculture, livestock, and marketing. While in-house capacity in such areas as horticulture, forestry, economics, and agribusiness is needed, SRSC's long term development pattern necessitate establishment of effective linkages not only with public sector research, extension, and development institutions but also with private agribusinesses. A start in this direction has already been made and SRSC has obtained, in varying degrees, cooperation of Government of NWFP's Departments of Agriculture, Livestock and Forestry. These linkages needs to be strengthened and expanded over time.

2. Field Activities

a. **Incentives Delivery**

The PIs or PPIs serves as the principal entry instruments in the villages. These investments are identified by the recipients; designed by SRSC staff using a participatory approach; and, implemented by village institutions. Each investment is planned to maximize the spread of benefits across village institution members and is supported by simple cost-benefit calculations. The SRSC's cost-benefit computations indicate a generally high return which was found to be corroborated by the qualitative impressions of the recipients. An empirical impact assessment, however, is not possible at this stage because of data limitations. Suffice it to say that SRSC's mode of project planning and implemented should have generated, in addition to economic benefits, desirable organizational effects, especially in terms of upgrading the management and accounting skills of the village institutions. Further, SRSC's direct costs for civil works are believed to be lower than the costs incurred by the public sector agencies for similar quality work.

b. Institutional Development

By September 1991, SRSC had helped establish functioning 61 VOs and 19 WOs; only 6 VOs and 1 WO was formed and dissolved. On an average, these VOs and WOs represent, respectively, 70 and 80 percent of village households; 70 percent of VOS and 66 percent of WOs meet at least twice a month; and 20 VOs are undertaking productive activities without financial assistance from SRSC. These indicators portray a healthy performance in participation, functioning and local initiatives. It must, however, be highlighted that these village institutions have been prompted by the incentives provided by SRSC's grant assistance in PIs or PPIs and their sustainability is critically dependent not only on SRSC's support mechanism but also on linkages with public and private sector entities.

c. Support Mechanisms

At the present SRSC has barely passed the formative stage and is gearing to accelerate activities that could support and sustain the newly established village institutions. SRSC's current emphasis appears to be in three directions: expanding its loan programs; increased agricultural and management training to village activists; and, cooperative marketing of agricultural inputs and outputs. An assessment of the effectiveness of these mechanisms, some of which are already in place at a few villages, may have to wait for some more time.

E. Potential Role in Tribal Areas

SRSC approach to development in Kohat and Charsadda is not visualized to be generally applicable to activities in tribal areas because of strong regional differences in political, economic and social organization. The cadre of experienced social organizers that SRSC has can, however, be of invaluable assistance in experimenting with development thorough common interest group based institutions in tribal areas on a limited pilot bases. To this extent it is suggested that TADP treats SRSC as a potential resource group which could assist, on a case-by-case contractual basis, popular participation activities in the tribal regions.

F. Recommendations

a. Activate Board of Directors

SRSC's Board of Directors is comprised of distinguished rural development professionals, yet there is limited evidence of the Board members being actively involved in providing the needed conceptual guidance. Not only formal meetings of

the Board of Directors should be convened more frequently but the process of informal individual consultations should be vigorously pursued.

b. **Specify Development Plans for Existing Village Institutions**

The need to consolidate village institutions by strengthening linkages with SRSC's own technical staff and by promoting credit based activities is well recognized within SRSC. Also acknowledged is the fact that the links between the village institutions and SRSC should be so structured as not to create over-dependence of village institutions on SRSC and that the former should be encouraged to forge bonds with public sector development agencies and as well as private sector. However, this recognition has not found adequate expression in terms of implementation details in the overall strategy outlined at section A.2 above. It may be advisable to go beyond the framework of an overall strategy and identify and document in detail village institution specific potential medium and long-term development options for review by the Board of Directors, USAID/Pakistan, and selected core of rural development practitioners.

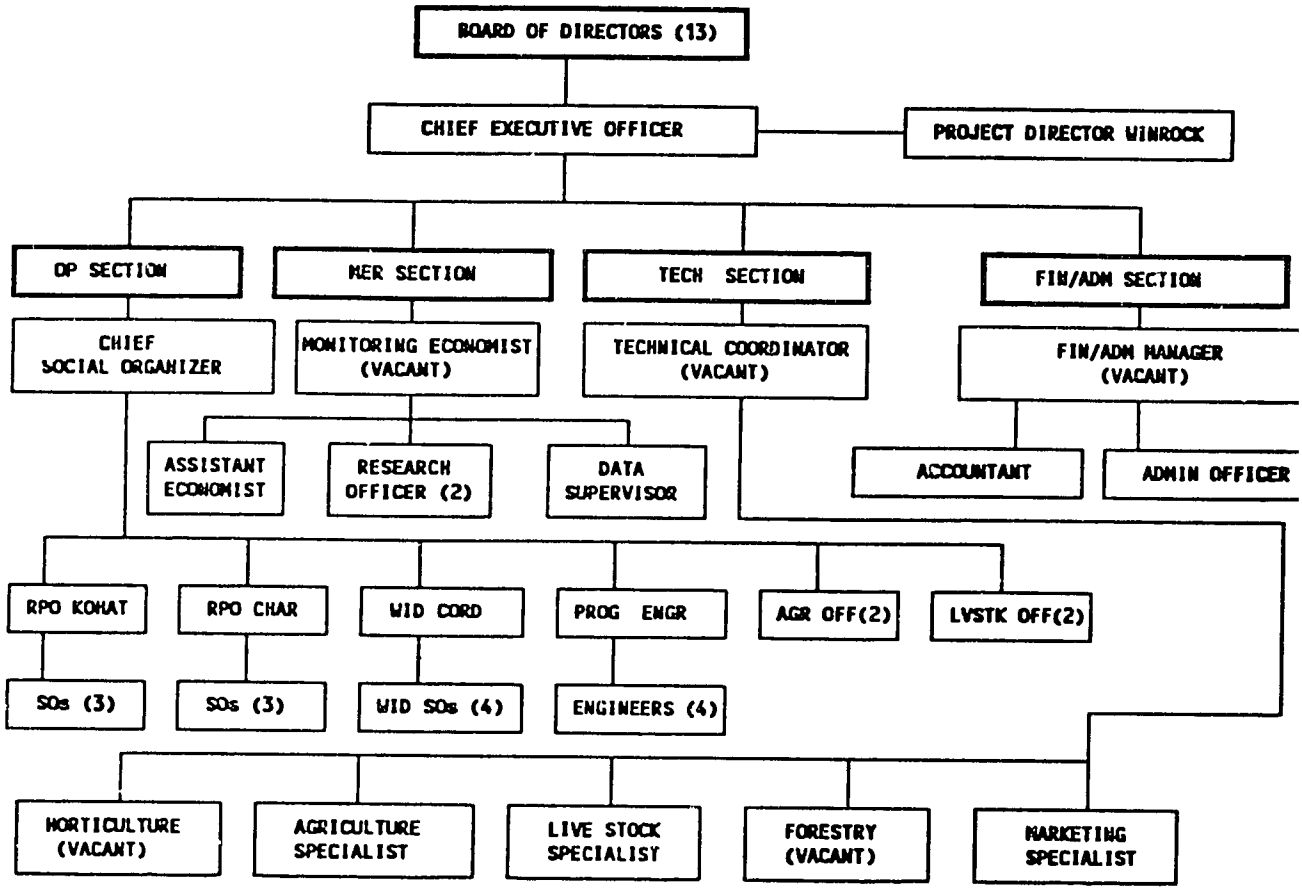
c. **Experiment with Alternative Low Cost Approaches**

SRSC, in conformity with its design mandate, has closely followed the AKRSP approach. Given the fact that Kohat and Charsadda are to a degree on a different socio-economic plane than the Northern Areas, it appears feasible to explore and test, on a pilot basis, alternative low cost development methods based on higher village resource commitment, private sector involvement, and/or credit.

d. **Conduct Assessment**

SRSC represents a hefty investment under TADP and increased efforts should be made by SRSC management as well as by USAID/Pakistan to protect this investment by guiding SRSC to move along a sustainable direction. Like all nascent organizations, SRSC is passing through a trial and error phase where its activities and plans needs to be continuously analyzed and reviewed. As a part of this on-going learning process, it may be useful that USAID/Pakistan and SRSC undertake a collaborative assessment geared to construct a clear horizon for the future.

ATTACHMENT I.1
ORGANIZATIONAL STRUCTURE OF SARHAD RURAL SUPPORT CORPORATION



ATTACHMENT I.2
SARHAD RURAL SUPPORT CORPORATION : PERFORMANCE INDICATORS

30 Sept-91
Page 1

SARHAD RURAL SUPPORT CORPORATION
PERFROMANCE INDICATORS

(Non-numerical Symbols: na - not applicable, nk - not known, ts - too soon)

			1990	1991	TO DATE	2 YR TARGET
		SRSC INSTITUTIONAL DEVELOPMENT				
1.		Critical Events Agenda				
2.		Board of Directors				
	a.	# Meetings Per Annum		2	2	4
	b.	% Participation by Members		71		
	c.	# Subst. Consultations/Month		3		
3.		% SRSC Funding from non-USAID		3.1		
		sources: %foriegn/%Pakistani		1.8/1.3		21/10
	a.	Rs. 000 from Private Sources				250
		VILLAGE ORGANIZATION DEVELOPMENT				
4.		# VOs/WOs Formed/Functioning	21/0	40/19	61/19	100/20
	a.	% VOs/WOs Meeting at least Two		70/66		75/75
		Times per Month				
	b.	% VOs/WOs Inactive				
	c.	# VOs/WOs Formed and Dissolved		6/1	6/1	
5.		Participation				
	a.	% Total Households Joining VO/WO		60/70		50
	b.	% VO/WO with member participation		na		50
		rates of 50% or higher				
6.		VO/WO Initiative				
	a.	% of VOs/WOs Undertaking One or				
		More Productive Activities		20/0		100
		Without SRSC Financial Input				
	b.	# of these Productive Activities		18/0	18/0	70
7.		VO/WO Cooperation				
	a.	% of VOs/WOs Undetaking Joint		ts		
		Productive Activities				
	b.	# Joint VO/WO Activities		ts		

Cont'd...

ATTACHMENT I.2
SARHAD RURAL SUPPORT CORPORATION: PERFORMANCE INDICATORS
(Continued)

SRSC: PERFROMANCE INDICATORS

			1990	1991	TO DATE	2 YR TARGET
8.		# of VO/WO Activists		29/10	29/10	200/60
	a.	% of VOs/WOs with Activists		48/53		100/100
		ECONOMIC DEVELOPMENT				
9.		SRSC-sponsored Productive Investments				
		# VO/WO PPI/PI Underway		19/7	19/7	70/15
	a.	Agriculture PPIs :# Irrigated and/or Land dev. /# Participants		14/1068	14/1068	
	b.	Forestery # PIs/# Participants		1/73	1/73	
	1.	Acreage/% trees surviving		100/40		
	c.	# Nursery PIs/# Perticipant		3/154	3/154	
	1.	# seedlings planted (000)/% sold		90/ts		
	d.	# L stock & Poul. PIs/# Participant		5/516	5/516	
	e.	Teriary roads: # roads/# km. compl		4/6.7		
	f.	Microenterprise PIs/# Participants				
10.		Savings and Credit				
	a.	Total VO/WO Rs. Savings (000)	12/na	653/83	653/83	2500/500
		1. Aver. Rs Savings per VO/WO (000)	.6/na	10.7/3.8	10.7/3.8	36/25
11.		VO/WO Social (i.e. Health) Activities				
	a.	# VO/WO under Preparation		0/2		
12.		Unsubsidized Productive Activities				
	a.	# Male/Female Packages under Research		5/3	5/3	
	b.	# Male Female Packages Dev. by SRSC		3/1	3/1	
		HUMAN RESOURCE DEVELOPMENT				
13.	a.	Village Specialists				
	b.	# Trained/% Working		55/nk	55/nk	180
		1. Average Monthly Rs. Earned per Male/ Female Specialist		nk		
	b.	Villagers Trained				750
		1.# Males/Females - Management Training		30/0	30/0	
	c.	# Per Person Training Days		15		

Source: Sarhad Rural Support Corporation, Peshawer.

ATTACHMENT I.3.

SARHAD RURAL SUPPORT CORPORATION: ACTUAL AND PLANNED EXPENDITURES

SARHAD RURAL SUPPORT CORPORATION Actual and Planned Expenditures						
	Actuals (Jan 1991-Sep 1991)		Planned (Oct 1991-Jan 1993)		Total (Jan 1991-Jan 1993)	
Expediture Head	Amount (Rupees)	Percent Share	Amount (Rupees)	Percent Share	Amount (Rupees)	Percent Share
Core Support	4,868,889	38.6	4,240,000	15.7	9,108,889	23.0
Development Program	7,745,681	61.4	22,701,700	84.3	30,447,381	77.0
PPIs/PIs	3,100,700	24.6	10,333,700	38.4	13,434,400	34.0
WID	0	0.0	1,500,000	5.6	1,500,000	3.8
Credit	200,000	1.6	2,600,000	9.7	2,800,000	7.1
R&D/Consultancy	192,304	1.5	1,068,000	4.0	1,260,304	3.2
Training	328,380	2.6	1,040,000	3.9	1,368,380	3.5
Dev Support	3,924,297	31.1	6,160,000	22.9	10,084,297	25.5
Total	12,614,570	100.0	26,941,700	100.0	39,556,270	100.0

Source: Sarhad Rural Support Corporaion, Peshawer.

SECTION IV

AGRICULTURAL DEVELOPMENT

Agriculture and related agribusinesses constitute a very major activity in traditional economies of tribal and Gadoon Amazai areas. These agrarian economies operate in an environment of scarce natural resource endowment and limited physical and human infrastructure to support rapid modernization of agriculture as well as non-agricultural activities. Yet to support a growing population with increased expectations of improved economic environment, it is imperative to optimize organization of scarce resources in agriculture. Again, a development strategy directed towards directly income generating sustainable activities necessitates a focus on agriculture which supports bulk of the population in tribal and Gadoon Amazai areas.

This Section of the study examines the agriculture related issues in tribal and Gadoon Amazai areas under four papers: Improving Agricultural Planning in TADP (Annex J), Improving Agricultural Planning in Gadoon Amazai (Annex K), Generating Irrigation Systems Benefits (Annex L), and Agribusiness and Small Scale Enterprises (Annex M).

The principal finding of the first paper, Improving Agricultural Planning in TADP, is that except for some improvements in the fruit subsector, agriculture in tribal areas remains traditional with limited linkages with the Provincial research, extension, and marketing systems. The paper concludes that for improving agricultural performance it is necessary to rely upon a mix of interventions involving the Government, the private sector, and the farmer. The principal recommendations are: implementing adaptive research in important producing areas; upgrading the extension capabilities of FATA/Agriculture; organizing a quality seed production program in association with progressive farmers; and demonstrating safe handling of pesticides. The paper also suggest studies in areas of institutional agricultural credit and fruits and vegetable marketing.

The second study, Improving Agricultural Planning in Gadoon Amazai, argues that while the policy of providing subsidized inputs has resulted in poppy eradication and in the introduction of new crops in Gadoon Amazai, it is important to consolidate these gains by expeditiously introducing a modern production technology package so that agricultural production can witnessed sustained increases even in the absence of subsidized inputs. The paper recommends introduction of adaptive research in

different ecological zones, development and dissemination of modern production technology, and a pilot project on poultry development.

The third study, Generating Irrigation Systems Benefits provides an overview of TADP irrigation activities and concludes that irrigation schemes, both surface and groundwater, have resulted in substantial benefits to the farmers in terms of increased cropped acreage and productivity. The study recommends that operating costs of electric tubwells should be borne by beneficiaries, water users associations should be formed to manage efficient use of water, and that training should be provided to farmers in water management.

The paper on Agribusiness and Small Scale Enterprises analyses the farm production, the input supply, and the output marketing segments of agribusiness and small scale enterprises. The paper recommends promotion of high value added fruit production; forestry and related industries; sheep and goat raising; poultry; and of tractor related implements such as chisel plough, land leveller and sub-soiler.

ANNEX J
IMPROVING AGRICULTURAL PLANNING IN TADP

A. Summary

This paper examines current status of supply of agricultural inputs, research extension and marketing in tribal regions and suggests measures to improve agricultural planning so as to assure increased production and productivity. The paper concludes that despite recent improvements, agricultural sector in the tribal areas has not as yet fully absorbed production technology available in settled areas of the NWFP. The paper, among others, recommends organizing quality seed production; implementing a research and extension program covering not cereals as well as horticulture; and, undertaking studies on the availability of agricultural credit and agricultural marketing in tribal areas.

B. Overview

In the tribal areas agriculture is totally in the private sector. Planning of agricultural activities and decision making is done by the farmer himself and there is little or no institutional setup to plan agricultural development as such. However the farmers do consult each other in respect of matters which are of mutual interest to them. However at times such consultations are held by the farmers with extension workers which may or may not be acceptable to the farmer.

Under the TADP, 11 surface water irrigation and 8 tubewell irrigation sub-projects were completed by 1991. This facility has helped in bringing an additional area of 1595 acres under cultivation, thus increasing the total cropped area from 3,187 to 6,349 acres. Simultaneously, the cropping intensity in the project area has also increased from 113 to 151 percent.

A short term research and extension program was undertaken in March 1990 to demonstrate improved management practices on fruit farming. The results obtained have shown that with the adoption of improved practices yields can be increased by 20 to 30 percent. It is expected that in due course of time these improvements would bring about change in the attitude of the farming community which would be eager to sustain this development and thus ensure a continuous flow of economic benefits. This would only be possible if all the closely associated areas of agricultural development such as research, extension, marketing and credit etc, are simultaneously improved. A summary analysis of the current status of these activities together with recommendations for future planning are given below.

1. Research

In the NWFP, 7 research institutes exist which are engaged in research on different aspects of agriculture. Out of these, the Agricultural Research Institute, Tarnab, established in 1908 is the premier institution which has played a significant role in the development of agriculture in the Province. The organizational set-up of this institute together with the areas on which research is being done is given in attachment J.1

Although the tribal areas have remained outside the jurisdiction of this institute in the past, yet recognizing the importance of agriculture in these areas, an adaptive research program on fruits and vegetables was started in June 1990 in the Agencies of Kurram, Orakzai and North and South Waziristan with the primary objective of introducing improved varieties of fruits and nuts and to develop area specific technologies for the management of orchards located in different places as well as for the training of the farmers. In the short time of this program the project has been able to establish modern orchards in different places where training of farmers in the improved practices in fruit farming with particular emphasis on nursery raising, budding and plant protection methods has been started. The project organization is shown in attachment J.2.

Under the TADP a short term research and extension program to demonstrate improved management practices such as training of fruit trees, control of pests and diseases, correct application of fertilizers and irrigation was started in March 1990 in collaboration with FATA/Agriculture. This program covered an area of only 300 acres in which 92 farmers participated. The results obtained have shown that with the adaption of improved practices yields increased by 20 percent to 30 percent in the demonstration orchards as compared with the control orchards.

These findings have established the need for organizing a similar program covering a much longer period and on a much larger scale. It is therefor recommended that based on these observations another program be implemented to include not only fruits, but also vegetables and cereal crops particularly wheat and maize which are the staple food crops of this area. This program should be implemented in collaboration with ARIT which is the premier research institute in NWFP. This program should also be restricted to included only the agencies of North and South waziristan, Kurram and Bajaur, to ensure that resources are not thinly spread.

The researchable areas on which special attention should be paid to meet the requirement of tribal areas for the development of horticulture are given in Attachment J.3.

Adaptive research at the local level has proved to be an essential component of technology transfer. It is therefore recommended that adaptive research farms on 2 to 3 acres be established in the important areas of fruits and vegetable production with the support of TADP resources. Connected with this is the rehabilitation of Robert's Farm. It is strongly recommended that action to rehabilitate this garden should be taken on priority basis, so as to make it a model farm for the dissemination of improved technology to the farmers.

There is lot of scope for introducing new crops like strawberries, cherries and pecan nuts particularly in Kurram agency. The possibility of their introduction in these areas should be explored.

2. Agricultural Extension

A short term agriculture research and extension program was implemented with TADP assistance in which extension services of FATA Agriculture were used. The present strength of the extension staff being very weak, it needs to be strengthened with additional man-power to improve their efficiency.

Although there is no one agreed model for measuring staff requirements for an effective extension service because of the varying requirements of different areas, yet it is considered that for every 2,000 farm families there should be atleast one Agriculture Officer, 5 Field Assistants and 10 field workers. The weakness of the existing extension service of FATA/Agriculture is evident form the fact that in South Waziristan, while the number of farm families is around 19,228 there is only 1 Agriculture Officer against the estimated requirements of 9. Similarly while the requirement of the field assistant is 48 there are only 11 field assistants working at present. The position of field workers in even worst. Against the estimated requirements of 96 field workers the available strength is only 20. This position would adversely effect the efficiency of extension workers to the disadvantage of the farmers.

It is recommended that requirements of different categories of extension staff should be realistically worked out by FATA Agriculture for approval of the competent authority. Without increasing the strength of extension workers in FATA/Agriculture the successful implementation of the proposed long term extension program under TADP would remain doubtful.

At the present time, when technological changes are occurring at a rapid pace their quick dissemination to the farmers is very important. The old method of disseminating information through leaflets will not be effective, particularly when the literacy rate in the tribal areas is very low. A more effective way of doing this will be the use of audio-visual tapes specially prepared to cove different aspects of agriculture. This method is, therefore, strongly recommended.

The program of establishing 240 model orchards on farmers fields is justified. It is recommended that the number of vegetable demonstration plots presently proposed at 200 only should be increased to at least 400, in view of the fact that vegetables are grown on an area of 10,000 acres annually and the location of this area is highly scattered.

In order to help farmers to improve vegetable production, it is planned to distribute 400 to 500 packets of seed. Since the use of quality seed plays an important role in increasing production, it is recommended that atleast 2000 packets of quality seed be distributed annually at a subsidized price of 50 percent.

Training of farmers can be of direct benefit to them. It has been planned to provide this training to 2,000 farmers in three years. This is however, inadequate considering the fact that at least 175,000 farmers are estimated to be directly involved in farming. In order to make an impact of this program, it is recommended that the training program be extended to at least 4,000 farmers every year. This program should cover the following areas:

- seed bed preparation;
- sowing and planting of seeds and plants;
- lay out of orchards;
- training and pruning of deciduous plant;
- application of fertilizer and irrigation;
- spraying of plants and operation and maintenance of spraying equipment; and
- safe handling and application of pesticides and weedicide.

Training of farmers should be organized by the extension department of FATA/Agriculture and should be given by subject matter specialists to be taken from ARIT.

To improve the efficiency of extension workers an in service training program should be started by FATA Agriculture on regular basis.

Women also perform a number of agricultural operations and contribute towards improving household incomes. It is therefore recommended that special arrangements be made for their training for which the assistance of the Provincial Fruit and Vegetable Development Board already engaged in these activities should be obtained. This training should particularly include the following areas:

- kitchen gardening;
- harvesting of crops;
- grading of fruits and vegetable;
- processing of fruits and vegetable;
- poultry farming; and
- bee keeping.

3. Agricultural Credit

Credit plays a crucial role in the modernization of agriculture by raising the participation of small farmers in the development process. The main sources of institutional credit are the Agriculture Development Bank of Pakistan, the Cooperatives and the Commercial Banks. In the tribal areas, however, ADBP is the only source for supplying institutional credit. The two main types of institutional lending to the agriculture sector are the production loans and the development loans. Production loans are given for a short period mainly for the purchase of fertilizer, seed and pesticides. The development loans which are defined as medium and long term credit are meant to finance the purchase of tractors, tubewells, pumps and other agricultural equipment given for a period varying from 1-10 years. The disbursement of production and development loans in FATA for financial year 1980 to FY 1990 is given in attachment J.4. It shows that while the disbursement of development credit increased from Rs 0.845 million in 1980 to Rs. 46.345 million in the ten year period

ending 1990, the disbursement of production loans decreased from Rs.0.572 million in 1980 to a meager amount of Rs.0.066 million. A classification of these loans by items for which the credit was taken is given in attachment J.5. This analysis confirms the fact that virtually a negligible amount was spent on the purchase of inputs and most of the credit was obtained for dairy farming, purchase of tractor and for agro-based industries. In analyzing information about the extent to which credit is used, it has emerged that the availability and use of credit for production purposes is negligible which is a serious matter, as this would hamper the adoption of improved technology on which all the emphasis is being placed. A number of factors such as economic inability of the farmer to repay the loan, short period for which the credit is given and the small amount of the credit offered, appear to be some of the reasons for the drop in the use of production credit. It is therefore recommended that an assessment be made about the use of institutional credit that is provided by ADBP.

4. Supply of Inputs

The existing position with regard to supply of fertilizer and seed is discussed in the following paragraphs.

In the case of fertilizers, in addition to the private sector, other agencies involved in the sale of fertilizer are the National Fertilizer Corporation, an organization of the Government of Pakistan, Fauji Fertilizer and Dawood Hercules. These agencies supply about 19 thousand MT of fertilizer annually through their agents located at different places in the tribal Agencies. Therefore, the major role in the marketing of fertilizer is played by the private sector which buys fertilizer from wherever it is available, and sell it in the consuming areas. However, the availability of fertilizer in the tribal areas does not present any major difficulty.

As regards supply of seed, the existing arrangements are highly unsatisfactory. The farmers either retain their own seed or buy it from the market, without any guaranty of its quality. FATA/Agriculture annually distributes about 5-6 thousand maunds of quality wheat seed of improved varieties to the farmers. Against this the annual requirements are estimated at 26,000 maunds. Therefore this program has not effectively served the purpose. It was reported by the Director Agriculture, that because of limited supply of quality wheat seed from ADA, they have not been able to increase this supply. While this situation is likely to continue in the future as well, it is recommended that FATA/Agriculture should organize seed multiplication and distribution program in association with progressive farmers who may be registered for the purpose. These farmers should be supplied foundation seed of improved varieties for multiplication. To avoid any financial involvement the seed producers should be allowed to sell the seed directly to the farmers at market price. A small

amount of premium may be given to the seed producers in the form of subsidy. A beginning may be made with wheat to be gradually extended to include maize and vegetables, when enough experience is gained in seed production.

5. Plant Protection

A serious problem of damage by pests and diseases particularly in fruit and vegetables exists in all the producing areas. Although FATA/Agriculture is doing the sale of sprayer and pesticides and also performing actual spraying on crops yet on account of limited staff available with the department the coverage is inadequate. For instance in 1991 the department was able to provide plant protection coverage to 17,000 acres which represents only 14 percent of the cropped area, this is inadequate and should be increased.

FATA/Agriculture is also implementing a scheme for the supply of hand sprayers at subsidized rates. Under this scheme 300 to 400 hand sprayers were sold in 1991. The farmers have recognized the value of providing plant protection coverage to crops particularly on fruits and vegetables and therefore have started spraying their own corps. The present scheme of supplying subsidized sprayers has proved useful. It is therefore recommended that this program should be continued and gradually expanded in the future years.

Plant protection activity being in the private sector a large variety of pesticides have come in the market about which the farmers are not usually aware. It is recommended that practical demonstrations of plant protection measures should be organized at the farmers fields to demonstrate safe handling and application of pesticide.

6. Agricultural Marketing

It is universally recognized that an efficient marketing system not only increases the availability through minimizing the losses between production and consumption but also ensures better returns to the farmer. The prevailing marketing system in the tribal area is in a highly miserable position. It suffers from a number of deficiencies, such as inadequate transport facilities, lack of proper storage, high marketing costs and inadequate market information that is available to the farmers. It is recommended that an in depth study on the subject be undertaken to cover all important aspects of marketing as indicated in attachment J.6. This study should be confined to fruits only to be followed by another study on the marketing of vegetable in the tribal areas.

C. Summary of Principal Recommendations

1. Research

- A short term research and extension program was implemented under TADP to disseminate improved technologies. In the project area yield increased by 20 to 30 percent. A long term program on a large scale should be implemented to include not only fruits but also vegetables and cereal crops.

- Adaptive research farms on 2 to 3 acres should be established in the important producing areas.

2. Extension

- The existing capabilities of extension staff of FATA/Agriculture both in terms of manpower and facilities need to be improved.

- The program of establishing vegetable demonstration plots should be increased to cover the main vegetable growing areas.

- The program of training of farmers should be extended to 4,000 farmers every year.

- Arrangement should be made for the training of women with the help of audio-visual tapes particularly in the grading of fruits and vegetables and their processing.

3. Agriculture Credit

The use of agricultural credit for production purposes in the tribal areas is very meager. This situation is likely to adversely effect the adoption of improved technology. An assessment should be made about the use of institutional credit that is provided by ADBP.

4. Supply of Inputs

Current position in regard to the supply of good quality wheat seed is highly unsatisfactory. FATA agriculture should organize quality seed production in

association with progressive farmers whom foundation seed of improved varieties should be supplied for multiplication.

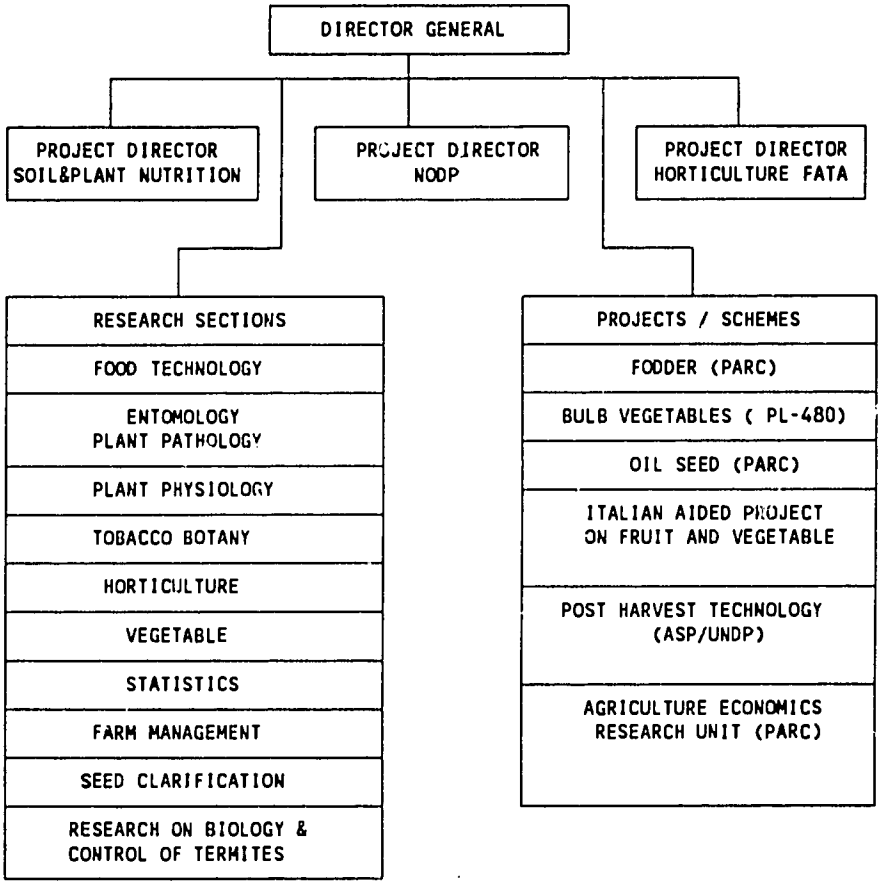
5. Plant Protection

- The scheme for the supply of hand sprayers at subsidized prices should be continued.
- Practical demonstration of plant protection measures should be organized at the farmer's fields to demonstrate the safe handling and application of pesticide.

6 Agriculture Marketing

The prevailing marketing system in the tribal areas is highly miserable. An in depth study on the subject should be undertaken to cover all aspects of marketing. This study will be helpful in preparing development projects in this area.

ATTACHMENT J.1
EXISTING STRUCTURE OF AGRICULTURAL RESEARCH INSTITUTE, TARNAB



ATTACHMENT J.1
FIELDS OF ACTIVITIES OF AGRICULTURAL RESEARCH INSTITUTE, TARNAB

A. HORTICULTURE

- Evaluation and introduction of imported promising scion and rootstock varieties of deciduous and non-deciduous fruits.
- Study and control measures of diseases/insect/pests of fruit plants;
- Effect of growth hormones, fertilizers, pruning and plant density of fruit production and quality.
- adaptive research on fruits in FATA.
- training of farmers and extension staff in modern orchard management.

B. FOOD TECHNOLOGY

- Development of new processes and techniques for the preservation of fruits and vegetables.
- Research on varietal suitability, storage and intermediate changes occurring during the cold storage of fruits and vegetables.
- Research on protein enriched as well as cheap foods and sources.
- Process development for cannery wastes;
- advisory services to food processing industry and providing training facilities in home scaled food preservation.

C. SOIL SCIENCES

- Study on soil fertility problems.
- Determination of major and minor elements nutrition for agricultural crops grown in NWFP.
- Study on nutrient elements mobility in soils and plants.

- Research on residual effects of P & K in the soil.
- Reclamation of salt effected and problem soils through biological and chemical methods;
- Extension of advisory service to farmers on soils and water problems;
- Collaborated Research programs with NFDC and PARC.

D. BIO-CHEMISTRY

- To help the researchers in the bio-chemical analyses of their produce such as fruits, vegetables, cereals and oilseeds for quality assessment.
- To find out efficient strains of nitrogen fixing bacteria for different legumes crops.

E. PLANT PATHOLOGY

- Identification and investigation of life cycles of causative organisms of diseases of various crops.
- Chemical and biological control of crop diseases.
- Screening of germplasm of crops for disease resistance.
- Advisory service to farmers on controlling diseases of fruits, vegetables and crops.

F. ENTOMOLOGY

- Identification,life study and history of different insects and pests of fruits, crops and vegetables.
- Advisory services to farmers on controlling insect pests of various crops.
- Beekeeping and bee management;

G. PLANT PHYSIOLOGY

- Research on weedicides and weed science with special emphasis on crops fruits and vegetables.
- Study of plant growth regulators on crops, fruits and vegetables.

H. SEED CERTIFICATION

- Study on quality seed production of cereals, oilseeds, pulses and legumes.
- Research on artificial drying of food grains and seed quality.
- Feasibility studies on artificial drying of maize seed.
- Viability studies on various seeds including apple and peach seed/stones.

I. TOBACCO BOTANY

- This section is being converted into Fodder Section where research on Fodder crops will be conducted. At present, the staff is engaged in adaptive research on oilseeds.

H. STATISTICS

- This is a supporting Unit for data analysis, experimental designing and planning for various workers and research units.

ATTACHMENT J.2
PROJECT SET-UP

Project Incharge	Dr. Saifullah Khattak Project Director (Hort) FATA
Project Entomologist	Mr. Mohammad Suleman, M.Sc (Hons) Entomology
Project Plant Pathologist	Mr. Mohammad shah, M.Sc. (Hons) Plant Pathology
Project Horticulturist Kurram Agency	Mr. Saffar Ali M.Sc. (Hons) Horticulture
Project Horticulturist Orakzai Agency	Mr. Mohammad Rafique M.Sc. (Hons) Horticulture
Project Horticulturist North Waziristan Agency	Mr. Khan Sherin M.Sc. (Horticulture)
Project Horticulturist South Waziristan Agency	Mr. Mohammad Amin M.Sc. (Horticulture)

ATTACHMENT J.3
AREAS OF RESEARCH

- Evaluation and introduction of improved varieties of deciduous and non deciduous fruits.
- Study the scope of introducing cherries, strawberries and pecan nuts particularly in Kurram Agency.
- Study fertilizer requirement of different fruit to prepare recommendation for use by the farmers.
- Study the effect of micro nutrients on the production and quality of fruits.
- Study to develop appropriate methods for the training and pruning of deciduous fruits.
- Study water requirements of fruit plants and develop appropriate irrigation practices.
- Develop package of technologies for the management of orchards both new and old.
- Study this control methods of pests and disease particularly codling moth and fruit fly.

ATTACHMENT J.4
PRODUCTION AND DEVELOPMENT CREDIT DISBURSE BY ADBP DURING FISCAL YEARS 1980-1990

(Rupees in Million)

Year	Production Loans	Development Loans	Total
FY'80	0.572	0.845	1.417
FY'81	0.083	6.545	6.628
FY'82	0.010	8.155	8.165
FY'83	0.000	4.632	4.632
FY'84	0.010	7.675	7.685
FY'85	0.009	23.463	23.472
FY'86	0.009	36.496	36.505
FY'87	0.021	35.768	35.789
FY'88	0.028	51.211	51.239
FY'89	0.125	59.457	59.582
FY'90	0.066	46.345	46.411

ATTACHMENT J.5
GENERAL CREDIT DISBURSED BY MAJOR PURPOSES BY ADBP DURING FISCAL YEARS 1980-1990

(Rupees in Million)

Year	Seed	Ferti-lizer	Pesti-cides	Draught Animals	Dairy Farming	Poultry Farming	Fishries	Tubewell	Tractors	Others	Total
FY'80	0.000	0.000	0.000	0.232	0.000	0.000	0.000	0.000	0.560	0.625	1.417
FY'81	0.000	0.000	0.000	0.362	0.046	0.000	0.000	0.000	5.487	0.733	6.628
FY'82	0.000	0.000	0.000	1.216	0.450	0.000	0.000	0.000	4.739	1.760	8.165
FY'83	0.000	0.000	0.000	0.836	0.999	0.066	0.000	0.000	1.084	1.647	4.632
FY'84	0.000	0.008	0.002	0.010	2.211	0.319	0.000	0.000	1.908	3.208	7.666
FY'85	0.002	0.003	0.000	0.000	0.000	4.339	0.000	0.000	9.001	10.127	23.472
FY'86	0.000	0.009	0.000	0.000	6.287	1.462	0.000	0.000	9.932	19.815	37.505
FY'87	0.000	0.000	0.000	0.000	5.990	0.908	0.000	0.000	4.092	24.799	35.789
FY'88	0.000	0.000	0.000	0.000	10.150	1.232	0.000	0.000	11.685	28.172	51.239
FY'89	0.077	0.048	0.000	0.000	14.298	0.600	0.050	0.000	11.668	32.841	59.582
FY'90	0.008	0.009	0.001	0.000	11.426	0.162	0.025	0.000	8.971	25.809	46.411

ATTACHMENT J.6
MAJOR AREAS FOR STUDY ON MARKETING

- Existing system of Marketing fruits
- Marketing costs
- Marketing margins
- Price fluctuation and how these can be controlled
- Assessment of storage and transportation facilities
- Standards of quality for grading of fruits
- Packing of fruits to meet local and export requirements
- Regulatory action to curb exploitation of producers
- Establishment of marketing intelligence service

ANNEX K
IMPROVING AGRICULTURAL PLANNING IN GADOON AMAZAI

A. Overview

The Gadoon Amazai, a vast tract of barren hills is spread over an area of 215 square miles and lies in the North of the famous Tarbela lake. It consists of seven Union Councils of which four are situated in the Swabi District, two are in the Haripur District and one in Buner District. The population of the area is estimated at more than 125,000 people. Before 1953 the entire area was a tribal belt where people lived under extreme conditions of poverty. Their only source of income was selling the forest wood, honey and livestock. When their economic condition started deteriorating, they turned to poppy cultivation so as to maximize their income. Consequently poppy cultivation started increasing gradually and by 1987 it covered an area of about 9,000 acres. The rapid spread of this menace crop became a serious concern for the GOP who decided to check its cultivation legally. Accordingly, in 1979 Hadd Ordinance was promulgated banning poppy cultivation in the area. However, in the absence of any alternative sources of income provided to the poppy growers, the law was not strictly enforced until a poppy substitution program based on income generation was prepared for implementation. It covered various sectors of the economy such as agriculture including forestry and livestock development, electrification and education etc. The detail of various sectors included in the program together with the analysis of expenditure incurred up to September 1991 is given in Attachment K.1.

B. Agriculture

In the agriculture sector poppy substitution program aimed at the development of agriculture with emphasis on the improvement of crop yields, introduction of high value crops such as fruits and vegetables, afforestation and livestock development so as to improve farm income and develop additional sources of income generation.

Under the crop improvement program free wheat seed was supplied at the rate of 40 Kg per acre with free supply of 2 bags of fertilizer with the condition that this facility would be provided to the beneficiary only for a period of three years. At the start of the program in 1984/85 an area of 4,500 acres was covered which has gradually expanded to cover the entire cultivated area of Gadoon Amazai. Details of the wheat seed support program showing the number of beneficiaries and the quantity of wheat seed and fertilizer distributed during 1984-1991 is given in attachment K.2.

Under the demonstration program nearly 6,728 trails were laid in the project area during 1984-1991, on an area of 8,700 acres benefiting about 10,000 farmers with improved technology. In this program while all the principal crops grown in the area were covered, particular emphasis was placed on the introduction of high value crops like off season tomatoes, potatoes, onion and peas etc. The crop improvement interventions made a visible impact on agricultural development of this region and on crop substitution. Area under wheat increased from 12,137 acres during the project period to 26,000 acres in 1990 which shows an increase of 58 percent. Wheat yield increased from 460 Kg per acre to 900 Kg per acre an increase of about 100 percent. A development of special significance was that wheat seed of HYV reached all most all farmers of the area.

In the case of maize the project efforts were concentrated on the introduction of high yielding synthetic varieties which now occupy about 65 percent of the total area under this crop, the total area under maize increased from 16,541 acres during the pre-project period to about 21,000 acres now showing an increase of 27 percent. The yield of maize has increased from 600 kg per acre during the pre-project period to the current yield of 950 Kg per acre an increase of around 58%. A major effort in crop diversification was the introduction of high value vegetables in this area. Despite, its being a new venture farmers have picked up the cultivation of vegetable under which the area increased from 98 acres to 1,000 acres, by 1990.

In the horticulture sub-sector the development criteria was based on the selection of farmers owning at least one acre of irrigated land with an additional condition that the beneficiary would ensure plant survival rate of at least 65 percent. For the planting of these orchards, 50,000 plant were distributed free of charge. In addition every participating farmer was paid a subsistence allowance of Rs. 750 per month. As a result of these endeavors 1,334 fruit orchards were planted which covered an area of 1,050 acres. Most of the orchards are of citrus, plums, pears and of other deciduous fruits. The plant growth in most of the orchards is excellent and more than 200 of these orchards have already started bearing. It is expected that in a few years these orchards would reach the full bearing stage thus creating another important source of income generation.

As a result of these development effect coupled with enforcement activities poppy cultivation, which once occupied an area of about 9,000 acres has been completely eliminated and this areas has been diverted to the cultivation of cereal crops fruits and vegetables. This is an achievement of no small means. However, the major problem at the present is to continually achieve productivity gains so that the real income in the farming sub-sector is maintained, if not improved.

In Gadoon Amazai, under the agro-climatic conditions prevailing in the area, a major role to sustain agricultural growth will be played by the timely availability of basic inputs and improved technologies. While the availability of inputs like seed, fertilizer, pesticides etc. would present no difficulty, it is the availability of area specific technology to the farmer that needs to be improved. The present interaction between the extension service working in the project area and the Provincial Research Institute is very limited because of administrative arrangements. It is recommended that this linkage be improved so that both organizations work together to help the farmers in technical matters. Much of the reliance for developing area specific technology will have to be placed on the Agricultural Research Institute Tarnab whose own resources to buy equipments and other essential facilities are limited. It is therefore recommended that adequate financial resources should be provided to the Institute to undertake research on the problem that are common in the area, and with which the farmer is most concerned. It is further recommended that adoptive research farms should be established in different ecological zones of the area where special programs for the education of the farmers should be organized by the subject matter specialists.

In the development efforts made under the project there has been a great deal of community participation which is evident from the fact that seed fertilizer technology has widely spread in the area. Their participation in such development activities future would therefore present no problem.

1. Forestry

The entire Gadoon Amazai area was once a major source of wood production but as a result of indiscriminate cutting of trees with out any replacement, the area has almost become completely barren, endangering the echo system of the region. With a view to improving this condition, two afforestation attempts were made, once in March 1987 when an area of 3,650 acres was planted on 360 plots of 4 to 12.5 acres each. The participating farmers were paid Rs. 1.50 per plant and each land owner was paid Rs 750 per month as a care taker pay. Almost on similar condition another attempt was made in 1990 with the change that the size of the blocks was changed to include 20 blocks of 100 acres each. The survival rate of the first plantation counted after 20 months of planting was only 28 percent. In the second attempt the survival rate after one and one and a half month was about 40 percent but it soon decreased between 20 and 32 percent again the required survival rate of 70 percent. Consequently both effort did not succeed. The various reasons attributed to this situation were lack of interest of the participating farmers who continued to get the financial benefits despite their failure to maintain a minimum survival rate of 70 percent according to the agreement. There was also lack of

interest on the part of the line department staff who were not paid any thing extra for this work which was contrary to their expectations. Although the local community has now shown some interest to replant the area with their own efforts yet it is recommended that the decision taken by USAID to hand over the project to the Forest Department with the balance of the financial resources allocated for this project, who may peruse it further with the involvement of NGO's be implemented.

2. Livestock

In order to develop the livestock of this area a project was prepared but it was not implemented excepting the provision of veterinary cover. Poultry production has lot of scope of development in this area. It is recommended that a demonstration type pilot project on poultry development should be implemented by the Animal Husbandry Department who should be helped in this project.

C. Recommendations

1. Agriculture

- With complete elimination of poppy cultivation from the Gadoon Amazai Area, the main objective of the Project has been achieved. Sustained agriculture development can be achieved through the regular supply of area specific economically viable technologies to the farmers.

- Present linkage between research and extension being is weak and should be improved to ensure that technical research is actually transmitted to the field.

- Adaptive research farm should be established in different ecological zones of the area where special programs for the education of the farmers should be organized by subject matter specialists.

2. Forestry

The forestry project despite all efforts has not succeeded. It should be passed on to the Forestry Department who may peruse it further with the help of NGOs.

3. Livestock

Poultry production has lot of scope in the area. A pilot project on poultry development should be implemented by the Animal Husbandry Department who should be helped to organize this program.

BEST AVAILABLE DOCUMENT

ATTACHMENT K.1
NWFADP (GADOON-AMAZAI COMPONENT): ANALYSIS OF PC I AGAINST ACTUAL

S.NO	Description	Total Expenses up to Sept. 30, 1991 Rs.	balance Budgeted Amounts for 1990 Rs.	Total Rs.	%	Actual Phase I Rs.	Phase II PC-I Figures Rs.	Total Phase I & II Rs.	Original PC-I %
	Direct Expenses Including Salaries								
1.	Infrastructure Program	149,435,168	51,819,872	201,255,040	34.95%	87,926,187	29,709,012	117,635,199	16.64%
2.	Roads	63,634,805	58,957,010	122,591,815	21.29%	82,105,251	62,849,705	144,954,954	20.50%
3.	Electrification	16,947,032	5,558,463	22,505,495	3.91%	9,471,004	43,545,043	53,016,047	7.50%
4.	Agriculture Program	96,408,469	(12,659,062)	83,749,407	14.54%	49,382,021	9,075,661	58,457,882	8.27%
5.	Training Program	34,948,667	(900,374)	34,048,293	5.91%	23,089,555	36,882,540	59,972,095	8.43%
6.	Forest Program	17,294,479	1,769,724	19,064,203	3.31%	13,052,764	16,109,265	29,162,029	4.12%
7.	Animal Husbandry	5,926,595	(989,508)	4,937,087	0.86%	3,563,963	580,794	4,144,757	0.59%
8.	Non-Formal Education	6,621,501	(273,084)	6,348,417	1.10%	3,236,307	4,999,320	8,237,629	1.17%
9.	Job Placement	282,833	143,993	426,826	0.07%	185,587	0	185,587	0.06%
	Total Direct Expenses	391,499,549	103,427,034	494,926,583	85.95%	272,014,639	203,751,540	475,766,179	67.32%
10.	Indirect Operating Expenses	22,373,678	(4,629,700)	17,743,978	3.08%	11,107,951	97,208,640	108,316,591	15.32%
A.	Office Equipment	774,990	299,190						
B.	Project Personnel Salaries	10,610,001	(2,570,075)						
C.	PCU Utilities & Misc. Exp.	2,467,190	(109,142)						
D.	Vehicles Maint. & Repair	5,116,554	(917,324)						
E.	Building Maint. & Repair	3,404,943	(1,432,349)						
F.	External Audit	0	100,000						
	Total Project Expenditure	413,873,227	98,797,334	512,670,561	89.03%	283,122,590	300,960,180	584,082,770	82.61%
11.	Technical Assistance	57,672,499	5,468,638	63,141,137	10.97%	47,838,800	38,065,280	85,908,080	12.15%
12.	Contingency	0	0	0	0.00%	0	37,083,600	37,083,600	5.24%
	Grand Total	471,545,726	104,265,972	575,811,698	100.00%	330,961,390	376,113,060	707,074,450	100.00%

ATTACHMENT K.2
NWFADP (GADOON-AMAZAI COMPONENT): WHEAT SUPPORT DISTRIBUTION PROGRAMS, 1984-1991

CROP YEAR	UNION COUNCIL	# OF FARMERS	ACRES	WHEAT SEED BAGS	WHEAT SEED TONS	UREA BAGS	UREA TONS	D.A.P. BAGS	D.A.P. TONS	TOTAL EXPENSES IN RUPEES
84/85	GANDAF	3,102	4,500.00	2,000	180.00	4,500	225.00	4,500	225.00	1,659,926.00
84/85	TOTAL	3,102	4,500.00	2,000	180.00	4,500	225.00	4,500	225.00	1,659,926.00
85/86	KARGAHI	261	618.00	278	25.00	618	309.00	618	309.00	252,332.00
85/86	TOTAL	261	618.00	278	25.00	618	309.00	618	309.00	252,332.00
86/87	PATIGALI	1,816	2,320.00	1,031	92.80	2,320	116.00	2,320	116.00	1,159,404.53
	GANICHAIRA	152	485.25	216	19.44	485	24.26	485	24.26	242,500.45
	GANDAF	957	3,507.75	1,557	140.31	3,508	175.38	3,508	175.38	1,752,974.67
	GARASHI	20	64.25	28	2.52	64	3.12	64	3.12	32,108.51
	KARGAHI	490	1,857.75	826	74.34	1,858	92.88	1,858	92.88	928,398.18
	NAGRAI	2,100	6,500.00	2,889	260.00	6,500	325.00	6,500	325.00	3,248,331.66
86/87	TOTAL	5,535	14,735.00	6,549	587.41	14,735	736.84	14,735	736.84	7,363,718.00
87/88	GANDAF	2,015	5,436.00	2,718	244.62	5,436	271.80	5,436	271.80	2,583,730.80
	KARGAHI	1,673	5,741.00	2,870	258.35	5,741	287.05	5,741	287.05	2,728,697.30
	GANICHAIRA	1,302	3,816.00	1,908	171.72	3,816	190.80	3,816	190.80	1,813,744.80
	GARASHI	1,305	2,835.00	1,418	127.57	2,835	141.75	2,835	141.75	1,347,475.50
	HAFA	1,567	2,524.00	1,262	113.58	2,524	126.20	2,524	126.20	1,199,657.20
	PATIGALI	2,310	3,452.00	1,726	155.34	3,452	172.60	3,452	172.60	1,640,735.60
	NAGRAI	1,797	6,501.00	3,251	292.55	6,501	325.05	6,501	325.05	3,089,925.30
87/88	TOTAL	11,969	30,305.00	15,153	1,363.73	30,305	1,515.25	30,305	1,515.25	14,403,966.50
	SUB.TOTAL	20,867	50,158.00	23,980	2,158.14	50,158	2,785.89	50,158.00	2,785.89	23,679,942.50

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ATTACHMENT K.2
NWFADP (GADOON-AMAZAI COMPONENT): WHEAT SUPPORT DISTRIBUTION PROGRAMS, 1984-1991
(Continued)

CROP YEAR	UNION COUNCIL	# OF FARMERS	ACRES	WHEAT SEED BAGS	WHEAT SEED TONS	NITROGENOUS FERTILIZER BAGS	NITROGENOUS FERTILIZER TONS	TO EXPE IN R
88/89	GANDAF	2.669	4.547.00	2.020.89	181.88	4.547.00	227.35	1.330
	KARGANI	2.662	7.177.00	3.189.78	287.08	7.177.00	358.85	2.899
	GANICHAIRA	1.373	3.420.00	1.520.00	136.80	3.420.00	171.00	1.000
	GAPASHI	2.160	4.369.00	1.941.78	174.76	4.369.00	218.45	1.278
	NARA	2.138	3.012.00	1.338.67	120.48	3.012.00	150.60	881.
	BATTGALI	2.664	3.808.00	1.692.44	152.32	3.808.00	190.40	1,114.
	NAGRAI	1.768	6.501.00	2.889.33	260.04	6.501.00	325.05	1.902.
	SUB.TOTAL	15.430	32.834.00	14.592.89	1.313.36	32.834.00	1.641.70	9.606.
89/90	GANDAF	2.854	4.541.00	2.018.22	181.64	4.541.00	227.05	1.204.9
	KARGANI	2.855	7.615.00	3.384.44	304.60	7.615.00	380.75	2.020.4
	GANICHAIRA	1.445	3.580.00	1.591.11	143.20	3.580.00	179.00	949.9
	GAPASHI	2.014	4.365.00	1.940.00	174.60	4.365.00	218.25	1.158.2
	NARA	1.981	2.907.00	1.292.00	116.28	2.907.00	145.35	771.3
	BATTGALI	2.597	4.223.00	1.876.89	168.92	4.223.00	211.15	1.120.5
	NAGRAI	1.716	6.590.00	2.928.89	263.60	6.590.00	329.50	1.748.6
	SUB.TOTAL	15.462	33.821.00	15.031.56	1.352.84	33.821.00	1.691.05	8.974.2
90/91	GANDAF	2.799	4.276.00	950.22	85.52	4.276.00	213.80	881.76
	KARGANI	2.566	7.452.00	1.656.00	147.04	7.452.00	372.60	1.536.58
	GANICHAIRA	1.322	3.358.00	746.22	67.16	3.358.00	167.90	692.45
	GAPASHI	1.753	3.976.00	883.56	79.52	3.976.00	198.80	819.89
	NARA	2.109	3.154.00	700.89	63.08	3.154.00	157.70	650.39
	BATTGALI	2.482	4.000.00	888.89	80.00	4.000.00	200.00	824.84
	NAGRAI	1.716	6.590.00	1.464.44	131.80	6.590.00	329.50	1.358.93
	SUB.TOTAL	14.747	32.806.00	7.290.22	656.12	32.806.00	1.640.30	6.764.980
	G.TOTAL	66.506.00	137.617.00	60.874.67	5.480.46	149.619.00	7.758.94	39.025.659

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ANNEX L
GENERATING IRRIGATION SYSTEMS BENEFITS IN TRIBAL AREAS

A. Introduction

The irrigation programs of TADP aimed at exploiting the surface and ground water resources in the tribal areas so as to support the rapid development of agriculture. The irrigation program was started in September 1983 and since then 11 surface water irrigation and 8 tubewell irrigation sub projects have been completed. The distribution of these sub-projects is given in Table L.1.

TABLE L.1.: IRRIGATION PROJECTS UNDER TAPD

Agency	Surface Irrigation		Tubewell Irrigation	
	Number of Projects	Command Area (Acres)	Number of Projects	Commd Area (Acres)
Kurram	3	575	-	-
Bajaur	1	200	8	513
S.Waziristan	6	1,370	-	-
Khyber	1	1,550	-	-
Total	11	3,695	8	513

As a result of improving irrigation facilities, an additional 1,595 acres have been brought under agriculture, thus increasing the total command area to 4,208 acres from the pre-project area of 2,832 acres as shown in attachment L.1. A summery of the current situation of irrigation subproject in different Agencies is given below.

B. Current status

1. Kurram Agency

In Kurram Agency three sub projects to develop surface irrigation have been implemented which are providing irrigation on 794 acres. The Ali Sheri sub project completed at the cost of about Rs 1.7 million and completed in August 1990 was planed to provide irrigation on 219 acres of barren land but the project objectives have not been achieved. This area continues to remain unproductive as before. This is basically on account of land ownership dispute of the command area which has not yet been resolved. Another major problem which is effecting its use is that 4 reservoir

built for the storage of irrigation water are getting filled up with silt and no action to remove this silt has been taken by FATA-DC resulting in the wastage of entire water.

2. Bajaur Agency

In Bajaur Agency in addition to one surface water channel, 8 tubwells were installed in the expectation that this project would irrigate about 531 acres but only a part of the area is being irrigated. About 40 percent of the command area being unleveled it can not be easily irrigated. Additionally the soil being sandyloam is highly porous and results in considerable water losses during conveyance which can only be checked by properly lining the water courses.

3. South Waziristan Agency

In South Waziristan three water channels were constructed to cover a command area of 700 acres. Baring channel no 3 which is supplying irrigation, the other two do not seem to have been constructed, after making full assessment of the water availability with the result that these channels virtually remain dry from April to August every year, which happen to be the time when irrigation water is most needed for irrigating Kharif crops and for the maintenance of fruit orchards. Therefore the full utility of the project remains questionable.

4. Khyber Agency

In Khyber Agency where five water channels were improved to irrigate 1,550 acres was later on abandoned on account of dispute between the Government and the beneficiaries particularly with regard to the maintenance of these channels and distribution of water. Since both parties have been sticking to their grounds the project remained neglected for a long time. However, the farmers of the area, settled their disputes and started using the water for agricultural purposes. It is estimated that nearly 2,320 acres are being irrigated, with this facility in the command area where not only crop yields have increased but farmers have also introduced the cultivation of high value crops such as fruits and vegetables which are being marketed mostly to the Peshawar market. The beneficiaries are also maintaining the water channels which are found to be in excellent condition.

This case provides an example of how the provision of some basic facilities can lead community participation in the development of agriculture. Farmers are conscious of the benefits which can accrue to them by using the irrigation for crop raising and are keen to improve their farm income. All that is required is to guide them about new innovations through extension service.

The major problem however is the maintenance of the irrigation facilities in these areas on which millions of rupees have been spent. As far as tubewells are concerned, since these have been established on the land of individual farmers who are selling water to other beneficiaries and charging about Rs 50 to Rs 60 per hour, thus generating enough income a part of which can be paid to meet the O&M cost. However the maintenance of irrigation channels should be the responsibility of line department who have the required resources for this work. As a long term, the strategy should be to levy some water charges on the beneficiaries for the use of water. This will generate enough funds which can be used for the maintenance of these channels.

Another problems which merits consideration is to make an efficient use of water resources which requires proper maintenance of water courses to check losses occurring on account of seepage. Another area of concern is the proper application of water management practices. At present no institutional arrangements exists to deal with this aspect of agriculture. It is therefore recommended that Water Users Associations be formed especially in the areas where irrigation channels have been built. The social grouping of farmers to look after these activities if left to them may present some difficulty and therefore the involvement of political agent to organize these association is recommended. The activities of these associations should include:

- the operation and maintenance of water courses;
- the improvement of water supply and its proper distribution; and
- improvement of on farm water management practices.

These associations apart from dealing with the water management problems would also prove useful in establishing a link between the beneficiaries and the government.

Since conservation of water through management practices is a new concept it is recommended that a program for the training of farmers in this field be organized by the Water Management Department of the provincial government.

C. Recommendations

1. Irrigation

- Provision of irrigation facilities has helped in the development of agriculture. The question of maintaining these facilities still remains undecided. In the case of tubewells O&M cost should be born by the beneficiaries. Maintenance of irrigation channels should remain the responsibility of the line department.

- To improve the efficiency of irrigation Water Users Associations should be formed and it should be left to them to organize the distribution of water and on farm water management practices.

- A program for the training of farmers in water management practices be organized by the Water Management Department of the Provincial Government.

ATTACHMENT L.1
PROFILE OF TADP FUNDED IRRIGATION SCHEMES

S.No.	Agency	Name of Sub-Project	Cost in Rupees	Completion Date	No. of Beneficiaries (farm families)	Estimated Command Area in Acres			Estimated Cropped Area in Acres		Cropping Intensity (%age)	
						Pre-Project	Addl	Total	Pre-Project	Current	Pre-Project	Current
A.	SURFACE WATER IRRIGATION											
1.	Kurram	Improvement of Harghan Irrigation Scheme	2,335,003	7/1987	1,000	350	150	500	405	710	116%	142%
2.		Kotkai Irrigation Scheme, Malikhel Area	748,748	8/1989	45	40	35	75	45	105	112.5%	140%
3.		Ali Sheri Irrigation Scheme, Shalozan Area	1,715,125	8/1990	100	219						
4.	Bajaur	Lowe Baba Irrigation Scheme	2,838,949	6/1990	100	100	100	200	120	320	120%	160%
5.	South Waziristan	Improvement of Dab Kot Karez	1,764,965	9/1989	240	160	40	200	200	290	125%	145%
6.		Improvement of Lower Tattai Irrigation scheme										
		Tatooki - Channel I				50	20	70	60	100	120%	143%
		Naraze - Channel II				50	30	80	60	110	120%	138%
		Kach Spiay - Channel III	5,222,319	9/1989	40							
		Pond				130	120	250	143	350	110%	140%
7.		Improvement of Tiran Channel	2,697,128	6/1989	40	70	50	120	90	187	128.5%	156%
8.	F.R. D.I.Khan	Improvement of G.G. Wana Irrigation Scheme	2,917,007	12/1987	300	400	50	450	560	720	140%	160%
9.		Improvement of Spina Tangi Irrigation Scheme	1,621,993	9/1989	60	120	80	200	180	340	150%	170
		Sub-Total (A):	21,861,237	-	1,925	1,689	675	2,145	1,863	3,232	110%	151%

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ATTACHMENT L.1
PROFILE OF TADP FUNDED IRRIGATION SCHEMES
(Continued)

S.No.	Agency	Name of Sub-Project	Cost in Rupees	Completion Date	No. of Beneficiaries (farm families)	Estimated Command Area in Acres			Estimated Cropped Area in Acres		Cropping Intensity (%age)	
						Pre-Project	Addl	Total	Pre-Project	Current	Pre-Project	Current
B.	BARA IRRIGATION											
10.	Khyber Agency	Improvement of 58 Bara Water Courses										
		i. Water Courses 16800/R			500	150	200	350	194	565	129%	156%
		ii. Water Courses 23500/R			400	100	200	300	116	430	116%	143%
		iii. Water Courses 27500/R	3,164,068	3/1986	350	80	170	250	101	355	126%	142%
		iv. Water Courses 5575/R			550	150	150	300	192	470	128%	159%
		v. Water Courses 7300/R			500	150	200	350	186	512	124%	146%
		Sub-Total (B):	3,164,068		2,300	630	920	1,550	789	2,320	125%	149%
C.	GROUND WATER IRRIGATION											
	Bajaur Agency	Sinking/Installation of 8 Nos. Tube Wells in in Bartras Plain										
1.		" " 215		11/1991	38	90	-	90	75	108	83%	120%
2.		" " 216		11/1988	10	100	-	100	110	162	110%	162%
3.		" " 217		11/1988	15	45	-	45	45	70	100%	155%
4.		" " 214	4,389,584	11/1988	10	45	-	45	50	72	111%	160%
5.		" " 218		11/1988	11	70	-	70	72	102	103%	146%
6.		" " 219		11/1988	14	68	-	68	78	118	115%	173%
7.		" " 220		11/1988	28	50	-	50	55	83	110%	166%
8.		" " 221		11/1988	6	45		45	50	82	111%	164%
		Sub-Total (C):	4,389,584	-	132	513	-	513	535	797	104%	155%
		GRAND TOTAL: (A+B+C)	29,414,889	-	4,357	2,032	1,595	4,208	3,187	6,349	113%	151%

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ANNEX M
AGRIBUSINESS AND SMALL SCALE ENTERPRISES

A. The Concept of Agribusiness and Small Scale Enterprises

Agribusiness in this paper is meant to be any private section production, processing marketing, storage and distribution business actively related to the agricultural system. Conventionally, analysts have viewed agribusiness as activities falling in the domain of three inter-dependent-broad sets: "push" related activities (input supply), farm production, and "pull" related activities noted that the concept of agribusiness is not confined to commodities and can include commercially based services.

The small scale enterprise, in this paper, is defined to relate essentially "micro" agribusinesses. Small scale enterprises reflect to construction, transportation and such other segments of the economy are excluded.

B. Overview of Agribusiness and Small Scale Enterprises in Tribal Regions

In the context of tribal societies, agribusiness can be studied in relation to input supply and output marketing of crop, livestock and forestry sub-sections. Opportunities for processing an processing of inputs and outputs, as well as far increasing farm productivity exists as are discussed below:

1. Farm Production

a. Crop Sub-Section

Most of the tribal areas are famous for the production of high value crops like fruits and vegetables. With the introduction of improved technology through project intervention such as TADP and NWFADP, the production possibility curve has tended upward. These high value corps have excesses demand within the country and have great export potential.

b. Forestry Sub-Section

Tribal areas also known for forests and forest products. The secondary benefit of forest was production of honey and yet it was not developed on scientific lines. There are also several varieties of flora which could serve as an input for cottage industry and small enterprise. As for example "MAIZERAY" (local name)

which is grown in abundance in natural environment. With the increase in population these forests have been denuded resulting in the loss of this valuable source of income. This also caused great damage to the soils of this area on account of soil erosion.

c. **Livestock Sub-Section**

Another important yet neglected source of employment and income generation was raising sheep and particularly teddy goat, byproducts like hides, skins and wool have great export potential which has not been fully exploited. Also, it is rather surprising that the poultry sector is still a grey area of agriculture industry which could be substantially improved to enhance household incomes. Further, there also exist potential for the development of dairy and livestock industry.

2. Input Supplies

The tribal areas have scarcity of irrigation water. The TADP did invest on water development and its efficient use. The sustainability of this development effort lies on the shoulders of tribal community. Each tribe can serve as water users association to maintain the irrigation facilities provided to them. The association should also take responsibility for the maintenance of water courses. The Head of the association should levy some water charges and encourage water market. This is feasible within the existing tribal set up.

The supply of fertilizer which is another input must be ensured through private sector agencies. Although fertilizer marketing has already been taken up by the private sector yet the involvement of tribal community at the grass root level would generate gainful employment opportunities for the tribal people. Similarly there is lot of scope for organizing the production and marketing of seeds particularly of vegetables and supply of improved varieties of fruit plants.

Animal power has generally been replaced by tractors to avoid maintenance cost of bullock labor. However the mechanical power is under utilized due to non-availability of such implements as chisel plough, land leveller, sub soiler which are important implements for use in land preparation. There appears a great scope for intermediate technology to indigenous private sector to establish mini enterprises for the manufacture of farm and tractor implements.

Animal feed is yet another input which has not been developed despite the fact that raw material as for example corn, wheat and other coarse grains are locally

available. small feed manufacturing units and handy hammer mills can be established by the private sector.

Thus the agribusiness activities in the input sector mentioned above appear a potential source of employment and income generation. However, these small enterprises can only develop if adequate credit facilities are made available through institutional credit sources via the NGOs and PVOs.

3. The Output Section

The final sector in the food production and distribution system is the output sector. This sector is responsible for the transformation of the raw farm output into a final consumer product. The government of NWFP can encourage the establishment of small enterprises. The principal output for establishing such enterprises are fruit and vegetable which can help bringing additional dividend to the farm sector in a short run. For identifying areas which require sizeable investment, venture feasibility studies should be organized. The potential areas are poultry farming, processing of fruits and vegetables and wool industry. It may be noted here that past agro-industry development experience of FATADC has not proved successful. But this could very well be on account of public sector planning and management style.

A comprehensive analysis of agribusiness sector which cover farming, livestock, forestry and fisheries may not be possible because of data constraint and other problem. More over a detailed study will not only be of a long duration but will involve large amount of money. It is therefore suggested that if a study is to be conducted, it should only be confined to a limited area such as processing of fruits particularly in South Waziristan and poultry production in the tribal region. The first study should focus on the technical feasibility and financial profitability of private business based in tribal area. The second study should target on the possibility of a medium sized poultry farm in a suitable place. Both studies should aim at analyzing business feasibility so that should an entrepreneur and interest. These studies could some basis for undertaking business in these area.

All future efforts in this direction should be based on private sector leadership.

C. Recommendations

- High value added fruit production should be encouraged for domestic and export market.

- Forestry should be encouraged and cottage industry based on this raw material promoted.

- Sheep and goat raising for meal wool, and skins should be supported. Poultry industry also offers an attractive potential. These livestock need to be produced on scientific lines.

- Tractorisation should be fully supported with suitable implements such as chisel plough, land leveller and sub-soiler.

SECTION V

SELECTED AND ANNOTATED FIELD NOTES

This Section includes Annex N, entitled Selected and Annotated Field Notes, which covers field visits to tribal Agencies of Bajaur, South Waziristan, North Waziristan, and Kheyber Agencies and settled areas of Kohat, Mardan, Swat, Tank, D.I. Khan and Karachi. It also documents discussions with Government officials and rural development professionals in Peshawer.

ANNEX N
SELECTED AND ANNOTATED FIELD NOTES

PART A: VILLAGE AND FARM VISITS

District: Bajaur Agency
Village: Pashad October 16, 1991
Location: Approximately 20 km North and East of Khar

Agro-climatic Setting: Hilly country at foot of mountains, low to moderate rainfall, 20"-25" rainfall, limited irrigation water from seasonal river and springs, subject to flooding; minimal scrub and forest cover on surrounding hills.

Social and Community Setting: The Tarkanrai tribe, a branch of the Yusaf Zai Pashtuns, are the predominant tribe of Bajaur. Mohmands, Safis, and Utman Khels (another Yusaf Zai tribe) are found in smaller numbers, as well as non-Pashtuns including Syeds, Mians, Gujars, and Mashwaries. There are three major Khans of Bajaur, all interrelated as members of the same "Ibrahim Khel" tribal family, although considered rivals as well, in true tribal fashion:

- Khan of Khar (also known as "Nawab"'), eldest, and perhaps the leading Khan of Bajaur, with Headquarter (HQ) in Khar, main town, gateway, and HQ for Political Agent.

- Khan of Pashad, Sher Mohammad Khan, recently installed as Khan; following death of his uncle the Khan of Khar took the reins, a conflict and fighting ensued, and a settlement was finally reached (with payment of Rs 4 million) that put Sher Mohammad on the throne. He is reputed to be one of the most progressive of tribal Khans ... headquartered in Pashad, northern side of Bajaur.

- Khan of Nawagai, Abdul Khayam Khan, also a Senator, whose brother, Bismilla Khan, is an ex-MNA.

On Wednesday, October 16th Rashida (AID/WID), Engineer Sikandar Khan (AID/Eng), and Malcolm Odell, accompanied by the Political Tesildar, Rashid Mahmood, and a convoy of armed guards in two following vehicles, headed North out of Khar, Bajaur, toward Pashad. We were in search of Sher Mohammad, Khan of Pashad, and hoped to see the irrigation and electric power schemes which he

reportedly has organized in his area, without any government assistance, bar the fact that they are for the time being turning a blind eye to the active poppy production in his area. While this area is not yet certified as "poppy-free," and thus not open for TADP involvement at this time, Government is not ignoring the problem. A systematic program of opening up tribal areas is accompanied by warnings to stop production, followed up by setting and enforcement of a full scale ban on production. Last June (1990) the Commissioner did just that and, when ignored by a local drug baron who also sat in Parliament, moved in with his paramilitary force, aerial sprayers, tractors and bulldozers ... the result: the baron's castle and estate lies in shambles, knocked to the ground by the Government bulldozers.

There are 3 major Khans in Bajaur, all interrelated as members of the same "Ibrahim Khel" tribal family, although they are considered rivals as well, in true tribal fashion: Khan of Khar (also known as "Nawab"), eldest, and perhaps the leading Khan of Bajaur, with HQ in Khar, main town, gateway, and HQ for Political Agent. The second, Khan of Pashad, Sher Mohammad Khan, was recently installed as Khan. Following the death of his uncle the Khan of Khar took the reins, a conflict and fighting ensued. A settlement was finally reached (with payment of about $20,000) that put Sher Mohammad on the throne. He is reputed to be one of the most progressive of tribal Khans. The third is the Khan of Nawagai, Abdul Khayam Khan, also a Senator, whose brother, Bismilla Khan, is an ex-Member of the National Assembly.

We found the Khan at home, an impressive, gentleman of about 65 with a white beard and glasses, and we were invited to an elegant tea, accompanied by roast chicken, nuts, fruits, and biscuits, in the tradition of customary Pashtun hospitality. (And I'll swear we were served Earl Grey tea). We gathered in his furnished hujra, sitting in overstuffed chairs around a large oriental carpet, in the shadow of his impressively fashioned and recently renovated fortress home built with 6 feet thick dry-wall native stone and wood and towering about 50 feet above his fiefdom. This includes the villages of Pashad, perhaps some 15,000 hectares of arable land in a lovely valley of some 30,000 hectares, rimmed by rugged hills and mountains. While this wasn't the poppy season, and none was in evidence, it is understood that poppy flourishes in the more remote parts of the valley. Those days may be numbered, however, as an eradication program is on the Commissioner and Political Agent's calendars for 1993/94, about the time the TADP winds up.

The Khan appears to the untutored eye as a relatively benign feudal lord who has overseen the construction of a at least three local irrigation channels that provide water to about five villages with a total of about 500 households. The land appears quite fertile and the rice crop, just about to be harvested, looked very productive.

The Khan reported that the number one problem in his area was flood protection, the local river, running at a low level of about 6 cusecs during the current dry season, would turn into a wild and dangerous torrent during the rainy season, often taking out the irrigation channels built by his own labor force and other local farmers. Any flood control measures would also serve as source for those irrigation works, with the proper lining of these channels being the number two priority in the area. Schools and roads services, he reported, were generally quite adequate in his area and attention from program like the TADP should be directed to the support of agriculture, the backbone of the local economy, particularly with the provision of more irrigation development.

The Khan is landlord for the area, with most of the 500 families in the immediate area, being involved in a tenancy relationship. Under this system, a variation of that common across the sub-continent, the tenants own about half their land outright, and farm the other half for the Khan, with him having an understood call on their labor. This tenancy labor, he assured us, would be fully available to work on any flood protection and/or canal lining projects, and we could count on 300 workers, a significant work force for construction of an scheme.

He then took us to see his home-made hydroelectric plant, located just below the village and fed by one of the locally constructed irrigation channels. Located in a mud brick structure similar to that housing the simple stone mills that can be found through these hills, we found a most amazing creation of local ingenuity.

The brain child of a local master carpenter in the Khan's employ, the hydel project started with a locally constructed holding tank for water, a penstock pipe fashioned from oil drums welded together to give a 15 foot head, and an ingenious turbine fashioned of old machine parts and located about 6 feet below the ground. This simple but effective machine was attached to a modest electric generator that powered the Khan's large compound plus some 50 other homes in the village during the evening hours. During the day this generator, or alternatively a direct belt drive, powers an electric table saw and planer, or alternatively, a series of simple machine tools driven by old fashioned leather belts of the type Bim's company once manufactured.

Following the watercourse from the power mill, we made our way to the fields below the village over which the Khan's fortress towered as in a medieval European community. There we talked with several farmers, including Sachi and Emat Khan, who had both their own lands and farmed tenancy plots for the great Khan. They confirmed the top priority in the area was to improve the flood protection and water sources for the irrigation works and we made our way along one such channel, dry

and unused since its source at the riverbed had been destroyed during the last rainy season. Below it stood empty fields awaiting the rainfall of the next season, no crops to be seen. Further down, however, where a smaller secondary channel still was functioning, lay rich fields bursting with a ripening rice, just days away from harvest.

Joined by a FATADC engineer, our own AID engineer, Sikandar, made rough estimates that suggested that there was no easy solution to their problem, the most probable being to construct a proper aqueduct across the riverbed to bring water from perennial sources on the opposite (right) side. The water source was estimated at being able to provide a good 6 cusecs of water. Such an aqueduct might cost Rs 1 million ($40,000), of which local labor might run about 25%. Labor, all agreed would be no problem, but the $40,000 would be a problem. Since this area has not been certified clear of poppy TADP could not help and would be unlikely to be able to do so during the few years remaining. No concept of local savings of a the type used so widely by the AKRSP and SRSC programs has been suggested and the idea did not gain wide support in our discussions. Wealth in the area, beyond that of the Khan, seems fairly reasonable, however, with people generally wearing good clothes, shoes, watches, and carrying Rs 16,000 ($600) Kalashnikov automatic rifles. We probably saw over a hundred during the day ($60,000).

Taking leave from the Khan, we headed back toward Khar, stopping for half an hour in the village of Chirgo, where the TADP has put down a test tube well and proposes to equip it for irrigation of the lands of three small adjoining villages on a self-help basis. The local farmers and their malik confirmed that they and their neighbors are ready to organize the construction of the necessary channels that will serve the areas 300 households. They already have electric service in their villages and are paying Rs 50 each month for that. They agreed that whatever the elders agree they should pay for the new irrigation water supply and necessary power, will be paid. The figure of Rs 100 a month did not seem to send out any shock waves. The agriculturalist and irrigation engineers accompanying us concurred that they could expect to at least double current production and add a whole extra crop to the annual cycle -- meaning that they could harvest 3 crops a year, one more than is possible with irrigation up in the Khan's lands in the Pashad valley.

The next morning, after a comfortable though restless night sleep in the Political Agent's Circuit (guest) House, complete with wall to wall carpeting and a nice TV, though no hot water, we headed East and South again back through Saidu Sharif to Peshawer. As we left Bajaur the clouds in the hills lifted and we could see the snow capped peaks of the Karakoram peering over them in the distance.

Village visits and the Malik System in Bajaur: Some lessons and Afterthoughts

The traditional malik system is deeply rooted in Bajaur, and while having feudal characteristics that mitigate against equity, income distribution, and the democratic institutions established elsewhere in Pakistan, commands considerable respect. Furthermore, it provides a measure of stability necessary for economic development and shows potential as a modernizing and innovating force, as well as source of substantial capital investment. While the poppy situation precludes TADP operations there at the time, the is potential for future projects, perhaps to be discussed in a jirga of local tenant farmers convened by the Khan. Some suggest that the labor offered by the Khan might be seen as forced labor and thus resented; this needs careful consideration. The Khan's hydel system warrants investigation, as it runs off the water flow of a traditional irrigation system, and might have lessons for other sites beyond the reach of the grid. Improvement of existing irrigation, and accompanying flood protection/source bunding, is a critical development need and one ideally suited both to the resource capabilities of TADP and to a participatory community model.

District: South Waziristan Agency
Villages: Wana Valley October 20-21, 1991

Agro-climatic Setting: Flat, gently sloping plain surrounded by mountains rising to 8,000 feet or more; quite dry, perhaps 10"-15" rainfall; limited irrigation water from underground karezes, tube wells, and deep hand dug wells, plus seasonal river and springs; minimal scrub and forest cover on surrounding hills.

Social and Community Setting: Two major tribes dominate the Agency, Wazirs, and Mahsuds. The Wana plain and vicinity to the West is dominated by Wazirs while the Mahsuds occupy the Sarwakai and Ladha subdivisions to the East and North. The two tribes have long been rivals and conflicts are not uncommon. While the economy is growing rapidly due to the expansion of the horticulture sector, particularly around Wana, and supporting services, literacy remains extremely low, below 10%, with literacy among females virtually negligible.

From D.I. Khan our party headed for Wana, heart of the Agency. Winding up an amazing road that rivals that over the Khyber Pass, across narrow bridges, between shear cliff walls, through dark tunnels, and along a winding and rock strewn river bed that is surrounded by the dry hills, mountains, and plains that conjure up images of the desert of the moon, we finally entered the Wana plain. At first glance Wana seems more like a desert crater, surrounded by mountains yet dry, desolate, and devoid of life. Then out of the brown-grey earth emerge small brown-grey

villages, and from behind the high walls in those villages appear luxuriant fruit trees. The patches of green grow until one is surrounded by lush vegetation reminiscent more of the Central California Valley than the Great Salt Desert that first seems to characterize the Wana plain.

After passing through a bustling bazaar that boasts everything from fruit sellers to arms dealers and reputedly has at least 60 auto and truck repair shops, we came to the Wana Cantonment. Formerly this served as headquarters for the British officers and troops that frequently gave their lives to retaining some fragile measure of control over this wild and independent area. Now the camp, which resembles a low rambling fort with an entire self-sufficient city of several hundred within its walls, serves as head office and base for the Political Agent and a detachment of Pakistan's paramilitary Frontier Scouts. We made ourselves comfortable in the large, high-ceilinged guest house, remarking on how its colonial architecture kept it remarkably cool inside in spite of a blazing sun outside.

The next morning began with a visit with malik Murad Khan. He has two farms in the Wana valley and is also a contractor for several TADP projects. The malik has also has taken to horticulture in a big way and wanted to show us what he has done. We pulled off the road and made our way toward his first farm, near a large walled compound, typical of the fort-like homes that predominant throughout the tribal areas. Next to that was another walled area near to which was a pipe that brought water from a government tubewell a few hundred yards away. Behind the wall was an area of about 60 acres, intercropped with apple and peach trees among which he also planted corn, wheat, tomatoes, and carrots, depending on the season as he can harvest two crops a year in this valley. Two years ago the malik planted 800 each of the two fruit trees and expects they will start bearing in a year or two. He had just finished harvesting 30 acres of tomatoes, having put in some 360,000 plants which yielded him a crop worth Rs 180,000 ($7200). He also harvests about a ton and a half of carrots on which he made another $1,000. This year with the encouragement of FATADC he has devoted a quarter acre to Saffron, a new experimental crop for the valley, and has planted about 2,200 bulbs at Rs 5 each. If successful he hopes to sell both the prized Saffron spice in the commercial market and young bulbs to other farmers in the valley.

From the malik's farms we went on a fascinating tour of indigenous water development schemes, the most impressive of which is the valley's maze of underground karazes, or underground water tunnels which draw their water from deep hand dug wells at the edge of the Wana plain where the foothills rise up toward the mountains beyond. The "mother wells" range between 100' and 200' deep and between them and the orchards of Wana run underground channels along which at

approximately 50' intervals, are deep hand-dug inspection wells. A special skilled group of people digs, cleans, and maintains these karezes as they have done for hundreds of years.

Where water is closer to the surface, further down the valley, we found a large variety of hand dug wells, some simply straight holes in the ground where, at the bottom, a man dug out fresh earth, put it in a bucket, and had it hauled to the surface by one or two other man at the surface with a simple hand and foot driven windlass or "Persian Wheel". Other wells have sloping access tunnels which go to a staging area about half-way down the well where an ancient "make-and-break" engine drives a simple piston operated pump. At the South Eastern end of the valley we found two Afghan refugees with a simple 2 cycle engine-driven power winch with a 12' tower from which an 8" tube hung. Using the winch this tube was dropped and raised over and over, gradually filling up with earth, kept inside by a simple flap valve, and then emptied from time to time. This way a simple well was being dug more rapidly than it would by hand and with less of the backbreaking and risky labor associated with the deep hand-dug variety.

Roads, Sustainability, and Development in South Waziristan

Conversation with Pervaiz Nasir, Executive Engineer, C&W Department, Tank, South Waziristan October 20, 1991

C&W is building 42 km of roads with TADP funding, including 13 km metalled roads and 29 km shingled. The Wana-Karikot road is about 75% completed, with a causeway being the major job to be done. (The road itself is about 90% done.) The Wana-Dana road is 40% complete, having been held up since the USAID supplied bulldozer was blown up by hostile tribesmen who had a conflict with the contractor. That matter has been resolved by the Political Agent, the fine and repair costs have been paid by the tribe, and the bulldozer will very soon be operational. Delays also have included community conflicts over right of way that required going through established orchards and walled compounds, a short working season that prohibits construction from mid-Nov. to mid-March. Estimated completion date for both roads: October 1992. USAID funded roads have provided a substantial proportion of C&W's capital budget as ODA once did.

C&W faces major sustainability problems with regard to road maintenance and repair. Its previously inadequate maintenance budget for their 700 km of roads in the Agency has been slashed by 50-60% and now totals Rs 1.7 million compared to a Rs 20 million. capital budget. Proper maintenance requires Rs 3.5 million. Although their blacktopping budget is small they feel it has a high pay-off in reducing maintenance, reducing per km recurrent costs from Rs 9,600 to Rs 3,600 per mile. Due to lack of

maintenance some roads have deteriorated from metal to shingle status. Government receives no revenues or taxes from the Agency and C&W allocations on an area or per capita basis are significantly lower than in settled areas.

To improve sustainability the possibilities for community participation were discussed. The tribes sort out all conflicts over land, orchards, walls that may be affected by roads and donate land which would otherwise be eligible for compensation in settled areas (although the Tribes usually receive an "entry fee" from Government when a road is put through their territory, how these fees compare to land compensation elsewhere is not clear). The tribes also provide security and protection along all government roads and are held fully accountable for any incidents that may occur in their territory. Occasionally tribes have tied to extract tolls or fees from those passing through their areas but this is not permitted by the Government.

Communities also have laid out and constructed their own feeder roads, for which they assume all construction and maintenance costs, although these are often little more than tracks passable by pickup. Such roads have been built from Gulkach to Zarmilan (4-8 km) and Hankot to Zarmilan (5 km), plus a number of other "dust" roads from farm to market.

Tribal Government and Project Development: Some lessons and Afterthoughts

While most frequently regarded as troublesome or unreasonable, tribal government has effectively shouldered a number of project development tasks that are problematic in settled areas. This suggests a means, perhaps, by which an apparent "problem" might be changed to an "opportunity" for accelerating rather than delaying the development process. Tribes, at no cost to Government, donate land, sort out land rights and disputes, and arrange internal compensation where appropriate. While data comparing customary "entry fees" with compensation programs in settled areas is not available, these fees may also share characteristics with the subsidies and/or "PPIs" used by Government or NGOs elsewhere. These traditional tribal consultation, planning, management, and decision making systems need to be examined to see how they can be harnessed to improve participatory planning and development in tribal area.

Case Study of an Agricultural Revolution and Prospects for Sustainable Development: "Will the Bubble Burst?

Notes on Conversations with Habibullah Khan, Political Agent
Wana, South Waziristan October 21, 1991

In the view of the Political Agent, and many other qualified observers, South Waziristan, and the Wana plain in particular, has experienced an agricultural and horticultural revolution over the past two decades. With careful planning agriculture will be the backbone of the growth economy for the next decade. Without such planning, however, the bubble could easily burst and both production and profitability could drop dramatically. The TADP, while playing only a small part in the current revolution, can make an important contribution to the sustainability of agricultural development through encouragement of horticultural diversification and marketing, the promotion of self-help initiatives to improve farm-to-market tracks, block afforestation, and irrigation, as well as providing training and educational support not only for agriculture but also for girls and women in general.

The agricultural revolution owes its origins, most likely, to A. R. Siddiqi, Assistant Political Agent during the 1970s and now managing director of the Overseas Pakistanis Foundation in Islamabad. It the last decade this revolution received a major boost with the influx of Afghan refugees who brought horticultural know-how, new technologies, an entrepreneurial spirit, and cheap labor. The local residents are shrewd and experienced traders and smugglers, but they are not yet real farmers. Their agricultural know-how has only recently developed and, while they have learned a lot about fruit tree production, they still have a lot to learn about truly commercial agriculture and marketing.

The agricultural revolution, therefore, must move into a second stage: that of prolonging the growing season and instilling an understanding among local farmers of the realities of the market forces in operation, forces that mean that the best apple in terms of taste and appearance isn't necessarily the most profitable apple, for example. Farmers need to understand about diversification into other horticultural crops and about targeting production to fill off-season demand. The danger of over dependence on a few varieties of apples is looming and explorations need to be made both of other varieties which meet special market niches, and of other crops including carrots, melons, grapes, plums, and different types of peaches.

The TADP has been almost invisible in South Waziristan to date -- a road here, an orchard there, perhaps, but very little to show for itself. Basin irrigation has been a definite contribution, especially in Wana and the Spin Valley.

The maintenance and repair issue is a real one and must be addressed. No easy answers can be had but the line agencies of Government must take up the responsibility, with serious decisions having to be taken as high up as the Planning Commission in Islamabad including taking action to close non-productive facilities and to ensure that new projects are put on hold until operation and maintenance budgets can be brought up to minimal standards.

Emphasis under the TADP during its last three years should focus largely on sustaining the agricultural revolution in the more advanced agencies, like South Waziristan and Kurram, while promoting its introduction and growth in other agencies. Funding should not be provided for general infrastructure development such as schools, clinics, dispensaries, and roads. Self-help initiatives with substantial community participation should be emphasized. Some specific priorities that might be addressed:

- Variety Recommendations and Support for Private Sector Horticultural Development : TADP's new PC-1 is probably on the right track, but more could be done to provide short term variety and management recommendations for the tribal areas. This could be followed by a year-long international study to provide the basis for a full-blown horticulture project for funding by GOP and/or another donor. The PA has discretionary funds that could be drawn upon to promote further horticultural diversification if such studies were available.

- Bridle Paths and Improved Tracks: Support community initiatives with bulldozer charges, technical assistance, perhaps meals (but not wages) for local labor. (Note was made of the community-built and maintained road that joins the AID road and, winding some 10-15 km through some of the most productive orchards of the valley, over which the Team traveled the day before, and a prime candidate for such support). Lessons can be learned from successful community-built tracks in Malakand and Dir. C&W technical guidance and specifications for alignments, curves, should be followed to enable problem-free upgrading when resources permit. These must not be considered proper "roads," per se or else AID's high quality standards, which are responsible for the superb road systems in both Gadoon and Tribal areas, would come into the picture. These would not be appropriate for community self-help initiatives, and thus bridle paths and improved tracks are the approach recommended.

- Block Afforestation: This will be particularly successful if promoted on family/clan lands where land rights and management systems are in place and less vulnerable to tribal conflicts and related complications. The experience of the Malakand Social Forestry program is particularly relevant. Agri-forestry including walnuts, almonds, olives, plus species for fuel wood and building materials should be examined. The Forestry Department has effective implementation capacity and knows how to involve people and communities selectively and with appropriate limitations.

- Irrigation and Water Supplies: These should emphasize dug wells, wiers & micro dams, and gravity flow; (no more tube wells, to which Government has agreed in principle inside the Wana area). The GTZ tube well program is located outside the Wana area and is not perceived to be a risk to dropping groundwater supplies. Instead, it is believed, it should actually help recharge the Wana aquifer by bringing in outside water and raising the water table.

- Guidelines for Community Participation: TADP can help Government and all line agencies do the homework necessary to develop and set out uniform standards, terms and conditions, and pro-forma undertakings that establish clear criteria, eligibility, and maintenance requirements for the support of self-help initiatives. With such uniform criteria and guidelines in place all concerned departments can support self-help initiatives, maximizing roles for existing line staff to promote community participation while minimizing the need for pro-active social organization personnel for which resources are limited.

In addition to these agricultural priorities the TADP might usefully contribute to education :

- Education and Training, Especially for Females: Without a basic cadre of matriculate educated girls there is little possibility of developing programs to reach local women. The most effective investment of limited TADP resources, therefore, seems to be in providing the handful of female teachers needed to bring current female students to matriculation. Assistance might also be considered for the three quality schools in the Agency (Scouts, Musanika, and Zam Public Schools) which depend on government, non-government, and parent support and which include girls in the primary grades.

Horticultural Revolution in South Waziristan: Some Lessons and Afterthoughts

The private sector is thriving in South Waziristan. Horticultural development and a thriving support sector in which Afghan refugees play a vital part, are evident in both the busy bazaars and in the lush orchards behind the grey-brown mud brick walls. Local initiative and the private sector, including individual farms, service and transport companies, and collectively developed and managed water supplies, have played a major role in fueling this growth. The role of Government, and the TADP, has been supportive of the process although they probably are not the major force. Access to new information and methods has apparently come through informal channels as much as through any established mechanisms: a progressive political officer, an aggressive and socially mobile population, an influx of refugees bringing new technology, and a ready, visible market for horticultural produce through D.I. Khan. This has lessons both for sustaining growth and replicating it elsewhere.

Sustaining the process of growth in South Waziristan will require increasingly sophisticated market intelligence and channels. Varieties will need to be tested and introduced that meet gaps in the market and do not mature just when produce is flooding in from other areas. Knowledge of market demand in distant cities will be as important as lengthening the growing season.

Replicating the horticultural revolution in other tribal areas will require an additional level of sophistication. Duplication, and thus exposure to the risks now beginning to face South Waziristan, will not suffice. The critical role for Government and donor resources seems to be in providing leadership for the needed research, variety trials, progeny development, and market intelligence needed to fuel the process of change in each tribal agency. Dissemination of information and varieties appear more effectively handled by the private sector, however, which, provided it does not have to compete with subsidized inputs and services, has shown particular creativity and effectiveness in its delivery systems.

District: Mardan, Rustum, Swabi October 23, 1991
Village: Pitaio Malandri
Location: 50 km North from Mardan, 14 km off road at Rustum Bazaar

Agro-climatic Setting: Hilly, moderate rainfall, reasonable soils, about 50% irrigated from mountain stream and spring coming from higher hills behind village. Hills moderately forested.

Social and Community Setting: Settled area. Largely composed of tenant farmers, with 10-15% landowners under four Bunir Khan's, one of whom is now resident in the village and is active as a community leader and councillor.

Hosted by the Pak-German IRDP of Mardan, Shahid Perwaiz and Malcolm Odell, accompanied by Amir Hussain, IRDP Design Engineer, and Mohammad Saleem, IRDP Agriculture and Training Specialist, drove 50 km north out of Mardan with the mission to visit a village which has both initiated and carried out its own development activities as well as participated in an IRDP venture that now requires ongoing community maintenance to ensure sustainability. The village selected, Pitaio Malandri, lay at the end of a 14 km track that criss-crossed a wide river bed for about 10 km before climbing gradually to the village, nestled at the head of the valley and surrounded on three sides by rugged hills dotted with green scrub and scattered trees.

We were welcomed at the edge of the village by Khan, Kesar Rome, one of the four major Khans of the village and the only one permanently living there, the others spending most of their time in Buner. The four Khans reputedly own about 50 acres each, while another 10-12 landowners have holdings that may average 5 acres each. The remainder of the village's 190 households work holdings of about 4 acres each on a tenant basis, sharing their crops with the Khans on a 75/25 basis, an arrangement said to be common in rainfed crop areas. This arrangement, leaving a larger proportion of the crop to the tiller than is commonly practiced, reportedly has been maintained by the village Khans even as land has been brought under irrigation where commonly the sharing is on a 50/50 basis, the landowner providing the inputs.

The village is estimated to have a population of 1,500 and 500 voting adults. Of the 190 households, 90 consider themselves savings members of the village organization, indicating that they have agreed to save regularly toward the goal of Rs 300 per household or Rs 57,000. This will qualify them to apply for a new self-help grant to cover materials and technical support from IRDP to build a new 2-3 km irrigation channel that would open up another 200 acres of farmland and improve water flow to an existing 100 acres. In addition, they are appealing to their local MNA and MPA for government to build a 3 km link road over the hills behind them to join the Buner Road, replacing the 16 km trip down the river bed to the Mardan road at Rustum Bazaar.

These latest ambitious undertakings are only the latest in a relatively long list of projects undertaken in the village since Khan Kesar Rome returned from Buner as the village malik in about 1974. At that time there was no school, no electricity, and the only track to the village was impassible even for a tractor. The stream was the source of all drinking water, and subsistence crops were all that local farmers knew.

About 100 acres of village land were irrigated by an earthen channel built years before.

With access so limited, the Khan organized the villagers to build the 3 km improved track we had driven over earlier. They provided the labor, he provided the meals. The road, we were told, has been regularly maintained and repaired by the villagers with the help of the local transport operators who ply the route regularly with people and goods. (We met two pick-ups on our way back, fully loaded.)

In 1981 the Khan introduced sugar cane to the village economy, installed the first cane press, and the cash economy. The second profitable cash crop, the sponge gourd, was introduced in 1986. Two years later improved varieties of wheat and maize were introduced, resulting eventually in yields being raised from 10 maunds to 15 maunds per acre. These changes, while dramatically improving agricultural production and incomes, seem to have had relatively little impact on life in the village, however. Villagers reported that increasing prices of agricultural inputs and all products purchased from the modern economy seem to have eaten up all the increases that came from their agricultural improvements.

In 1985, after some arm twisting with the local political machinery, the village was electrified and the following year the first school was built and, this year the word has come that it will be upgraded soon to become a middle school.

Agriculture got another boost in 1986-87 when Union Council funds of Rs 5,000 were granted for cementing part of the irrigation channel and the footpath at the entrance of the village. The next year IRDP funding, through a Rs 8 lakh PPI and Rs 6,500 in cash raised by the village were used to engineer and install a comprehensive village water system. This project, other than the cash contribution from the village, was entirely engineered and paid for by the IRDP and has been well maintained by the village since its completion two years ago. At approximately the same time 1-2 km of the village's second irrigation channel were lined with funds obtained by the local Member of the Provincial Assembly (MPA).

Within the past year the village undertook two additional projects that symbolize its priorities. The first, the reforestation of some 50 acres on the hills above the village, training of a villager in nursery management, and establishment of the first village nursery with 1100 seedlings. The second, supported by village labor and contributions, together with Zakat funding from Government, is evident in the current construction of an impressive new village mosque through which flows a vigorous stream of water on its way to irrigate the village crops.

These projects cover a wide range of activities and needs as well as differing types of funding from different sources under different terms. When presented with the new IRDP self-help approach that will require significantly greater community participation in the form of both cash and labor. While having always shopped for the best deal, the VOs 90 members and its leaders appear committed to meet the IRDP terms and have already totaled up savings of Rs 3000 towards the job. That leaves Rs 54,000 to go. The next year will tell the full story of the transition from subsidy to self help.

Indigenous Self-Help and the IRDP/Mardan: Some Lessons and Afterthoughts

Drawing heavily on the AKRSP/Akhter Hameed Khan models, emphasizing village organization and self-help as the key first steps, the Pak-German team has worked through government line agencies rather than an NGO structure. The roots of this relationship apparently go back many years to a series of joint efforts involving the Pakistan Academy for Rural Development and UNICEF. Apparently frustrated in recent years by lack of progress, the GTZ sponsors had considered shifting to an NGO approach, but from conversations with their Mardan staff, and as evident in Pitaio Malandri, GTZ has decided to stay with the line agency approach, specifically the LG&RD department's Directorate for Community Development, for their third and final phase (through 12/1994).

In the past the IRDP emphasized an "all village" approach built on "felt needs" leading to an initial subsidized physical infrastructure project. Today the focus is on an economic interest group (not necessarily a whole village) and self-help income generating schemes demanding resource commitments in the form of labor and/or funds. There is no limit on the number of schemes per group but the more schemes proposed, the higher the resource commitments expected from the group.

In Pitaio Malandri this concept of self-help seems both established and functioning. The role of the Khan seems to have been particularly positive in promoting self-help activities as the water supply, irrigation channels, and long and well maintained road attest. In fact, in the village's chronology of development activities, both Government and the IRDP are rather new-comers and have been able to build successfully on an indigenous tradition of self-help. Identifying and building upon such traditions, as well as the local leadership structure seems important.

Finally, the Khan suggested a land tenure arrangement that may warrant further examination, particularly given its positive equity implications. He indicated that barani tenants keep two-thirds of the crop while production from irrigated land is 50-50, assuming the landlord was responsible for the irrigation. In the case of a

self-help irrigation program or one funded by outside sources, however, the barani system prevailed, with the landlord still expecting only one-third, although, of course, yields would increase significantly. If such is the case, there may be room for TADP funded self-help initiatives to promote or sustain more equitable land tenancy arrangements, recognizing the positive impact that equity has upon productivity.

District: Kohat October 24, 1991
Village: Raisee
Location: 52 km East of Kohat toward Janda, including a 7 km trip off Kohat/Islamabad road.

Agro-climatic Setting: Rocky barren dry land, rainfed only, poor to moderate soils; rolling hills and rocky crevasses; small fields of about half an acre; virtually barren hills.

Social and Community Setting: Settled area; all holdings on tenancy basis, absentee landlords; people among the poorest visited during field study; social services and amenities minimal.

Under the tutelage of the Sarhad Rural Support Corporation (SRSC), Malcolm Odell visited this small village accompanied by Fazel-e-Rabi of USAID and Ikramullah Jan of SRSC's Kohat office (previously associated with AKRSP and Pak-German program in Mardan). Located "across the tracks" off the Kohat-Islamabad road, this notably poor community of some 70 households, is located in barren, rocky, inhospitable, and hilly country virtually devoid of moisture. Agriculture is rainfed and based on a subsistence wheat crop, with small amounts of barley, mustard, gram, and lentils for household consumption. Holdings seem to average 5 acres or less and production ranges between 20 and 40 maunds per household. Little or no surplus crop is produced for external sale, local incomes instead being subsidized by outside employment in the army or distant cities.

The village faces a severe water problem, having neither irrigation nor a reliable potable water supply. Local hand dug wells of about 40-50 foot depth provide seasonal water which is not reliable during the dry months when the village women routinely walk some 5 km over a rough trail down to the Indus river. A District Council supported dug well failed to reach water before funding and local energy both ran out and stands as mute testimony to a dispirited people and a severe water situation.

Encouraged by the SRSC during some 10 months of discussions, the villagers have established a village organization with some 58 active members, elected officers,

and initiated construction of a small dam to capture seasonal rainfall for some irrigated vegetable cultivation on 4-5 acres farmed by a handful of tenants as well as to provide needed water for all village livestock. Fully funded at Rs 190,000, the dam is virtually complete and will provide its first full benefits in the coming season. Local people carried out the work under SRSC engineering/construction supervision and were paid the going local wage of Rs 35/day, of which Rs 5 was held back for investment in the village savings fund, which now has reached Rs 14,000. A recent local initiative led by a particularly active member with a military background, seeks to establish a fish-farming operation in the large pond. Fisheries advice has been sought and liming and manuring initiated in anticipation of stocking next month from a government hatchery.

This project marks a major shift in a village whose hundred year settlement history has been remarkable only in the virtual lack of any significant change in the lives of its people. Once relatively well forested and a favorite hunting spot for local leaders, the hills around the village are now virtually barren. Until the first well was dug by a local leader some 60 years ago the only source of water was the Indus. Other wells were subsequently dug over the years but to date none has proved adequate to get the village through the dry season.

After 1960 the village saw a few modest improvements in the eyes of local people. Jobs in the military and far-away cities became more readily available. A primary school was built, and modest improvements in health and nutrition seem to have led to generally increasing family size. The local area now has 3 primary schools for boys and one for girls, although it is not functioning as the teacher stayed only a short time before vanishing and has not returned in the past year. There is no co-education.

The greatest change for the better that people could see is that while previous generations lived in just one big room, today's families have the luxury of 2-3 room houses. The village has no health services, no electricity, no extension services. Serious illnesses require traveling the 7 km. to the main road and a 40-50 km. bus trip to Kohat or Janda.

Poverty, Water, Leadership and Subsidies: Some Lessons and Afterthoughts

The shadow of poverty in Raisee is only darkened by the severity of water deprivation and lack of indigenous village leadership. A partnership between the SRSC and a local activist with a military background appears to have brought a new level of hope to dispirited people who, as tenants on barren land, get a very small return on their labor. In this context a subsidized physical infrastructure project,

coupled with a strong savings program, is providing an important incentive for change for both the local people and the local activist. The prospects, under these circumstances, are reasonably promising for increased community participation, including resource commitments, in the promotion of economic and social development activities, particularly for water related projects.

The contrast among Bajaur, Pitaio Malandri, and Raisee is instructive: all are dominated by tenancy systems. The first two, however, enjoy strong traditional leadership resident in the village, have access to reasonable water supplies, and share a strong self-help tradition that is not dependent on outside sources. Building on these to promote accelerated economic growth does not appear to require subsidized investment. Raisee, however, with absentee landlords and severe resource constraints, has a far weaker self-help tradition and has only recently developed indigenous leadership. In this setting the SRSC's subsidized PPI has played a critical and potentially catalytic role in which the prospects are improving for increased participation, resource contributions, and hope for the future.

District: North Waziristan Agency
Villages: Miran Shah Vicinity October 27-29, 1991

Agro-climatic Setting: Tochi river plain, surrounded by low mountains, relatively dry, 10-12" rainfall

Social and Community Setting: Three major tribes dominate the Agency, the Wazirs, Mahsuds, and Daurs, among whom relations are often strained. The British Raj first extended its authority to the Tochi river valley in 1894 when the Daur tribe requested protection from their Wazir neighbors, reflected in continuing Daur loyalty to government today. The legendary Faqir of Epi, Mirza Ali Khan, a Tori Khel Wazir, conducted his major encounters with the British in this region. The main tribal group is the Darwish Khel branch of the Wazirs which includes the Utmanzai and Ahmadzai, many of whom live in the most inaccessible portions of the territory. The Daurs, while comprising only one-third of the population, dominate the Tochi river valley and much of the modern economy.

Self-Help/Community Initiatives : On arrival in Miran Shah our team, including Shahid Pervaiz, Malcolm Odell, Eng. Nayyer, and USAID/Agriculture Specialist Fazel-e-Rabi, were told that self-help initiatives were virtually unknown in North Waziristan, the independent and aggressive tribesmen demanding everything from Government and willing to do nothing for themselves. Upon pressing our colleagues in both the Agriculture and C & W Departments we learned that perhaps there were a few such initiatives. We left at 9am in search of some of these and returned about 2pm.

During those 5 hours, one hour was spent as guests of a USAID road contractor enjoying a delicious roadside feast of lamb, chicken, corn bread, fried potatoes, fruit, and tea to the accompaniment of volleys of machine gun fire in honor of our visit. In the remaining 4 hours we traveled almost 100 km and saw no less than 10 community and/or individually initiated productive schemes and learned of an additional 1200 such schemes in the area. Those visited included 3 link roads, of which there are probably over 1000 connecting main roads to virtually every village, 4 irrigation channels of a total of over 100 along the Toche River, plus about 100 fruit and vegetable orchards, one ornamental plant nursery, and four small water powered flour mills.

While traveling through North Waziristan we were asked a number of times by local people if we could help them with funds for one project or another. Informal discussions with USAID engineering, FATADC, and C&W staff indicated the most common among these requests are schools (mostly for boys), teachers quarters, and a bridge over the Toche River between Miran Shah and Khawaja Wali.

Forestry and Social Forestry in North Waziristan
Conversation with Mohammad Sadi, Range Forest Officer
Miran Shah October 28, 1991

Having noticed signs of a particularly active forestry and social forestry on the drive into and around North Waziristan, the team sought out the Range Forest Officer to learn more about what might be behind an evidently vigorous program. He joined us for a discussion before we left and traveled with us as we left the Agency, explaining the program behind the road and hillside afforestation that we had observed. His comments:

The Forestry Department had a strong control over the forests during British times. Permits were carefully controlled and people were not allowed to cut trees indiscriminately. This followed on traditional controls under our Khans, maliks, and zamindars who kept forests protected, often for their own hunting and enjoyment. After Independence these controls were relaxed and Political Agents and DCs began giving permits quite indiscriminately. Corruption crept in and people began to cut on their own and gradually most of our forests have been lost. In the 1960s a new program was started in the tribal areas but it was not a success and was largely abandoned. Now a fresh start has been made with a number of new programs which are showing some fruits of success. Past programs have depended heavily on the support of the Political Agent as will current efforts for which strong support has been forthcoming.

Here in North Waziristan 6 forest nurseries have been established, 8 block afforestation programs on some 6000 acres, 5 roadside plantation schemes that cover some 96 miles of roads, and a number of social forestry programs that are now in the beginning stages.

The social forestry programs start with education and the Range Forest Officer has a program to give talks in each college and high school in the Agency. His staff members (2 rangers, 3 foresters, 12 forest guards) then are going to give talks in each primary and middle school. They then distribute tree seedlings to students and teachers and show them how to plant and care for them.

In the villages the Forest Department staff have started where their own people live or have relatives. They convince them to set aside and protect areas for block and roadside plantations as well as for row plantings along their irrigation channels. From all these they first will get fodder for their animals and later fuel and construction wood. On individual farms a mix of fast growing species like eucalyptus and profitable fruit bearing species like apples, peaches, plums, and apricots is encouraged. Department's nurseries do not have many fruit trees as yet but will be starting those next year. Normal fuel and construction wood species sell for Rs 1.25 per seedling whereas the fruit tree seedlings sell for Rs 3 to Rs 5 each. The program is reported to be growing every year and the Range Officer believes that their greatest success will come with the Social Forestry programs. Survival rates have been relatively high to date and it is anticipated that they will be sustainable.

District: North Waziristan Agency
Village: Miran Shah October 27, 1991
Location: Approx 3 km South of Miran Shah Bazaar, on Bannu Rd
Farmer: Khalid Saleem and Dil Nawaz Khan
Farm type: Private Horticulture Nursery, specializing in ornamental plants
Area: 7 kanals, (just under one acre)

Agro-climatic Setting: Tochi River plain, relatively dry, 10-12" rainfall, irrigated by shallow (12') hand dug well with small electric pump.

After a pleasant and delicious lunch at the new Circuit House, adjoining the Political Agent's compound, Shahid Perwaiz, Malcolm Odell, and USAID Agriculturalist, Fazel-e-Rabi, led by Assistant Director Agriculture, Khalil ur Rahman, headed south along the Bannu Road to visit the first ornamental horticulture nursery known to have been established in any tribal agency. We were met by the owner, Khalid Saleem, later to be joined by his partner, Dil Nawaz Khan, at the gate of a modest but colorful garden nursery now in its second season. Khalid, son of a local

school teacher, is an Barani Agriculture College graduate (Rawalpindi), whose family derives their major income from farming and government service. He established the nursery in 1990 on rented land near the main road, serving wealthier Afghan refugees and government servants in North Waziristan. He provides potted plants, seedlings, and saplings for local homes and gardens.

Khalid explained that he is concentrating on ornamental plants because of personal interest, perceived demand in the area, and the fact that the Agriculture Department is providing fruit tree seedlings from their own nursery at prices lower than he can afford to match. Demand for fruit trees, especially apricot, is growing rapidly. He is budding apricot on peach stock and both visits and invites local farmers as an informal extension worker, providing training in sowing, budding, and pruning. He has two beds of saplings ready for sale to those who cannot be supplied from Ag. Dept. stocks and would expand the fruit tree side of his business substantially if Government nurseries in the area were not providing seedling/saplings for Rs 1-2 each when market rates run Rs 10-12.

The 7 kanal plot is rented for Rs 4,500 per annum, is served by a small dug well with and electric pump, and is operated by the owners and one Afghan refugee laborer. Current sales are Rs 6-7,000 and, with plans to increase land under lease to 14 kanals, projected income for next year is Rs 15-20,000. although groundwater levels are high (10'), irrigation is a nevertheless problem as his well has a low yield and the nearby FATADC tube well has been handed over to a private owner who does not supply water.

Prospects for Private Sector Nursery Development: Some Afterthoughts

Nursery development, like the entire horticulture industry in South Waziristan is flourishing. In North Waziristan it languishes, despite rapidly increasing demand. Throughout the tribal agencies the Agriculture Department is under budgeted, undertrained, and extremely short handed. In South government nurseries serve largely as progeny gardens multiplying appropriate varieties and a substantial portion of their output goes to supply private nurseries which are aggressively marketing fruit stock at commercial rates. In North the government nurseries are competing with independent nurserymen like Khalid. With rising demand it seems highly appropriate for Government to concentrate its resources on supplying local private nurserymen with good stock, know-how, and support. The bulk of the task of supplying farmers with saplings, as well as skill multiplication, could be left to the private sector.

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District: North Waziristan Agency
Village: Miran Shah October 28, 1991
Location: 3 km West of Miran Shan on Ghulam Khan Road
Farmer: Malik Haji Mohammed Nurdin
Farm type: Mixed field crops and horticulture
Area: 50 kanals, 6 acres, 40 kanals cultivated, 10 kanals vacant (for house)

Agro-climatic Setting: Tochi River plain, surrounded by low mountains, relatively dry, 10-12" rainfall, irrigated by FATADC tube well.

Haji Mohammad Nurdin, a wealthy malik and contractor to FATADC and C&W, lives in a large home/fort just off the Ghulam Khan Road, adjacent to 40 kanals of farmland on which he has recently begun to develop. Having installed a 3,500 foot 3" pipe connecting his land to a FATADC tube well at a cost of Rs 98,000, he plans to produce a variety of fruit crops for commercial sale. At present, while awaiting production from the 400 fruit tree seedlings that he started planting about 4 years ago. His first oranges were evident and should be ripe within the month although production will, at this early stage, be only for family and friends. He has invested in large wall around both land and home which he estimated had cost him about Rs 2.3 million and is about to complete a domestic water supply from a lined hand dug well about 35' deep and with a well built concrete cover and provision for fitting a hand pump which he estimated will cost Rs 100,000 when completed. (The well may also be adequate to supplement the FATADC supply for which he pays Rs 4/hour, or about Rs 3,500/year for two crops. (He complained that the FATADC supply was not enough for his lands, as others share the same tube well.) Together these capital investments total Rs 2,498,000, although his boundary and compound walls clearly serve purposes beyond agriculture.

Until his fruit trees become fully bearing he is cultivating only wheat, barley, and maize from which he reaped a total value about Rs 50,000 in crops, the majority of which is not sold but kept for family consumption. Besides the Rs 3,500 for water he also spent Rs 3,000 for tractor cultivation, Rs 12,000 for farmyard manure (4 truckloads at Rs 3,000 each) and Rs 800 for pesticides for all crops.

Last year he planted about 30 kanals in wheat, intercropping it among the fruit trees, reaping 106 maunds which, at Rs 170/maund, would be worth Rs 18,000 in the market had he sold any, which he did not. To produce this crop, in addition to the farm costs already mentioned, he spent Rs 8,000 for seed from Agriculture Department (5 maunds at Rs 160/maund), Rs 3,000 for 12 bags of fertilizer, and Rs 2,000 for labor. At the same time he also planted 10 kanals in barley using his own seed and spending Rs 600 for labor. For this he reaped 26 maund of barley which he

sold for Rs 180/maund, receiving Rs 4,680. During the second season he plants these same 40 kanals in maize, using his own seed. Other inputs include Rs 2,600 for fertilizer and Rs 800 for labor in addition to farm costs, above. For this investment he produces about Rs 26,000 of fodder which he feeds to his animals and does not sell. With those costs factored in at current rates his net income is approximately Rs 15,000.

Throughout this same land he has planted 100 orange, 80 apple, 80 loquat, 60 apricot, 60 plum, and 24 date trees for which he paid Rs 6,000, plus an additional Rs 700 for plant protection per year. These 400 fruit trees, should they all produce a normal crop should bring in between Rs 40,000 and Rs 50,000 per year, bringing his total gross farm output from Rs 50,000 to Rs 95,000, and his net farm income (not including family labor and land costs) from Rs 20,000 up to Rs 48,000.

Having access to considerable capital from his contracting work, Haji Mohammad has been able to invest heavily in the development of his farm and stands to earn an average of Rs 2,500/kanal (Rs 20,000/acre), considerably higher than the average in North Waziristan of Rs 12-15,000/acre.

Prospects for Private Horticultural and Forestry Development: Some Afterthoughts

While private horticultural development in North Waziristan is not as advanced as in South, it is off to a good start and shows considerable potential. Leadership, as in South, appears to be with a group of progressive maliks, several of whom are interested in developing nurseries of their own if they can get good varieties from Government. They, along with the Political Agent, also have substantial influence over the afforestation -- or deforestation -- of the now relatively barren hill and mountainsides. The seeds of both an effective horticulture and forestry program have been sown but do not yet have the broad base of interest and support that will be required for major changes to occur. Means to shift horticultural and forestry programs to provide a larger and more secure role for the individual entrepreneur need to be carefully examined.

Agriculture Department Nursery, Miran Shah, North Waziristan

October 28, 1991

This is the oldest established nursery in North Waziristan, having been founded in 1962 and is one of five in the Agency. Its output was 20,000 seedlings last year of which 15,000 were sold for a total of Rs 11,000. The nursery in Paikhel raised 17,000 seedlings of which 15,000 were sold while that in Dosali sold all of its

15,000 plants. The smaller nurseries at Mirali Dakhel and F.R. Bannu each produced and sold 8,000 plants.

In Miran Shah this past season the nursery sold 200 apple, 200 peach, 1,000 pomegranate, 400 walnut, 7,600 almond, and 6,000 plum tree seedlings. These sold at heavily subsidized prices of Rs 0.50 to Rs 1.25, well below the market rate of Rs 5-15 found elsewhere and suggesting why the private nursery in Miran Shah has largely restricted its operations to ornamental plants.

District: North Waziristan October 28, 1991
Village: Palangzai, including Bonda & Anghar (Waziri tribe)
Location: 1 km off Boya-Thul road, near Toche River.

Agro-climatic Setting: Hilly, low rainfall, reasonable soils, partially irrigated by channel tapping Toche river about 6 km above the settlements . Hills denude of virtually all afforestation.

This village of 140 households actually consists of 2 settlements of Waziri tribesmen and is one of about 100 villages scattered along the Toche River plain. It lies on the opposite side from Miran Shah and is irrigated by a 6 km irrigation channel that was built at least 60 or more years ago during the British Raj. The channel serves some 4,000 kanals (500 acres) of land of which about 2,000 kanals annually is planted in maize, 3,000 kanals in wheat, 2-300 kanals in barley, 1,000 kanals in tomatoes and 20-40 kanals in various other vegetables and fruits over two growing seasons. Fruits are generally intercropped with the staple crops and, in order of numbers, include plums, loquats, persimmon, apples, peaches, and apricots.

For almost 100 years the village irrigation system has been completely maintained by the local people who come out together to repair damage done by seasonal flooding or other factors. Those not turning up to help are fined by the others amounts ranging from Rs 50-100 for each day missed. About 10 years ago FATADC helped provide lining for 2 km of the canal which appears well maintained today. Repeated flood damage has led the village to request help from FATADC to build needed retaining walls and bunds at an estimated cost of Rs 300,000-500,000. A village spokesman suggested that the local people would most likely be willing to donate their own labor to such a project, thus lowering total costs by about 25-40%.

The village also boasts a private water powered grain mill built by the grandfather of the present owner, Haji Awal Khan, farmer and Assistant Education Officer, Miran Shah. The mill was built about 60 years ago and can grind up to 12 maunds/day. Of this 1/12 goes to the owner, and of his share 1/3 goes to the miller.

The owner generally gets between 10 and 15 maunds/month or about 180 maunds/year. The mill draws about 1 cusec from the irrigation channel and was in fully operational when visited.

Agriculture, Irrigation, Tribal Society and Female Education in North Waziristan

Conversation with Abdul Karim Khan Qasuria, Political Agent
Miran Shah 29 October, 1991

We met the Political Agent for North Waziristan, Abdul Karim Khan Qasuria, in his spacious office, attractively carpeted with Afghan hand looms, and had hardly started our conversation when we were served a complete meal of delicious local fare. Abdul Karim is the 49th PA to serve in North Waziristan since the British established rule in the area in 1910. He is the 29th to serve since Independence in 1947, his uncle having been killed in a dispute with local tribals while serving in the same post a number of years ago. During British rule the Political agent served for an average of almost 2 years while today the normal assignment is closer to 18 months, rotation of senior officers being a well established tradition.

The Political Agent made five main points during our hour long discussion:

- female education is both needed and possible in North Waziristan, particularly among the Daur tribe;
- agriculture is the backbone of the local economy and should receive top priority for TADP funding;
- irrigation is the greatest need for improving agriculture and will pay the highest returns in terms of both productivity and equity, particularly if small scale schemes are emphasized;
- firm, clear policies are essential regarding criteria for approval of projects and the specific responsibilities of the community (defined in tribal terms) if they are to be considered eligible for development assistance; and
- the traditional tribal system is highly effective and efficient and the best suited for meeting administrative, law and order, and development needs.

Contrary to conventional wisdom, he noted at the outset, female education can be introduced and supported in North Waziristan and offers real possibilities for TADP support. The Daur tribe along the Toche River, in particular, generally accept the idea and have petitioned his office frequently to provide more female educational opportunities.

Agriculture, while still severely underdeveloped, is both the main source of local subsistence income and offers the greatest potential for rapid expansion. The horticultural revolution evident in parts of South Waziristan and Kurram can and must occur here as well. Irrigation is the key and the TADP funded Spinwam/Kashi channel on the Ketu river makes a real contribution and he was confident that local people would accept full responsibility for its operation and maintenance as they do with their existing traditional irrigation systems. Dug wells, which can serve a greater number of beneficiaries at lower cost than tube wells, are an excellent option to pursue under TADP. In general small schemes are recommended as they will generate maximum community participation, particularly if the programs work with traditional family and clan groups rather than entire communities.

Policies for participation, however, must be clear from the outset and not tacked on later. The FATADC tube wells suffer from this problems because local responsibility for maintenance, operation, and electric bills was never spelled out clearly through written undertakings as is the traditional practice between tribal groups and government (under the oversight of the Political Agent). WAPDA has been also been extremely negligent because it is providing electricity without getting clear commitments concerning the payment of monthly rates. Almost no one is paying until now, and this is further undermining forest department efforts to promote fuel wood production as it cannot compete against free electricity. TADP activities must not be undertaken without such undertakings being clear from the outset.

The PA again challenged conventional wisdom regarding the traditional tribal system: In his view law and order is actually better in tribal than settled areas and tribal law can be a great help to the development process rather than the hindrance often alleged. He noted that crime rates are relatively low in tribal areas, that during his tenure there has been no highway robbery in 2 years, only 4 hijacking (all resolved satisfactorily), that oil explorers have been working undisturbed for 4-5 months, that there have only been 2 murder cases in Miran Shah, and those are generally solved and punishments given in a matter of days where it may take years in the settled areas using modern legal procedures. The tribal legal system is firm, efficient, and felt to be fair by local people. Adult franchise and modern systems of democratic decision-making are cumbersome and inefficient by comparison to the tribal system of democracy that is based on fierce independence, firm punishment of wrong-doing,

and structured public debate that is articulated through a tribal consensus-reckoning and decision-making process.

The firmness, fairness, and widespread acceptability of the traditional tribal system promotes relative peace and security which in turn encourages investment and economic development. By way of example he noted that today there is virtually no poppy being grown in North Waziristan and the bazaars are booming with trade and commerce, due, specifically in his mind, to the improved law and order situation.

With regard to the development planning process, the effective Political Agent, in his view, must rely heavily on expert opinion and development criteria regarding costs, technical feasibility, and the distribution of benefits from any development scheme. Decisions must be made on such development and technical criteria rather than political criteria. Cost/benefit ratios are one such measure but cost/beneficiary and benefit distribution must also be weighed carefully in making project decisions.

A Note on Political Agencies and Tenure in North Waziristan

1919-1947	20 Political Agents, average tenure 1.8 years, colonial period
1947-1991	29 Political Agents, average tenure 1.5 years, post independence
1910-1991	49 Political Agents, average tenure 1.65 years, total

Tribal Law and Decision Making: Afterthoughts on Building on Local Institutions

The political agent here reiterates a theme heard over and over in the tribal areas and from those intimately acquainted with the structure and function of tribal society: that the local institutions are alive and well and uniquely suited to promoting development interests. In fact, like many other knowledgeable observers, he sees that these institution are, in fact, working better than their counterparts in settled areas where local institutions have been eroded by two centuries of colonial interventions, partition chaos, and the swinging pendulum of Pakistani politics that, by fluctuating between dictatorship and democracy, has undermined local institutions both philosophically and in practical administrative terms. The isolation and fierce independence of the tribal areas has protected local institutions there from these destructive forces, leaving them in relatively good shape for planning and managing a decentralized development process built around local resources and management.

District: North Waziristan Agency
Village: Kajuri October 29, 1991
Location: Mirali, Haider Khel
Farm type: Government Date Progeny Farm
Area: 32 kanals, 4 acres, 100% cultivated

Agro-climatic Setting: the Mirali plain is a dry upland plain that receives limited rainfall but which has a very high water table leading to many areas being susceptible to waterlogging. Soils are fertile.

The date progeny farm was established in 1974 to produce suckers for improved date varieties for distribution/sale to local farmers. The farm yielded its first date suckers in 1979 and has been producing them annually from mature trees since that time. The farm is well managed and maintained and mature trees are beginning to reduce sucker production and will soon have to be replaced with younger trees, plenty of which are now reaching transplant stage. Since 1982 the farm has produced and/or distributed imported suckers totalling over 3,000 suckers and today is producing about 100 suckers annually. The most popular variety being distributed today is Dakki, although Zaidi and Halini are also in demand. The current number of mature, sucker producing trees is:

Dakki	262	Halini	28	Mobai	6
Zaidi	72	Suckari	4	Asil	4

The program started by distributing 1-2 suckers each to interested farmers for them to try in their own fields for widespread diffusion of new varieties. Once the concept was successfully introduced the farm shifted its approach and now only distributes suckers to those farmers willing to invest in a significant number of trees. Today that averages about 20-30 suckers per farm annually. This has resulted in about 300 acres of farmers fields now being under improved varieties distributed from Haider Khel. While the suckers are sold at Rs 20 each, requiring an annual investment of Rs 400, these are nevertheless subsidized rates as the market value of suckers in D.I.Khan, where most of the farm's stocks originate, is between Rs 50 and Rs 75 per sucker.

Farmers fields visited in the vicinity showed that both traditional and improved varieties are being grown. Farmers also appear to be beginning to set aside significant land areas where they are planting new varieties although traditional varieties seem to predominate. D.I.Khan, to the South and West, is the major date production area and that market is full of dates, with the improved varieties clearly well established.

Village Outreach, Individual Initiative and the Orangi Pilot Project

Conversations and visits with Akhter Hameed Khan
Orangi Town, Karachi 2 November 1991

Villages in the Desert

"Do you see this desert? Just look! Now can you imagine anything growing here?" The scene to which Dr. Akhter Hameed Khan was pointing was desolate, indeed. Dr. Akhter, as I have fallen to calling him, is the renowned and retired Director of the Pakistan Academy for Rural Development at Comilla and for a retirement project now heads up the Orangi Pilot Project (OPP) in Karachi. We were outside Karachi, however, on our way to a small village 12 km from Orangi and a short distance from the Sindh-Balochistan border. The earth was to all intents and purposes just dry sand from which an occasional thorn tree or dry bush reached up into the drier air. Our road was nothing more than two ruts in the sand over which the little Suzuki four wheel drive jeep bounced and weaved. Ten minutes later the scruffy village of Dildar Goth appeared before us over the rise and my first thought was, "How could anyone possibly survive in such an inhospitable environment, let alone make a living?"

"Now, follow me. I want you to see the vision of the future!" Dr. Akhter bounced out of the jeep with visible enthusiasm, belying his 78 years. We made our way over the sandy and stony ground, past several small huts and the occasional cow or goat, toward a low concrete wall. Peering over the edge I saw a murky pool of water from which a 2" pipe made its way through a small pump to a small reservoir on the rise above me. Around this small tank wandered about 20 cattle and I remarked to myself that they appeared surprisingly healthy despite the desolate environment. "Last year all this village had for water was a pitiful and dirty spring. With a Rs 80,000 ($3,300) grant from OPP the spring was cleaned, deepened, a protective wall built, and pump and reservoir installed."

As we walked through the village I began to see Dr. Akhter's vision of the future, one shared by these hardy Baluchi villagers, no less. Small walled gardens have appeared and beyond them are fences of thorn bushes inside which modest orchard have been planted. Mohammad Hussain's wife has even started to complain, we were told with a hearty laugh, "I used to see my husband every night, but now he has a new mistress, his trees! He's even moved his bed up to the orchard and sleeps with them every night."

Indeed, as we ducked under the arch of the crude gate, there was Mohammad's cot, along with a broken old couch and rough table, under the shade of a large thorn tree, and around which were planted in neat rows at least 100 healthy young coconut trees. Originally bringing water to the trees by donkey cart, Mohammad has now laid a pipe underground from his own well, dug with the help of an OPP loan, and not only waters them daily but watches over them at night to be sure no goats get in and eat the tender young trees before they grow beyond the reach of the hungry animals. At Rs 100 for each sapling his efforts are not exaggerated and his wife is reported to be secretly very pleased. Mohammad, identified as a village activist and given training and support by the OPP, has access to a lot of land, but as the rains have been extremely rare, he and his neighbors in Dildar Goth have depended largely on their animal herds, the mainstay of their nomadic origins. He has 30-40 cattle and 40-50 goats and these provided his main source of income until the OPP arrived. Crops, if the rains ever permitted planting which might happen once in 3 years, were restricted to local drought-resistant varieties of sorghum which could yield a crop worth as much as Rs 10-15,000 ($500). Now he has reclaimed 3 acres from the desert and, in addition to his coconuts, has planted "chikku", pomegranate, and fodder behind his expanding thorn hedges. What's more, he has started stall-feeding his animals instead of taking them to dry and distant pastures, and has a small but thriving milk business that produces some 320 lbs. of milk daily. Along with others in the village he has purchased improved buffaloes with OPP loans, and a modest milk production industry is taking root. A simple drip irrigation system is next on his list, along with improved walls and fencing, and with those improvements he may even move back into his house at night.

A year ago this was a poor and demoralized hamlet of some 80 households that depended on the occasional crop and the meager yields in milk, meat, and cash that their animals might bring them from this barren land. Less than a year ago the OPP financed spring reconstruction project began to change everything by giving them a new vision of the future. From then on all the developments have been at their own initiative and using loan financing. Almost every home has planted some trees, watering them lovingly by hand. Three new wells have been dug this year, and "karezes," traditional underground channels, are underway, all by the farmers themselves. Land has been leveled and improved and animals have been purchased and fattened for sale during the holiday season. Altogether 14 loans for a total of Rs 500,000 have been made to the villagers and of these 8 loans, totalling Rs 200,000 have been fully repaid. Eight more are being arranged now for the purchase of milk cows.

The system by which this village has been energized involves three basic steps:

- water source development;
- encouragement of tree and fodder cultivation; and
- development of a milk production and marketing program.

All but the first step are self-help and financed by small loans to individual farmers.

The next day, exuding the same boundless energy, he and Hafeez Arain, Joint Director of the OPP loan program and the man behind the village outreach scheme, took me out to see a similar miracle in the small village of Sohrab Goth, about 50 km North of Karachi and about 10 km West of the Karachi-Lahore highway. As we bounced along the track into the village we passed an elegant but empty community hall, complete with toilets and water tank, built by Government at a cost of approximately Rs 1 million. Beyond it were two unsuccessful tube wells that had cost Rs 2.7 million before being abandoned.

Last year, using an approach similar to that in Dildar Goth, OPP had responded to a request for help from an active village leader, Pandi Faqir, who had already established a modest Islamic boarding school for boys on his land. The water situation being acute, he asked for help in sinking a small well for his school and neighboring households. OPP responded and for Rs 120,000 put in a 350' deep tube well with a 2" output pipe that has now been connected, through locally financed self-help efforts, to almost all of the village's 70 households. Next to the well the school gardens are flourishing, tended by the school's 70 students, and, in addition to becoming a future source of fresh fruit, are already producing a regular vegetable supply. Pandi Faqir now has reclaimed some 18-20 acres of the 100 acres of land which he and his large extended family, which includes some 40 households and 400 people, used to farm in years gone by when water was more plentiful. They have planted onions, papaya, coconuts, castor beans, lucerne grass, "Pan" (beetle nut), and a variety of vegetables. He has also started a community stall-feeding scheme where local women keep their own buffaloes, water, feed, and milk them and sell the surplus.

Elsewhere in the village another 40 acres of land has being reclaimed and planted with trees and fodder, two old and dried up wells have been privately rehabilitated, and a small milk industry has been started by 13 families who have purchased improved buffaloes with OPP loans. Over Rs 400,000 in loans have been

extended in Sohrab Goth. Fifteen loans for buffaloes, 3-4 for shops, one for a chemist, and 2 for wells. One of the shops, established with a Rs 20,000 loan and run by Pandi Faqir's son, buys dry buffalo feed for Rs 55/maund and sells about 5 bags a day at Rs 65. The buffalos are producing four maunds of milk for sale daily and repayments are coming in punctually.

Once a fairly prosperous village in the years before independence, Sohrab Goth's 1,000 acres of cultivable land produced both dry land and irrigated crops, supplementing rains with several shallow wells that tapped water 20-50 feet below the surface. With the development boom and associated chaos that followed independence, however, their fortunes began to change, for the worse. Influential politicians and civil servants managed to gain title to large tracts of land in the area and sink tube wells at government expense. With low or no interest loans they established poultry and horticulture farms over thousands of acres, using tax advantages and credits. We had passed many of these farms on the way to Sohrab Goth and while a few seemed to be flourishing, the majority lay vacant and unused, their owners having reaped the tax advantages and abandoned them. We visited one, established 15 years ago by a former Commissioner, and found its "Chikku" trees poorly tended and bearing little fruit. By comparison, the orchards in Sohrab Goth were lush and well cared for, their owners depending on them for their livelihood and not for tax advantages.

The result of this land grab and tube well program was that the water table in Sohrab Goth began to drop gradually until it finally was out of reach for even the deepest local well. The village came on very hard times and young people fled to Karachi in search of jobs while the women took to breaking stones for meager wages. The villagers lost almost all their animals and crops dwindled to below subsistence levels. When the OPP came to the village last year, only a small number of the hardiest trees planted a generation ago had survived. Today, less than a year later, all that has changed and the latest OPP report predicts that "Sohrab Goth will soon become prosperous."

Dr. Akhter Hameed Khan and the Origins of the Orangi Project

The moving force behind this rural outreach program, and it's parent, the Orangi Pilot Program in Karachi, Dr. Akhter Hameed Khan, was born and raised of Moslem parents in Agra, India, in 1914. He joined the Indian Civil Service in 1936 and was immediately sent for studies to Cambridge University from 1936-1938. On his return to India he was posted to Bengal where he served until 1944. During the turbulent years before and after Independence, 1946-50, he lived in New Delhi where he was Headmaster of a high school and a college lecturer in Islamic history. Following

partition he moved to Bangladesh where he taught at the Pakistan Academy of Rural Development (Comilla) from 1950 until becoming Director in 1958, a post he held until 1971, when he shifted to the Academy in Peshawar, at the invitation of its Director and his former student at Comilla, Shoaib Sultan Khan. There he taught and was involved with the Daudzai rural development program until 1975. From 1975 to 1980 he taught and conducted research at Michigan State University, during which time he served as consultant for rural development projects in Mali, Upper Volta, Ethiopia, and Egypt. In 1980 he moved to Karachi where, a short time later, he founded the Orangi Pilot Project where he sought to apply the lessons learned during his long and distinguished career to the reputedly intractable problems of some of the world's most wretched slums. At the same time he served as special advisor to the Agha Khan Rural Support Program founded in the Northern Areas of Pakistan by his protoge, Shoaib Sultan Khan, and judged recently by the World Bank to be one of the most successful rural development programs in the world.

Some Guiding Principles

Dr. Khan's studies in Mogul and British history taught him that there were three key ingredients for successful national development and prosperity:

- Law and Order: Essential to security of life and property.
- Financial Discipline: Judicious management of revenues and expenditures.
- Security of Tenure for Agricultural Land: Necessary for the tiller to make productive investment.

His work at Comilla, Daudzai, and around the world also taught him that the ultimate measure of success for any development program is its ability to function successfully and sustainably without ongoing donor support. He thus sought to run the Orangi project in such a manner that its assets always were in close proportion to the total of donor contributions, that financial management and control were up to the highest business standards, and that all operations were under stringent cost control, keeping all inputs, staff, technology, and construction costs within affordable limits as defined by the local economy.

From this accumulated experience have evolved five principles which new programs should follow:

- Start with a frugal budget and low profile. Don't look to grandiose from the start or expectations may be raised unrealistically high. Better to look modest and make big progress than the reverse.

- Recruit a person of high integrity and principle as director. Better a person of high integrity and commitment without much training or experience than the opposite.

- Provide training to top management, field staff, and locally recruited activist; OPP can provide such training on-the-job for 2-3 months.

- Start demonstration project for start up, and make sure it's a good one. Nothing succeeds like success, and people need to see something tangible before they understand what your program can do.

- Provide rigorous research and monitoring support, including financial accounting, and promote active and ongoing dialogue within the project team through a learning process.

The Orangi project builds on these principles with a very low profile, low budget approach that attracts and keeps only top quality people, keeps costs strictly under control, and monitors closely all operations and expenditure.

Training of leadership is particularly important. When working in new areas, such as the slums of Sukkher in Sindh Province where OPP have been engaged as consultants to help solve serious water, sewerage, and public health problems, the OPP considers that it has three key duties:

- Remove the Skepticism of the Leadership: Municipal Commissioners, for example, generally have no faith in the people and/or are afraid to take action. The change occurs when they are taken to the lanes in Orangi town and talk to the people of those former slum areas about what they have done on their own and how they have done it. Only when the "chief" are convinced can a successful program begin.

- Enlist the Support of the Engineers: There are generally two categories of engineers, the old thieves with whom you will never succeed, and the progressive and generally younger breed, who will take off with enthusiasm. It's the latter that have to be found.

- Identify and Train Locally Recruited Activists: Supplement local activists with municipal, union, or district councillor, and operational staff, the front line forces.

Most of Dr. Akhter's own time and effort, however, goes into the rigorous development and monitoring of budgets, costs, and accounting systems. Detailed reports of each program component are available on a monthly and quarterly basis and all accounts are audited by a professional outside firm annually.

Cost are kept in line by keeping rents and capital investments at levels appropriate to those being served by the program. The OPP, for example, although it has a staff of over 60, assets of Rs 12 million, and an annual budget of Rs 15 million, is operating out of the same 4 floor, 8-10 room walkup office flat that it moved into 12 years ago and for which it is paying Rs 2000/month, a fraction of what most other development programs spend.

Credit and Small Scale Entrepreneurship

The OPP credit and loan programs merit close attention as they have replaced social organization and infrastructure development as the organization's top priority. While the majority of lending is to individuals, Sadia Ahmed, Coordinator of their weavers project, showed us samples of their beautiful silk production from one of the few collective initiatives that the OPP has supported, the Banarsi Weavers. This cooperative was formed by a small group from among the some 10,000 weavers that migrated from Dhakka and India, 90% of whom settled in Orangi. Whole families are involved in the weaving operations with the yarn dying and winding being the responsibility of the women and the weaving and marketing being the job of the men. OPP has given loans totalling Rs 600,000 to many individual weaving families up through 1987, when it became apparent that the middle men were taking a large share of the profits and that collective action might be desirable. From October 1990 a group of 20 weavers was organized for the cooperative purchase of raw materials and direct marketing of output through home sales and direct to fashionable boutiques. In December 1991 the coop received a line of credit of Rs 80,000, recently raised to Rs 150,000.

As we departed from the OPP's modest headquarters in search of a few representative individual entrepreneurs, Dr. Akhter pointed into two small rooms at the bottom of the stairs and just off the bustling street outside. At two small tables sat three people, surrounded by several small piles of documents. "This is the heart of our Rs 8-10 million annual loan program... the Bank!" We were on our way to see the results of some of those loans, in the company of Hafeez Arain, the social

organizer, now joint director of the loan program, who has worked most closely with the borrowers over the years.

The OPP approach is to focus on individual entrepreneurs, their experience being that, with a few notable exceptions like the Banarsi Weavers, loans for collective production along cooperative or quasi-cooperative lines, have generally proved problematic. While the Grameen Bank of Bangladesh works almost exclusively through groups it has to maintain a staff of 14,000 employees to oversee Rs 20 million in loans every month. This just doesn't seem sustainable in the terms by which OPP judges its own efforts. The private entrepreneur must take the risk and initiative and OPP wants to assist small entrepreneurs to maintain their individual ownership of the means of production. It sees its job to be to support that process with loans that range from Rs 2000 for bulk purchasing by pushcart vendors to Rs 75,000 for a small brick and block yard. Over 200 of their loans have been to women. The overall average loan is Rs 12,000 ($500).

Our first stop was to see a small leather stitching operation run by the Rizwan family from their modest 5-room home off a small lane in Orangi. They had managed to put one son through college but when he could find no job, they got together and, with the son serving as business manager, started buying leather scraps and gluing them to a fabric backing for onward sale to a producer who stitched the scraps together and made them into garments. With a Rs 25,000 loan they purchased a few sewing machines and put a roof over an upstairs patio and began doing the stitching operation themselves, thereby increasing their profit markedly. This loan has been repaid in full and a second loan of Rs 20,000 taken out for raw materials machine repairs. Their next ambition is to start full production of garments themselves from next year. For a family that were once impoverished slum dwellers their growing prosperity was evident in the nice clothing that the family wore, the quality of their tidy cement home, and the nice furniture and TV that were evident in their front room.

A few blocks away we dropped in on Faizun Nisa, an energetic woman who has started a thriving business cutting and stitching towels on contract for a larger firm. Her first loan, fully repaid, was for Rs 20,000 for stitching machines and it was soon followed by a second for Rs 25,000 for cutting machines. She presently has about 120 people working for her, one-third in her bustling workshop and the remainder on sub-contract from their own homes. She has just co-signed a third loan for Rs 3,600 to buy stitching machines for 2 of her workers, thus spawning another small business.

Across town we came to one of the largest of the businesses supported by OPP: a thriving open air block and batten factory that produces reinforced concrete beams and roof panels for low cost housing, and, it might be added, for the new OPP

Research and Training Institute nearing completion a mile away. For this operation OPP conducted research on reinforced concrete beam and tile production methods at Punjab and Karachi factories where the minimum investment required Rs 25 to 75 million each. The OPP engineering staff miniaturized these operations bringing the capital investment required down to Rs 65-75,000 each. They then handed the technology over to a capable local entrepreneur who had proved his ability to manufacture building blocks profitably and he now has a booming business which is being emulated by others.

The OPP loan program, while it occasionally involves active technological innovation and advice as in the case of the block and batten factory, is really 99% banking, according to Dr. Akhter and Hafeez Arain. The time consuming portions are careful assessment of the viability of the initial proposal and careful supervision thereafter, including, on average, weekly visits to ensure viability and repayment. There is no magic, in their view, about the poor. They contain their own fair share of scoundrels and incompetents, and must be screened and supervised thoroughly. Recovery on any loan program in Pakistan is like pulling meat from a hungry tiger and requires courage and vigilance. Nevertheless, that having been said, the OPP recovery rate is extremely high. Bad debts account for 1.2% of loans and 3.3% of total units. In the words of the OPP's latest report:

> On 31 August 1991, at the end of the fourth ye;ar, on our 910 clients 335(37%) have repaid in full. Of the current 575 accounts 60 (10%) have to be pursued and reminded. The remaining 525 (90%) are fairly regular, and at least 200 (34%) come themselves to our office and make payments with thanks.

Replication of the OPP Experience: Karachi and Elsewhere

"I don't really care if what we're doing here at OPP as an organization is replicated through setting up a similar organization... What I really hope is that the approach we use be replicable such that any other organization or government department can pick up the methods and use them. And that's what's happening now here in Karachi." We were weaving our way through the rushing downtown traffic in the little Suzuki on our way to meet the Director General of the Karachi Katchi Abadis (Slum Dwellings) Authority. The Director General, Tasneem Ahmad Siddiqui, on learning of our arrival, promptly excused himself from a meeting, ordered tea for us and ushered us into his spacious office... considerably more elegant than that in which we had sat at the OPP headquarters yesterday. His respect for Dr. Akhter, and his enthusiasm for the Orangi approach was evident in his every word.

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"Forty percent of Karachi's 8-9 million people," he started out, "are living in katchi abadis, the slums. And there are some 200 of these areas where it would be impossible to remove people. Our task is to regularize these slums and, using the OPP approach, bring them up to reasonable standards of health and sanitation. The most important task is to confirm people's rights of tenancy. Most of them bought the right to settle from illegal land grabbers who staked out vacant land, laid out crude roads, and sold people the right to build a shack without ever giving them, much less having the right to give them, any sort of proper title.

"We start out by notifying them that their area is going to be regularized. Then we conduct a survey of occupancy and services, such as there may be. Lately we've found that about 25% of the plots have basic services. That having been done, we issue them title, for which they must pay a fee of Rs 25 per square yard, or about Rs 2,000-2,500 ($90) for the average 80-100 sq. yd. plot, it being assumed they've already paid something to the land grabber. Those poor people who want to obtain rights to a new, unsettled plot pay Rs 50/sq. yd., as they haven't paid anything yet, or a total of Rs 4,000-5,000 ($180). That is about half what people paid in Hyderabad when I was Director of the Housing Authority there, and, for a 99 year lease, a generally recognized bargain. No one complains, and, in fact, most are very pleased to get secure title and immediately start improvements. We also auction off commercial plots which get much higher prices, since, on average, the going price for land in the most desirable parts of town is Rs 500 - 1,000/sq. yd.

"Using the OPP approach, as well as many of their designs for sanitation systems, we focus our efforts of providing affordable external sewerage systems, leaving the internal systems to the local people themselves. With their advice and designs, and be revamping the rotten contracting system, we have actually been able now to cut costs to a fraction of what they once were. For example, the original estimates for external development of sewerage systems for 3 katchi abadis, totalling 400 acres, 7000 occupied, and 7000 unoccupied plots was Rs 23 million. Our revised costs are only Rs 2.2 million! And even for poor Karachi that's eminently affordable. The World Bank has a Shelter Team here now working with us and they have been both very impressed and very helpful, hoping to replicate this approach in other countries as well."

Enhancing the Learning Process: Thoughts on Orangi, AKRSP, & SRSC

Dr. Akhter Hameed Khan's institutional offspring, the Agha Khan Rural Support Program (AKRSP) and Sarhad Rural Support Corporation (SRSC), both follow the basic principles outlined and illustrated by the Orangi Pilot Project programs. These principles include an commitment to an ongoing learning process approach of

self-examination, reassessment, and redesign. While the AKRSP is only 8 years old and the SRSC less than a year old, they have remarkable results to show for their efforts and the relatively limited funding they have required compared to many far less successful rural development initiatives. By comparison three typical USAID funded programs in Pakistan average over $30 million each while both the AKRSP and SRSC have yet to consume half as much money between the two of them.

Yet, while certainly among the best programs of their kind, there is some concern that they may have become more costly than true sustainability permits, putting themselves in the position of becoming dependent upon donors for survival. The current debate over this issue, based largely on qualitative judgements, needs to be enriched with substantive and comparative data, and discussed in an open atmosphere of collective exploration and learning. Now is the time for the institution of an interactive learning process. Specifically, analysis should include:

- Ratio of overheads to total program costs and benefits.
- Value of total outputs as provided by SRSC/AKRSP compared to costs of providing the equivalent outputs though other NGO structures, Government, or other channels.
- Calculations of the investments in, and benefits derived from, follow-on local initiatives that result indirectly from the initial PPI investments.
- Financial controls, particularly as regards savings and credit.
- Role of the initial PPI: where is it necessary, where is it not, where may it be counterproductive? What levels are appropriate for different circumstances?

It is particularly important at this critical juncture -- when the AKRSP has achieved maturity and the SRSC is just getting started -- that an open dialogue be encouraged. Using a mechanism such as the Coverdale Three Year Workshop Project, a forum could be convened for the sharing of ideas, experiences, and potential avenues for action research and experimentation in modifying, improving standard methodologies.

At the request of the Agha Khan Foundation a senior banking consultant has recently reviewed the AKRSP loan program and recommended a number of actions be taken to improve controls an bring the program in line with modern banking and cost accounting standards. There is some concern that these recommendations are being

erroneously taken as serious criticisms, as "no confidence" motions, rather than as helpful guidance, leading, perhaps to an unnecessarily defensive response, including precipitous actions that may actually aggravate rather than improve matters.

Similarly the SRSC, while still in its infancy, has had to make some initial one-time overhead expenditures that may appear high relative to the size of its total budget and development portfolio. This is an excellent time for open and analytical discussion on the merits and demerits of taking, for example, a high vs. low profile during start up, the costs and benefits of incentives for promoting professionalism and reducing staff turnover, the potential role of students, retirees, and volunteers.

SRSC Activities and Local Initiatives in Charsadda District

Village and Farm Visits
Including Discussions with Javed Majid, Mr. Sartaj, Mohammad Ilaiz, and Other SRSC Staff and Activists November 15, 1991

"What surprises me," said Mr. Sartaj, director of SRSC's Charsadda field office, "is that local initiatives by our Village Organizations -- those activities started on their own, independent of SRSC funding -- are progressing more rapidly than they did when I worked up in the Northern Areas with the AKRSP. People here seem ready to move ahead more quickly on their own than I'm used to. We'll be looking at some of those local initiatives today, as well as the regular PPI grant programs which generally are the first productive activity undertaken by our new VOs. Even though we're barely starting operations here -- we started a couple of pilot projects with borrowed AKRSP money last year but only got our regular funding 6 months ago -- the response in terms of savings, implementation of productive infrastructure projects, and spontaneous self-help efforts has been very positive." The figures appear to support his enthusiasm: 42 village organizations, 11 women's organizations, half a million rupees in savings, and equal amount in loans issued, and 15 PPI projects underway or completed. "But don't believe those office reports, they're probably exaggerated. Let's get out to the villages and see for ourselves."

And that's just where we headed, driving some 150-200 km and visiting a dozen projects in four villages before the sun began to set. SRSC funded projects included roads, bridges, tube wells, and the reclamation of saline land that had been barren for generations. Local initiatives included donations of additional land to widen a planned road, a brick tube well pump house, concrete irrigation channels, link roads, and horticultural plots. The day's visits added to this list as the team uncovered several activities previously unknown to SRSC including experimental potato and garlic plots undertaken by local farmers who, having doubled their arable

land through irrigation and gypsum treatments, were now testing out new cash crops for marketing in the nearby bazaars.

Utmanzai

Our first stop was Utmanzai village, former home of Pakistan's philosopher, non-violence advocate, and nationalist leader, Abdul Ghaffar Khan. We were welcomed by the VO President and Secretary, Noshara Awan and Mohammad Shah, who proudly took us down their new road, presently under construction with an SRSC grant of Rs 300,000. On the way we crossed 2 new bridges and, while watching sand being sifted for the third, were told that each of the bridges, being built by the local villagers themselves with SRSC engineering guidance, will end up costing Rs 60-65,000, including labor charges. "This is about a quarter, or less, of the Rs 300,000 that would normally be budgeted by government for such a structure," Engineer Mohammad Ilaiz informed us, "and the local farmers have donated all the land required which, if costed at the going rate of Rs 200,000/acre, is worth as much, if not more, than the total SRSC PPI grant."

"This road will save us probably Rs 8-9 per acre on transport charges that we now have to pay to camel and donkey drivers to bring our sugar cane and wheat out to the main road." With that observation, Sayed Hayat Ali Shah pointed to a passing camel carrying and enormous load of sugar cane toward the depot along the main road. That will add up to a savings of some Rs 20,000 per crop per year for the 3 villages, 3,000 households, and their 2,500 acres of cropland that are served by the road.

Turlanday

At Turlanday village, traveling several kilometers over an excellent farm-to-market road constructed with SRSC funding, we were greeted by about 2 dozen members of the local VO at the village center. They had prepared tea and biscuits for our arrival and wanted to tell us all about what they had done since they first organized, just over one year ago. Their secretary, who had recently been elected to the position after they had dismissed his predecessor for being rather liberal in taking decisions on his own without consulting the membership, provided us with a short history:

"We started our Village Organization on the 29th of October, 1990, and immediately started a saving program with Rs 7,000 in order to build the road, get loans, and increase our incomes. The SRSC instructed us in ways to increase our productivity and during road construction their engineers fully cooperated with us,

supervising construction carefully and helping keep an eye on materials. During the rainy season we were unable to transport produce to or from the main roads. We took a loan, which we have already repaid, to buy cattle for fattening and later sale during the Eid festival for a good profit. SRSC trained one of our members to become an agriculture specialist and he sprayed our maize crop to prevent disease that had troubled our neighbors."

"Yes, he's right," commented the agriculture specialist. "I was told during training how to plow deeply and use different fertilizers for different crops. I learned about the use of nitrogen and phosphorous to increase productivity. We cultivate sugar cane, sugar beet, often mixed with wheat in the field. Before our VO was formed we used to cultivate only maize and wheat for domestic use but the SRSC has encouraged us to cultivate vegetables for commercial sale. I got Rs 60 for spraying and for wages. Before this no government agency, agriculture or livestock officers had previously, approached us with any advice."

"What he says is true," several people chimed in from around the circle of charpoys on which we were all sitting. "We have already distributed loans for wheat and fertilizer and now we are applying for loans for livestock, especially dairy buffaloes and cows. Before the VO we could only get loans for fertilizer from the people who deal in gur (locally processed brown sugar) but then we had to sell our crop through them and we ended up paying almost Rs 20 for every Rs 100 we borrowed. Now we are free from that sort of exploitation. We meet regularly every week and discuss our problems. Today our savings total Rs 27,000. We took out our first loan for Rs 13,200 which is all paid back. And now we are getting a Rs 55,000 loan."

Farmer Reedy Gul, pulled out his VO savings passbook and showed me his figures. He'd made his first savings deposit almost exactly one year ago, 13 November 1990, with Rs 10 (40 cents). By late April he had saved up Rs 300 and had been eligible to take out a loan of Rs 550 which he paid back earlier this month. By now his savings have totaled Rs 1,299, against which he has taken out a Rs 2,598 loan for fertilizer, thus reducing by one third his indebtedness to the sugar merchants which averages Rs 8000 per season. Together with his wife, 2 sons, and 6 daughters, Reedy Gul farms about 10 acres of land, a relatively large holding in his village. Last year he planted about 7 acres of sugar cane and sugar beet, 2 acres of maize, and an acre and a half of maize. In addition to the fertilizer purchased from the sugar merchants, he used 3 md. of wheat seed (Rs 630) and Rs 600 worth of pesticides. For this investment of Rs 9230, he produced 25 maunds of gur (9,000), plus 22 maunds of wheat (Rs 3,300), for a gross farm income of Rs 12,300 and net of Rs 3,000, plus the maize that he used to feed his animals.

Nazo Kaley II (Mohallah: Dhery)

The village of Nazo Kaley (Dhery) is located 12 km off the Mardan-Naista road and include approximately 30 households. Site of a SRSC/Canadian funded tubewell and land reclamation project, the village has been the subject of a comprehensive socioeconomic survey during the past year. A review of that study reveals that the village has approximately 200 inhabitants, over three-quarters of whom are engaged in agriculture, one in ten are employed outside the area, and 12% derive their income from business. Almost all own their own farmland, the average family having about 4 acres, although a handful farm under tenancy arrangements. Only one in five is educated, none of the village women can read, and only 40% of school age children attend school, well below the national average. All village lands have access to irrigation, although the absence of adequate drainage means that of the village's 132 acres of cultivable land, 22% was totally barren due to waterlogging and salinity. The remainder of the land ranged from 40-60% productivity. On average the land produced approximately Rs 2800 in crops annually. Today, after an SRSC investment of Rs 667,000 for a tubewell and gypsum treatment, that land is producing up to Rs 7000 per acre. That adds up to a grand total of Rs 924,000 gross income for the village, an increase of 150% which enables recovery of the SRSC investment in less than two years.

"All this land has been barren since before my birth. My grandparents used to grow wheat and barley but then the land lost its fertility and nothing grew until this gypsum treatment became available. Now I've planted 3 acres in wheat and will plant the another acre in sugar cane and sugar beets. With God's grace I can earn up to Rs 8,000 and acre for the wheat and for Rs 4-6,000 for the sugar crop, or a total of almost Rs 30,000 this year. To earn that, I spent Rs 5,000 of my own funds for land leveling and the SRSC spent Rs 7,000 for 40 tons of gypsum, but between us we're all still ahead. Next year I'm going to try and get a loan for more gypsum and treat the 7 acres of mine that are still barren. Last year I could only farm 7 acres but next year I'll be plowing all my land. That will give me a good income from my land for the first time in my life." Haji Jaffar's white beard suggested that he was much older than his bouncing step suggested. He owns 20 acres of land in Nazo Kaley, of which only 7 acres was producing any significant crops.

"The land was spoiled by waterlogging from the irrigation that the British installed some 200 years ago," he went on as he proudly showed us his new crops sprouting from the soil. He turned to a dry and barren piece of land next to his green acres. "The land all was like this and produced nothing. Look, even the weeds won't grow. There were never any drains, but then the government started putting in big drains [IBRD funding] 4 or 5 years ago and the water went down. We learned about

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using gypsum, but is was too expensive. Even with a government subsidy it cost Rs 175 a ton, and that subsidy is running out this coming June. If I hadn't been able to take advantage of this program my children and grandchildren would have nothing. Now they will have good land."

Purdal Khan Kaley

I thought there was something familiar about the village as we turned off the tarmac road over the small broken culvert. "Yes, even that culvert with the hole in it is familiar," I thought as the Land Cruiser pitched and bounced down the dirt track. I had been here last summer. The SRSC hadn't officially begun yet, but they had borrowed some funds to get going while they awaited "real" money from the USAID program to make its way through the long pipeline. They were planning to install a tubewell and bring in gypsum as they did later in Nazo Kaley. Purdal Khan Kaley was one of the SRSC's very first efforts and now we could look at the result some 16 months later. Around me were green fields where I'd last seen gray and barren land.

"Come see our experiment station, we've planted new crops that we haven't even shown our SRSC friends." Shamaz Khan, who with his brother Shah Nawaz, farms 9 acres, was fairly bursting with enthusiasm and I had to break into a dog trot to keep up with him. As we made our way along the small ridges that bounded the hand dug irrigation channel bringing water from the village's new tubewell, he described his farming operation. "Of our 9 acres, our two families own 6. The other 3 acres we have on lease for which we pay Rs 800/acre. Last year we planted two and a half acres in sugar cane, one-half acre rice, and 2 and a half acres in maize. I spent Rs 1,100 on fertilizer, applied 20 carts of manure worth Rs 1,000, and paid Rs 350 for plowing. For this, and with the blessing of Allah, I earned about Rs 10,000 for the sugar. I also harvested 2 maunds of rice worth Rs 950, maize worth Rs 2,400, plus fodder worth Rs 600. This year I am planting 3 acres in sugar, 2 acres in wheat, and one in fodder for my animals. And, look at this... an acre of potatoes... and garlic. No one in our area has tried these crops, not even SRSC or the Agriculture Department" Shamaz pointed out two fields totaling just over 1.5 acres. The plants looked healthy. We crossed our fingers and wished him well with his experiment.

Shamaz and Shah Nawaz were among the first to join the new village organization last year. At that time only 45 of the village's 100 acres were producing crops. Today 45 more acres are in production, doubling the village's productive capacity. Only 10 acres of land are still barren. Their owners had decided not to participate in the program last year but have signed up since they saw the result. The village has approximately 35 households almost equally split between landowners and tenants. The VO has 30 members who have together saved Rs 35,000. Their

counterpart women's organization has 24 members and has saved Rs 5,700. Last year, with an SRSC grant of Rs 160,000 a deep tubewell was drilled as part of the land reclamation effort. The well produced nothing. Then, drawing on local expertise, the well was pulled up to 90' where they struck water in March of this year. Members pay Rs 7/hour for water pumped from the tubewell. Of this Rs 2 is set aside for repairs. Non-members may obtain water for Rs 10-12/hour, but as yet there has been no surplus available.

"Now that this village is on its feet, we are looking at some new activities, ones that will be sustainable, that won't require outside resources." Javed Majid, CEO of the SRSC, turned the wheel and his Pajero bounced back out onto the main road. "We have three possibilities in mind: The first is to make their Rs 35,000 available back to them in the form of a loan fund for seasonal credit to members. Second, we are talking with women in particular about taking out loans for cattle and fodder, with an eye to fattening animals for sale during the Eid season. Our third possibility is a self insurance fund to protect them against losses should an animal die."

PART B: INTERVIEWS AND DISCUSSIONS

Rationalizing the Planning Process in Tribal Areas

Conversation with Khalid Masood, Chief, FATA Section, Planning & Development Department. October 30, 1991

In charge of a small planning unit within the Planning and Development Department, Khalid Masood's mission is to rationalize the planning process in the tribal areas, introducing more scientific data and criteria-based decision-making into a system that has largely operated on political criteria over the past century. Specifically with regard to the TADP he sees six main objectives as contributing to this process and thus to the acceleration of socioeconomic development :

- Establish planning and project design criteria that promote sustainable development.
- Restrict fields for activities to those with short-term production and income pay-offs.

- Improve quality and availability of planning data, including objective GIS sources drawing on satellite imagery, that reflect the design criteria selected.

- Get Political Agents and line departments to recommend projects that meet the criteria.

- Work with and through the traditional tribal consultation, decision-making, and management process.

- Focus on small-scale projects that maximize community participation, traditionally defined, and thus provide the most impact to the greatest number of beneficiaries.

Rational planning depends on good data, noted Masood; good data just doesn't exist for the tribal areas; and thus solid planning does not and cannot exist. The Bureau of Statistics' Fact Book on the tribal areas, for example was full of erroneous information which is in the process of being improved, but the weaknesses are still legion. Women, who do most of the agricultural work in the tribal areas, for example, cannot be interviewed by the male staff. GIS and a data analyst are both needed urgently by the Planning and Development Department to help overcome some of these gaps.

The tribal system, by contrast, is very strong, inexpensive, extremely effective, and thus highly cost-effective. Undermining or otherwise tampering with it is counterproductive. There is less lawlessness and more discipline in the tribal areas than in the rest of Pakistan, despite the appearance of security problems and ferocious independence of the tribal people. Their ancient nikat system handles legal matters, law and order, and distributional matters remarkably well. Public participation in agricultural activities, especially irrigation, is rooted in history, and the information grape-vine is extremely efficient: the spread of innovation, once successfully demonstrated, is remarkably fast. Even opium poppy production is a relatively limited problem in the tribal areas, being largely confined to parts of Bajaur and non-tribal areas such as Dir, Kala Dhaka, and across the border in Afghanistan. Very little opium is grown in North and South Waziristan, Kurram, Orakzai, Khyber, and Mohmand Agencies. (Admittedly, processing and traffikking does go on in many border areas.)

Planning, therefore, to be effective, must be grounded in the tribal system and the office of the Political Agent, the apex of the traditional tribal legal and administrative structure. TADP activity appraisals, like those of P&D and the SDU,

need to flow through the Political Agent before going to the appropriate line agency for implementation.

Tribal Society: Lessons from Gadoon-Amazai for TADP

Mushtaq Ahmed, USAID Engineer, NWFADP, Peshawar October 31, 1991

Brief History of Gadoon-Amazai and NWFADP

The Gadoon-Amazai hills, just West of Tarbela lake, have been an isolated tribal area for centuries. There are three main ethnic groups in the Gadoon-Amazai area. The Yousafzais have long been the landowners and Khans, although a minority of the population. They are joined in the leadership hierarchy by the Sayeds, or religious leaders, and who also own substantial land areas. The majority, perhaps 80-85%, however, are the Gujars, who exist almost solely as tenants, farming for half the crop produced and often living in conditions akin to slavery. Debts, for example, are routinely carried over from generation to generation, resulting in a virtually permanent servant class. Despite the leadership of the landowning class, however, the system of powerful local maliks, often with small but well-equipped armies, that marks the tribal areas does not exist in the Gadoon-Amazai area.

The local economy is based on dry land, rainfed hill agriculture and has long depended on opium poppy cultivation to supplant subsistence crop incomes. The cultivation of poppy in the area may go back centuries when it is believed that the area, linked to the silk route, provided opium to China from early times. During the British Raj licenses were given to Gadoon opium producers and many of these were continued by the Pakistan Government up to the 1960s.

Until 1953 the Gadoon area was a Provincially Administered tribal Area (PATA) and in all important respects functioned administratively and socially as any other tribal society. Little changed with its shift from PATA to settled area status, however, as the area remained virtually totally isolated with no roads or electricity and virtually no schools or health facilities.

In the early 1960's, with the construction of the massive Tarbela Dam, contractors needed earth, gravel, and cheap labor. For this they looked to the Tarbela catchment area and to the Gadoon hills in particular, at the foot of which they set up a central receiving and sifting area, feeding material via a giant conveyor system and tunnel 5 km to the Dam site. To bring labor and material from the hill areas a 20 km road was built up to Kabgani, perhaps 1/4 of the way into the Gadoon hills. Laborers from Gadoon began to learn the function of the outside cash economy and the

rudiments of organized construction. With leadership from ex-MNA, Ghafoor Jadoon, and assistance from government the road was extended, as an improved gravel track, up to Utla. Until the NWFADP/Gadoon Project was initiated in the early 1980s, however, this was just about the extent of modern services and infrastructure for the area.

To eliminate poppy production, then covering approximately 10,000 acres, a two pronged initiative of government enforcement and USAID capital infrastructure investment sought both to discourage cultivation and purchase loyalty from the local population. Initial efforts, beginning in 1983, were rejected by the locals, who put up roadblocks and turned away both those trying to enforce the ban and others promoting agricultural and rural development. Until a show of force by government in 1986, however, which resulted in about a dozen deaths, virtually no progress was made. This incident, while it triggered a national debate that almost toppled the government in power (and which continues today in the controversy over the Gadoon Industrial Estate), led the next year to a deal being struck between Government and local leaders and a massive rural infrastructure program began.

It soon became apparent that government line departments were not up to the enormity of the task ahead of them. Communication and Works, Agriculture, forestry, and Education departments made little headway.

The communities of Gadoon finally provided the answer. Looking back to the Tarbela experience GONWFP and USAID initiated a program to contract sub-projects to local communities. Communities were encouraged to form project committees under a local leader. These became, in effect, informal companies and were provided with funds and technical assistance through the NWFADP. Local leaders employed people from their own community and were paid the usual fees plus the overhead and profit margins normally given to contractors.

The result was very positive and, having completed only 10-12 sub-projects until this system was introduced, construction accelerated until there were several hundred sub-projects underway simultaneously in virtually every part of Gadoon. At present over 1,000 sub-projects have been completed or are underway.

Sub-contracting to communities, while not the self-help approach being encouraged today, turned a potential disaster into a major success. It resulted, not only in the development of area infrastructure to a degree that almost matched provincial averages, but also contributed to the virtual elimination of poppy cultivation.

Two factors help prevent the reintroduction of poppy: (a) Government enforcement of the poppy ban in the area, and (b) socio-economic alternatives to poppy cultivation. If enforcement becomes lax and income alternatives dry up then there is a very real possibility, that poppy cultivation could reappear.

The NWFADP thus provided a testing ground for both a form of community participation and the decentralization of local infrastructure development. Furthermore, the projects began to draw the communities into the regional economy, widening horizons and encouraging commercial activities. Businesses sprang up along the new roads and local shopkeepers began importing and exporting commodities. The local project committee frequently would take on 2nd or 3rd projects and today a number of the small community-based contractors have joined together and are now successfully bidding on construction contracts elsewhere in NWFP.

Furthermore, the active involvement of the communities, the direct and positive social and economic benefits that they are enjoying, provide fertile soil for a more self-help approach to development, one of genuine participatory economic development rooted in the community itself.

Prospects for Community Participation in Tribal Areas

If the cultural tradition and development history of the Gadoon had developed reasonably fertile soil for community participation approaches to take hold in Gadoon, the same cannot be said for the tribal areas. There a much more hierarchical leadership structure in is place and there has been no widespread effort to contract development projects to communities. In the tribal areas the Political Agent has ultimate authority and is empowered to deal directly with tribal maliks, who themselves represent, speak for and control networks of clans and families.

Leadership among the maliks is passed on through hereditary channels, with the eldest son, or nephew normally being designated as the new malik, and property being divided equally among each son. Conflicts among clans and families are widespread and often the leadership mantle will be hotly contested by one or more nephews, as first cousins frequently consider themselves enemies within the family, although they usually unite against outside enemies.

Without change in this system genuine community participation may be difficult if not impossible, and progress may be measured only in decades. Only through sub-dividing the maliks and/or creating new power bases more widely distributed can one relate directly to the community itself. The uncle of the present Political Agent in North Waziristan, is said to have been killed as a result of a conflict with tribal

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leadership over efforts to change the tribal system. Those who attempt to make significant changes are similarly in danger.

Contracting in tribal areas currently must go through the local maliks, who are often referred to a "sleeping contractors," because they get a standard fee from the Political Agent for each project in their area which affects their area and/or requires local wage labor. The pay-off system being well-entrenched will not be easy to change. Thus the flow of benefits from any scheme will tend toward those with the power, the maliks.

Women face special difficulties in tribal areas. There they are considered second class citizens throughout the Province, the tradition of male dominance is particularly strong in the tribal areas. Women, in the words of a number of observers, are considered property just like a pair of shoes. As long as they please you, you will keep and use them. Should you tire of them, however, you can just throw them away and get a new pair. Tribal women are even bought and sold much in the manner of automobiles. The wealthy will purchase new ones, the poorer will settle for purchasing used ones. Their roles are largely to provide sex, service, and male offspring.

Change in these systems will require generations and can only be undertaken one step at a time. Small projects awarded to larger numbers of smaller maliks may be one means. Working with mullahs, a parallel influence group, may be another. Undertakings with clear performance criteria, including specification of project beneficiaries by name, may be considered. Education, the great equalizer, is very important and, while it takes time, will ultimately create the new power base that erodes the feudal system that prevails.

Women's programs, particularly difficult in tribal areas, can take a leaf from the Gadoon experience. Girls schools must be supported wherever the local leadership permits it. Women's centers can be established with the sponsorship of maliks, who will see themselves as benefitting if their homes and wives are involved. Rashida's approach for Gadoon has worked well. It is built upon setting up rotating women's centers in malik's homes, with their wives serving as hosts, and bringing in outside women to introduce new ideas, skills, income generating activities, and just to enable village women to get together to talk about matters of common interest and share experiences and ideas.

The Sarhad Rural Support Corporation

Conversations with David Smith, WINROCK Advisor to SRSC
Peshawar October 7, 1991

The SRSC is a creation of AID and the Government of North West Frontier Province. It's goal is to replicate in the province's "heartland" the successful model implemented by the AKRSP. SRSC is a private organization that is not even nominally government. Its resources from AID have been channeled through WINROCK, with technical assistance provided (David Smith) to help make the SRSC a viable non-government organization (NGO).

Results to date, in David's view, have been very positive, particularly since the organization is really only about 5 months old if one counts from when the first funds arrived in April 1991. The idea of replicating the AKRSP in NWFP was floated in 1987 and nominally the organization started about 2 years ago when, in late 1989 it was chartered as a corporation by guarantee under Pakistan law. In mid 1990 SRSC received interim, stop-gap funding to help get things moving, at which point an initial bare-bones staff was recruited and an office opened. In all it took about 3 years to go from concept to start-up and about 18 months to get the first AID money flowing through the system from the time of its commitment, a process that David feels need not be so long the next time round.

What's happened now that funds have started to flow? There has been a very positive response from the communities in Charsadda and Kohat where activities have been initiated. A number of village organizations have been formed, significant levels of community savings have been achieved, and development activities have begun, several of which have already been completed though partnerships with the community. David invited us to visit some of these programs, including spin-off projects initiated by the communities on their own and only indirectly as a result of the SRSC's initial productive investment. It was arranged that a field trip be arranged for about two weeks hence to Kohat which adjoins the tribal areas and shares a number of geographic and social conditions with them.

To what does David attribute the positive response and results that have occurred in such a relatively short period of funded field operations? He had six reasons:

- Offers Something Special: SRSC's community approach and emphasis on productive infrastructure development, something which provides an immediate economic return to the community.

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- Effective CEO : Energetic, professional, committed, and experienced in both government and the AKRSP approach, and a key ingredient for any such program

- Adequate Funding: Although slow in coming, the money enables SRSC to get off to a solid start, to hire top quality people, and to support them in a professional manner.

- Positive Links with Government : Government helped set it up, several key board members have been or are associated with Government although they serve in their personal and not professional capacities, and it has recruited its CEO and several other staff from Government.

- Blessing and Key staff from AKRSP: The parent organization has been and continues to be fully supportive.

- Top Flight Senior Social Organizer: Experienced, skilled, and adept at training and motivating others, formerly with AKRSP.

While the SRSC is committed to providing a professional environment and support for its staff, the organization has been criticized by some for its high overhead costs. David feels these have been blown out of proportion and that the organization is not as costly as it appears. This is for four reasons:

- Of the $2 million in initial funding fully $400,000 is consumed by the WINROCK technical assistance contract, leaving just over $1.5 million for operations.

- SRSC started from scratch, having to obtain offices, equipment, vehicles, and staff that run up initial overhead costs against project operations for which expenditure starts slowly and only picks up gradually over time.

- Technical staff is provided within the team that would normally come from government line agencies; normally such an organization shouldn't have to duplicate government services but to draw upon them instead.

- Project benefits and community participation are difficult to quantify against the readily quantifiable overhead costs.

Issues to keep at the forefront of TADP reorientation

- Build community capacity.
- Close your eyes to what's come before in the way of top-down infrastructure provisions.
- Close your eyes to immediate needs for irrigation, agriculture, and road development.
- Measure success in building community capacity for its own sake, for addressing their own priorities, not in just maintaining the "things" that AID financed.
- Build capacity to increase local incomes; maintain a production orientation.
- Build a role for women, especially for literacy, health education, and production.

Training issues: Scope for Short Term Action

- There is an urgent need for institutionalized training capacity, demand far exceeds supply. The SRSC borrowed from the AKRSP but others can't do that so freely.
- Coverdale proposal should be pursued, starting with an ad hoc course for 20-30 people.

Tribal Area Development and the SRSC:
Some Proposals for Short and Long Term Action

Javed Majid & David Smith
Peshawar November 6 and 7, 1991

Working in Tribal Areas

As a former political agent himself, Javed Majid, has given considerable thought to how a participatory strategy of the type being implemented by SRSC could be undertaken in the tribal areas. There are clear obstacles, including:

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- Tradition of hand-outs and subsidies entrenched.
- Normal contracting process enables, even encourages, opportunities for temptation.
- Participatory strategies never tested, and hardly understood, in tribal areas (with a very few exceptions).

Despite these obstacles, and although the social, political, and administrative structures are very different in tribal areas from those in settled areas, Javed believes that a participatory strategy might actually be as easily, if not more easily introduced in tribal areas for several reasons:

- Strong and cohesive social structure enabling effective decision-making and collective action.
- Tradition of independence, self-reliance compatible with participatory approach.
- Clear line of authority through Political Agents and leading maliks to implement any new policy.
- Severely disadvantage areas which will respond favorably to assistance that is perceived to promote productive, income-generating activities, especially irrigation

To be successful in these unique areas, however, requires a special approach:

- Must have Political Agent onboard and, if possible as sponsor or patron.
- Must involve leading maliks, similarly, among whom "activists" can certainly be found.
- Special awareness-raising/training opportunities needed as above will not be familiar with community participation approaches and how they may enhance the Agents and/or malik's effectiveness by enabling benefits to be more widely and effectively spread.

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Proposal(s) for initiating a participatory strategy in tribal areas

- Provide awareness/training/study tours for Political Agents, selected maliks, identified "activists," and key staff from line agencies.
- Develop a number of pilot efforts to test different approaches... don't just replicate standard SRSC package, for example, have some flexibility.
- Bring together a few carefully selected Political Agents to discuss ideas and get suggestions -- Javed, as a former Political Agent, has some ideas on who might be included and would be willing to co-host a meeting in the next few weeks.

Meeting with selected Political Agents to Develop Ideas

Javed phoned the next day to let us know that he had checked with some of his contacts regarding the feasibility of having such a meeting and learned that they will be in Peshawar for a meeting with the Governor on November 17 and that four of his colleagues would most likely be ready and willing to attend a special meeting on the day before, November 16th. Conversations between M. Odell, D. Grube, and I. Hussain, confirmed date and venue. (Note: While other circumstances later prevented this meeting from taking place, private meetings were held with PA Khyber and PA South Waziristan, reported separately.) All political Agents were invited to the final workshop, December 1, 1991, of which at least 4 attended.

Possible Workshop for Sharing Community Participation Strategies Sponsored by SRSC?

Javed and David have been aware for some time of misunderstandings among the various groups using community participation approaches, as well as some questions about the necessity of what some perceive as the relatively high overheads that the AKRSP and SRSC programs appear to have in relation to their total program expenditures. They also saw a real need to improve general information and idea sharing about what is working and not working, to learn from each others experience, to get to know more about each others programs, and to build a sense of community among those in the field. They are therefore considering sponsoring such a get-together, perhaps in collaboration with or under the sponsorship of the Coverdale Organization. Such a proposal seems right on target and should be strongly supported. Regardless whether AID sponsors an outside evaluation and/or interactive workshop(s) among such parties, SRSC's initiative to start such a process on its own is commendable and deserves support.

Encouraging Community Initiative in FATADC Projects

Conversation with Shah, SDO, North Waziristan
Miran Shah October 28, 1991

The FATADC has as its basic goal to provide for the economic development of the tribal areas. This has been translated into three main purposes: irrigation, mineral, and industrial development. The irrigation program has focused on provision of tube well and new or improved irrigation works. Industrial development was begun through the establishment of factories, all of which are now closed because they proved not to be economic, were subject to power failures, suffered from lack of skilled labor, inadequate infrastructure, and could not compete with industries in settled areas. Their approach now is to shift toward cottage industries.

FATADC is also now starting dug well programs as well as pilot projects for plantation development, particularly because they involve more community participation, which they see as a key to success.

In planning our projects FATADC usually has to start with proposals submitted by the Political Agent, although they also initiate their own projects, or bring forward community-proposed projects, and submit them to the Political Agent for clearance, concerning the area where the project is executed. (No project can go ahead without his approval.) Once a project has been identified FATADC does a feasibility study, surveying the area to ascertain if the project is technically feasible and what the cost benefit ratio is in terms of cost per acre irrigated, for example. They do not use cost per beneficiary as a criteria although they feel that might be advisable if our projects are to benefit the greatest number of people at the lowest cost. For irrigation FATADC generally considers projects where the cost does not exceed Rs 10-12,000/acre although exceptions are made on the basis of merit.

Once FATADC has the PA's clearance and have decided the project meets our criteria, they submit it to the FATADC Chairman who has the authority to approve projects funded by GOP up to Rs 2 million. For donor funded projects the process is a somewhat cumbersome. This does not encourage small projects under Rs 1 million which are the types of projects that are likely to encourage maximum community participation.

SDO believes that it would be more efficient and effective if the local Executive Engineer had the authority to approve projects up to Rs 500,000. Local staff, consisting of Executive Engineer, 3 SDOs, an accounting branch of 5 persons, establishment branch of 7, and a drafting branch of 5 (Total 21 professionals, plus 9

support staff) is quite capable of evaluating such small projects and deciding locally on the basis of rational criteria.

The TADP funded Spinwam Kashi irrigation channel is about 92% complete and it is expected that it will be finished in the next 2 months. It is approximately 3 km long, will serve about 1,500 households in 4-5 villages, irrigates a total of 1,150 acres at a cost of Rs 4.2 million (Rs 3,600/ acre and Rs 1,700/household). One local person tried to biock the project for his own reasons but the Political Agent sorted the matter out and everyone appears pleased by the progress. Due to both the long history of community maintenance of irrigation works and signed undertakings with the locals, it is likely that this irrigation system will be well maintained by the community. FATADC neither has the funds nor would they try to fund operation and maintenance of such projects.

Other projects include about 60-70 tube wells from which subsidies have been withdrawn (salaries for chowkidars and operators, electric charges, and repairs). WAPDA is charging Rs 2,500/month but few, if any, have paid so far. Since withdrawal of the subsidies about half the tube wells have stopped operating, the others going on under community or individual leadership but not necessarily paying their electric charges. Because of the traditional tribal negotiation process, it is unlikely that people will pay until forced to do so by direct or indirect means. The average tube well produces 1 cusec. water and serves 100-150 acres. The cost is per beneficiary household is not known, nor routinely calculated.

Prospects for a dug well program for TADP: Proposals for a Partnership with FATADC

FATADC recently submitted a PC-I for a dug well program and they think this will have the greatest chance for both community participation and success. It costs about Rs 100,000 for a 60' dug well ($4,000), of which perhaps 20% goes for unskilled labor and 80% for skilled labor, equipment charges, and materials. FATADC in North Waziristan, for example, has the staff capacity to oversee at least 20-30 dug wells each year, perhaps even more. They think the communities will be ready to contribute unskilled labor to such projects and have a standard format "undertaking" by which the community accepts responsibility for future operation and maintenance and could modify these for labor contributions. There is a long history of community support for irrigation works and for almost 100 years most communities have operated and maintained their own water channels. Any remaining TADP money would be well spent on a community-based dug well program.

Community Participation for Sustainable Development in Tribal Areas

Notes on a Conversation with Col. Abdul Rauf Khan (Retd.), Chairman, FATADC
Peshawar October 10 and November 7, 1991

Our initial conversation on October 10 opened with the Chairman's observation that wisdom has long asserted that "pulling a bone from a dog's mouth is easier than withdrawing a benefit from a tribal..." FATADC is challenging that assumption with a new set of initiatives to increase community participation and increase project sustainability that include systematic phase-out of subsidies once considered untouchable.

With TADP assistance FATADC has completed 13 projects. Ten projects are ongoing and another four are underway. These include 11 completed irrigation channels, plus 6 ongoing, and 1 underway. FATADC still hopes that some means can be found to complete the Malana irrigation scheme in Kurram.

FATADC has installed a total of 400 tube wells of which some 300 are functioning, 110 alone in Bajaur. The TADP has supported 9 tube well schemes, 2 of which have been completed, 4 are ongoing, and 3 are underway.

Links with agriculture have been relatively few to date but FATA/DC wants to change this situation with the encouragement of agribusiness and agriculturally related cottage industries. Trial introduction of Saffron cultivation has been initiated with demonstration plots established at several sites and bulbs delivered free or at cost (Rs 5 each) to local farmers. Consideration is also being given to piloting grape, sericulture, fig, strawberry, and other fruit cultivation with inputs to be supplied at real market prices.

FATADC has serious concerns about the sustainability of current initiatives and is embarking on a systematic program to put all activities on a paying basis. Staff has been cut by 750, and all subsidies have been withdrawn from tube wells, with beneficiaries now being asked to pay all maintenance and operation costs, including payments for chowkidars and electricity. Current estimates put the capital costs of the average tube well at Rs 700,000 and annual maintenance at Rs 100,000 for 20 years. Thus the 686 FATADC tube wells should have an annual maintenance budget of Rs 68,000,000. There has been a hue and cry to the withdrawal of these operational subsidies throughout the tribal Agencies, but apparently significant numbers of beneficiaries have stepped in and picked up the costs and their tube wells are functioning. Others deny operating their tube wells in hopes of subsidies being reinstated but are actually operating them secretly at their own expense.

The key to sustainability is active community participation. FATADC is pushing for labor contributions from communities in Khyber Agency and will initiate similar programs subsequently in all other agencies. There has been -- and there was expected to be -- some initial resistance but FATADC stopped all projects until the communities agreed to participate. Eleven wells are being dug by local communities and are actually being completed ahead of schedule. Flood protection is a high priority in most areas and is considered an activity that will attract maximum community contributions in labor, cash, and kind.

FATADC's recommendation to the TADP is to direct the most funding to those departments using maximum community participation in their programming and, conversely, limiting funding to those departments not using such approaches.

On Thursday, November 7th we followed up this conversation, having visited a number of FATADC projects and met with their staff in a number of Agencies. On the Chairman's desk were several bright blue blossoms and a small pile of saffron, first product from the trials they had started a few months ago with local farmers. The Chairman was visibly proud of this result, reporting they had photographs of substantial fields of saffron blooms that suggested the crop should flourish and prove highly profitable. (Note: the Team had observed on-farm Saffron trials underway on several farms in Wana.)

The Chairman then reiterated his commitment to introducing a corporation-wide programs based on community participation, individual initiative, and the withdrawal of subsidies. He was convinced that his program to put tube wells wholly in the hands of local was sound and pledged to stand firm in the face of pressure to reverse his position, and that he would be successful in light of government's overall commitment to removing subsidies, although he recognized the possibility did exist that his hand could be forced by political pressures.

Community participation as proposed under the TADP was a sound approach and one that he had personally introduced and tested when he served as Political agent in Baluchistan in 1974, working with the Marri-Bugti, a particularly hostile, suspicious, and difficult tribe to work with. These people, he noted, are very poor, wretchedly clothed, and controlled by their Sardars (like maliks) who have kept them illiterate and cut off from the outside world, accusing Government of trying to undermine their tribal customs. His approach was to start by building trust among the tribesmen by providing medicine and clothing to those in need encountered during his extensive travels in the area. Schools, agricultural demonstration plots, test orchards, and other development schemes were initiated and people began to come forward with requests for further assistance. That is when he began introducing a participatory

approach. Those wanting to dig wells were provided with tools, equipment, a Persian wheel, and bullock to augment their own labor. He also brought tractors in to level land and plow for new crops, making it clear that the next time any plowing would be at their own cost. By the time he left in 1977 he had seen big changes and has believed in such an approach ever since. The horticulture industry in Baluchistan is on a firm footing now and one progressive Baluch leader and his son are using an innovative and inexpensive well drilling rig fitted to a tractor. (Haji Abdul Manan, son Nazir, Fruit Mundi, Quetta, Tel: 081-40378)

FATADC has completed all necessary surveys for the irrigation scheme at Malana and the Chairman indicated that he saw every reason for its being implemented on a self-help, participatory basis. He agreed to a joint FATADC/TADP feasibility study, to be conducted with the help of an SRSC social organizer, and it was agreed that , if significant community participation could be assured, TADP would consider recommending to USAID that the project be taken off the "shelf" where it has now been placed, and put back on an active footing. The Chairman and TADP project officer agreed to initiate such a feasibility study within the next few weeks.

The Chairman also indicated that it is now FATADC policy to discourage the drilling of new tube wells for 4 reasons:

- Initial cost: Tube wells are a very costly means of providing water, the average well costing Rs 0.7 million.
- Maintenance/Operations: Recurrent costs now total Rs 1.2 million for FATADC tube wells.
- Recharge: Tube wells have been proved to draw down the water table too rapidly.
- Beneficiaries: Tube wells typically provide water supplies to a very limited number of families

Instead FATADC is emphasizing the following:

- Irrigation channels, especially lining and improvement of existing channels.
- Dug wells, especially provision of equipment, tools, materials, but little or no labor.

- Small dams, catchment tanks, and ponds.
- Flood protection, gabions, improved intakes for irrigation systems from perennial and seasonal sources.

Small tube wells might also be considered in some circumstances, provided clear agreement is made by the community that the number of beneficiaries will be significant and all operational costs will be borne by them.

It was further agreed that such water development schemes should wherever feasible be linked to:

- Afforestation and reforestation.
- Improved irrigation technology, including basin and simplified trickle systems.
- Mini-hydroelectric and/or water ram and lift irrigation schemes.
- Improved dug well technology, such as power winch and/or tractor mounted equipment, as observed by the team in South Waziristan and by Chairman in Baluchistan, as above

Prospects for a Partnership with FATADC: Lessons and Afterthoughts

Both the FATADC Chairman and his senior people in the field confirmed the feasibility of a partnership with the TADP, built around maximum possible community participation. The FATADC approach includes two key ingredients of a successful community participation strategy and thus the proposed partnership should be seriously examined. The two key elements of the FATADC approach:

- Pro-forma agreements that make it possible for technical departments to promote community participation even where they have little or no experience in social organization methods -- an engineer can serve the role of social organizer simply by explaining the terms of the pro-forma contract and the obligations incumbent upon the community and the department which must be agreed upon in jirga if the project is to go forward.

- Commitment to community participation and social organization as a component of their departmental strategy. FATADC is ready to train its staff in participatory development methods, to include social organizations skills and/or professional organizers within its development team.

SDU, TADP, and Community Participation

Conversation with M. Shehzad Arbab, Chief, SDU, P&D Department
Peshawar November 6, 1991

The SDU presently oversees approximately $200 million in donor funded projects which include 9 poppy eradication and area development initiatives, including the TADP and NWFADP. The TADP has funding earmarked for a new building to house the TADP Project Management Unit, although its utilizations would not be restricted to the TADP, and thus the SDU itself might also share such a building. The funds are now a block in the Personal Ledger Account and thus the ball is in the SDU's court. Getting the TADP PMU up and functioning is top priority.

Monitoring and evaluation, an important function of the SDU, is now receiving technical assistance from UNDCP, Australian Peter Blood now in post as technical advisor. The socio-economic profiles prepared thus far by USAID should be shifted to the SDU and support for further developing these as a resource might be sought under an agreement with the University, Planning and Development Department, and, possibly, IDS and/or the TIPAN project at the Agriculture University.

Community participation is an active part of virtually all SDU coordinated projects, with the notable exception of the TADP. Experimentation has been or is being undertaken in Chitral, Dir, and Gadoon. In Shehzad's view the TADP should look for soft areas to introduce community participation, test it, and expand as appropriate. It is not necessary to wait for results to proceed. Participatory planning in the tribal areas need not be introduced with a single approach. Methods or models might vary from area to area. The tribal areas will most likely require a special approach, different, for example from the AKRSP model used in Chitral. North and South Waziristan, for example, might be ready to start something, but we wouldn't want to commit ourselves to a fixed, imported methodology. Flexibility is key.

The traditional malik authority structure, whatever the reasons for its emergence during the Colonial period, is the most appropriate channel to work through, even though some of them might feel undermined rather than empowered by the development, for example, of strong village organizations. Similarly Union

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Councils, absent in tribal areas, might be developed in future and could either sponsor the development of village organizations or feel undermined by such entities.

Certainly some Political Agents would reject the community participation approach, feeling the need to focus on law and order issues and other matters that overload their already packed agendas.

Some Recommendations for the TADP and Community Participation in Particular

Training will be a real key to the future of community participation in tribal areas. Awareness raising, through 2-3 day study tours should be attractive, although other incentives may be needed beyond a directive from the ACS.

Support will also be needed in terms of staff and expertise. The SRSC, for example, has resources but doesn't have clout in the line departments, for example, while the SDU has the clout but no resources.

Self-Help Initiatives and the Reorientation of the Pak-Swiss Kalam Integrated Development Project

Discussions with John Krijnen, Intercooperation/Swiss; Christian Sasparis, Emch & Berger/KIDP/Swiss; & Mohammad Rafiq, DFO Kalam/Malakand
Peshawar November 16, 1991

Quite by chance we learned that almost simultaneous with our own mission the Swiss supported Kalam Integrated Development Project has a consulting team here in Pakistan planning for the final phase of their own program, the terms of reference being to put the KIDP on a sustainable basis built around local self-help initiatives. We arranged an evening meeting with three of their four team members. Their Team Leader, John Krijnen, is the Swiss Desk Officer for the KIDP with their home organization in Berne, Switzerland, Christian Casparis was the Chief Technical Advisor in Kalam during the project's early years, while Mohammad Rafiq had served as Project Director for the Malakand Social Forestry Project, another participatory initiative in NWFP. We asked them to describe the evolution of their own approach in Kalam and their proposals for their final phase, scheduled for phase out in 1996.

They indicated that their program, while similar in many ways to the AKRSP, began on a clear, simple self-help model which provided all external inputs for development projects free of cost, including technical assistance, training, tools, and 'imported' materials like cement, reinforcing rods, hardware, and window glass. As its part, the community provided all local inputs free of cost, including land, labor, and

locally available materials like wood, sand, and stone. The monetized value of the locally provided inputs varied widely, however, which meant that some communities might be providing 20% of the total project costs while another might be providing 90%, depending on the labor intensity of the project, e.g., a fully equipped health clinic versus a shingle road. During the project's second phase, therefore, a serious effort was made to monetize all inputs, both local and outside, and to limit project-provided contributions to 70% of total costs. During the next phase of the project this shifted to 50% and during the final phase it is proposed to be gradually reduced to zero.

To ensure sustainability the project not only is proposing the phase-out of external assistance but also the development of a permanent institutional home for the project. Three choices are now under consideration, including:

- Absorption/hand-over to line agencies.
- Integration into an existing NGO, SRSC having been the most seriously considered NGO.
- Transformation into a free-standing NGO.

The team currently felt the third option was the rnost likely, although they are also examining the feasibility of having the project develop, during its final phase, the necessary line positions and PC-Is to enable its integration into the government system.

A key element in the KIDP strategy for increasing community participation in order to bring about sustainability beyond PACD is the introduction of a Participatory Rural Appraisal (PRA) approach to village-level planning. This approach, modeled on the same IIED approach being evaluated by our own team, is being introduced to KIDP staff through a series of training workshops planned for the next phase of the project. In the view of the Swiss-Pak team the PRA approach provides significant advantages over the Rapid Rural Appraisal approaches that have already proven quite useful in Malakand and Kalam. PRA, in their view, provides the AKRSP-type dialogue process with enhanced capability for promoting a simplified but solid information-based natural resource planning process that can be carried out by the villages themselves, increasing both community participation and empowerment of local village organizations.

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Toward a Planning and Development Strategy for Tribal Areas
Conversations with Habibullah Khan, PA/South Waziristan, and Attaullah Khan, PA/Khyber
Peshawar November 18, 1991

We had met Habibullah Khan while traveling in South Waziristan and today found him here in Peshawar. He was together with his colleague and former schoolmate, Attaullah Khan, Political Agent for Khyber Agency, formerly PA Malakand and associated with both UN and US narcotics eradication programs in Dir and Gadoon. The two officers provide an enlightening cross-section of the range of Agencies and Agents in the tribal areas, Habibullah having broad experience and involvement in development activities and serving in an agency renowned for remoteness and agricultural innovation, while Attaulah serves in an Agency which is readily accessible, limited in its agricultural development, and plagued with security problems. Our discussion focused on sustainability, and more specifically how the final three years of the TADP might promote a sustainable planning and development process in the tribal areas, ensuring an ongoing flow of benefits to local people after US funding ceases in 1994.

Attaullah opened our discussion by noting that in his service in the tribal areas he had seen little if anything of the TADP, and in his present capacity is almost entirely taken up with law and order/security issues, development being virtually at the bottom of a vary long list. Both men agreed that a substantial portion of their time is taken up by such matters, as well as the endless procession of individuals who come through their offices asking for favors, concessions, and advice. Planning and strategic decision-making gets precious little time or attention, their full schedules being devoted to brush fires. During our 75 minute meeting at least half a dozen people came and went.

An article on development needs in tribal areas which appeared in the local paper two days ago stimulated a lively interchange before we got to the meat of our discussion. The subject was the Tribal Welfare Jirga, an organization which had presented the government with a memorandum of demands for reforms, including abolition of tribal law, adult franchise, elected Agency Councils, expansion and reform of FATADC, and improvement of health, education, employment, and agricultural services. (Frontier Post 11/16/91) In the view of the two PAs this group did not represent the views of the tribal people of their Agencies, but of a group of retired civil servants and educated leadership with very limited roots, if any, in the tribal areas. The word "pseudo-intellectual" was one that was dropped during the conversation. They perceived the group as putting forward a long list of demands that neither reflected mainstream tribal thinking, nor offered any concomitant

responsibility or commitment to action on their own part. They were skeptical whether the tribal people were ready to give up their tradition, their laws, their authority and independence to the central government as suggested by their demands. "For that matter," asked Attaullah, "are they even ready to pay the taxes and electricity bills that all other Pakistanis are bound to pay and which tribals are not?"

Planning and Information Systems for Decision-Making

"Planning and decision-making," they agree, "may actually be better in tribal than settled areas, although good information is hard to find." The strong tribal management and consensus-reckoning traditions in the communities provide their recognized leaders with clear priorities and decision-making authority. They bring their community demands to the PAs, and increasingly to the Agency Council, a group of 40-60 appointed tribal leaders, joined by line agency and political staff, who advise the PA on which development projects should be forwarded for approval. Decisions, usually by consensus, are based on technical, geographic, and demographic criteria. Requested schools are judged, for example, by numbers of students they will serve, distance, size, and enrollment in nearby schools compared to other areas in the agency. Line departments give their opinions based on pre-feasibility studies, and where appropriate, on detailed technical studies. Community participation in the form of contributions of labor or cash are very limited but land is virtually always supplied free, together with utilization and security assurances, guaranteed by the concerned tribe. "Entry costs" by which a tribe demands an advance payment before allowing government to implement a development scheme, such as a road, in their area, are still expected in some of the more remote and fiercely independent areas but is becoming increasingly rare.

Reliable information in the tribal areas is extremely difficult to come by, but what information is available does not necessarily support the conventional wisdom that tribal areas area significantly are behind settled areas in terms of services per capital population. They each cited available data that suggested, instead, that tribal areas actually have higher relative levels of educational, livestock, and health facilities than many settled areas, although they may well function at much lower standards than would be acceptable in settled areas. Attaullah noted, for example, that the Chief Minister, on a recent tour of frontier regions in the more remote areas of NWFP had been "shocked by so-called backward districts, finding them, to his surprise, better off than many of those settled areas considered to be among the most advanced, like Mardan, Swabi, and Charsadda." A proper, thorough study, they both felt, is required that will test such anecdotal impressions and provide solid data for planning and decision-making. While, like virtually all PAs interviewed during this mission, Attaullah had neither heard of nor seen any of the USAID sponsored

socioeconomic profiles, he felt that both quantitative and qualitative improvements were needed if good planning were to be implemented. Habibullah, the exception which may prove the rule, uses the socio-economic profile of South Waziristan regularly and has asked his staff to put a system in place to bring its information up to date regularly.

Sustainability Strategies

While government must take responsibility for the sustainability, through operations and maintenance commitments, for most classical infrastructure developments such as roads, schools, and health facilities, communities must increasingly be expected to share costs, particularly for productive infrastructure such as irrigation, forestry, feeder roads, tube and dug wells. Drinking water supplies, while not strictly productive income generating activities, free up female household labor dramatically, thus enabling new labor investments in production. Political Agents, like FATADC, will increasingly be expecting communities to take up responsibility for labor, local materials, operations, and maintenance. The days of uncollected electric bills, "watch and ward," government paid class four employees, free or subsidized inputs, seeds, or fruit trees are numbered, if not over. It is, indeed, not unreasonable to begin to see the PAs as "super social organizers," the patrons of development armed with explicit pro-forma undertakings to which communities will be required to subscribe if most developments are to occur.

An exception to this model, however, is in the need for bringing existing facilities and services up to standard, providing for missing or inadequate equipment, doors, windows, furniture, and the requisite staff housing necessary to put minimal facilities or programs into fully functioning form and reduce staff turnover. The TADP, in their view, could provide a great service in bringing services and facilities up to snuff, after which government would have to pick up the ball and keep it rolling.

Revenues and Taxation

Tribal agencies and communities have relatively limited authority to levy local taxes or fees. Tribals are not expected to pay any direct federal taxes, which make up about 15% of the total tax burden in Pakistan. They do, of course, pay the standard indirect taxes like customs and excise that are built into the prices of commodities and which account for about 85% of the tax load. PAs do have the authority to collect fines under certain circumstances, PA Khyber collects a nominal import tax, and PA South Waziristan collects a small export tax. Habibullah Khan estimates his total gross revenues at Rs 30-350,000, a figure approximately matched by his expenditures. Informal tolls on feeder roads or other fees in the form of

contributions would not be a problem though locally established formal taxes would not be sanctioned by law.

Agriculture, Horticulture, and Irrigation

Irrigation of all types is urgently needed in all agencies and will be sustainable because it can and will generate maximum community participation, with from 25% to 50% of total project costs being readily borne by the users/communities. Water user or farmers associations are not likely to be needed as existing community management and decision-making systems are functioning, strong, and being utilized for the management of all existing systems. A horticulture marketing study, together with support of progeny gardens to provide improved varieties, plus new technology and method, is needed in order to stimulate private agribusiness. Nursery training for individual farmers will have a high pay-off.

Proposed Focus for TADP's last 3 Years

Utilizing community participation:

- Irrigation, wells, and flood control.
- Link roads, bridle paths, improved tracks
- Social forestry; community and individual.
- Public health engineering; drinking water supplies.

Private Sector

- Horticulture, farm forestry, especially private sector nursery training.

Other

- Improvement of existing facilities rather than provision of new ones; especially for female education.

Proposed Directorate for Community Participation Training Local Government and Rural Development Department

Notes on a Conversation with
Abdul Latif Khan, Secretary, LG&RD
Peshawar October 8, 1991

LG&RD has seen good results from programs utilizing community participation and wants to see these efforts replicated. The mandate for this program could include the tribal areas and the TADP could initiate pilot projects for community participation. Existing TADP schemes are just like those carried out by LG&RD which now has about 60-70 schemes in each Agency, hundreds in all. LG&RD would endorse TADP proposals to have its projects all emphasize a community participation approach. Political Agents might not always agree with such proposals and would have to be brought onboard. Different criteria, procedures, and formulas for allocation of resources currently apply to tribal and settled areas and this causes continuing problems.

Prospects for Decentralized Local Institutional Development: Some Afterthoughts

While still very weak, having been seriously undermined by a round-robin of political changes between dictatorships and democracy in Pakistan, representative local government institutions are still the basic channel for local self-expression and development initiative. This includes Councils at the "Union" and "District" levels only, however, there being no officially sanctioned village level representative institution since the traditional panchayat system of previous generations was demolished though policy and/or neglect. In the tribal areas, and to a lesser extent in Gadoon-Amazai, however, the traditional jirga system still is active, even handling the considerable majority of all disciplinary and court cases and serving as the recognized "town meeting" forum for local consultation and decision-making. No malik takes any significant decision without consulting his jirga. While it seems particularly appropriate, even essential, to work through the jirga system in tribal areas, nothing proposed under tribal area redirection should undermine the extension and/or improvement of responsive and effective local representational structures into tribal areas.

Tribal Institutions: The Organizational Structure for a Participatory Development Strategy

Conversations with Prof. Murntaz Ali Bangash, Department of Public Administration, and Prof. Karam Elahi, Chairman, Department of Social Work, Anthropology, and Sociology
Peshawar University November 21, 1991

"To bring about development in the tribal areas you have to start with the local people and their local institutions: the jirga, the hujra, their maliks... and nothing can be done effectively, sustainably, without their active participation." Professor Bangash spoke with some authority on the matter. Himself a tribal Pakhtoon from Kurram Agency, an active malik, and the initiator of a number of development projects among his people, he has also participated in a number of research studies on tribal society and served as a consultant for the preparation of USAID's socioeconomic profiles.

"The socio-economic profiles are a planning tool that is invaluable for starting any development activities in the tribal areas but unfortunately they are becoming available only as the project nears completion. The infrastructure provided by TADP, of course, has made a big difference in many areas, especially the roads which have helped open up hitherto inaccessible areas. But for real economic development to take place the people must -- and can -- be involved more actively in all phases: planning, preparation, implementation, operation, and maintenance."

"Tribal people have a strong sense of community and a tradition of collective action; their society is made of cohesive units that work closely together. Successful development must build on their sense of community."

"What's more, contrary to all the stories you hear about security, kidnapping, and the need for elaborate protection to enter the tribal areas, their level of law and order is really higher than in many settled areas. True, they do distrust government, and domination by any outside group, but they retain high regard for foreigners and for any who they believe genuinely wants to help them. While never submitting to British control, they still regard the British with great respect as fair, reliable, and honest people who they could count on to provide genuine benefits. Those attitudes carry over toward those they perceive as having the same commitment. They will welcome the kind of help that the TADP can offer."

Prof. Bangash then gave us a thumbnail sketch of the official institutional system, that put in place largely by the British and still functioning today. The apex

of the administrative system is the Political Agent, comparable to the Deputy Commissioner, although with somewhat more extensive authority. The British set up a system in Baluchistan consisting of Sardars and Khans but this failed when they tried to implement the same system among the Pakhtoons. Instead they appointed traditional leaders, maliks, as the "gangplank" between government and the tribal clans and sub-clans, parceling out rights and benefits through an elaborate share system that persists today. Among some tribes, such as those of South and North Waziristan, they distribute rights and benefits equally among all tribesmen rather than according to traditional shares. The maliks were also vested with electoral authority on behalf of their tribes.

Today the maliks retain those linking and electoral roles except that they have become increasingly seen to be agents of the government rather than of their people. Personal interests have also become increasingly evident, with many maliks reserving jobs that might derive from government activities for their personal relatives. The radical mullahs of the 80s challenged these maliks, dubbing them "the 40 thieves."

These perceptions strongly reflected those described the previous day by the head of the university's Dept. of Social Work, Anthropology, and Social Anthropology, Prof. Karam Elahi, who quoted a tribal adage: "A malik is malik as long as he can secure benefits for his tribe."

We asked Prof. Bangash, who is just beginning on his own Ph.D. dissertation research on the institutional structures in the tribal areas and their implications for development, what he might suggest as a viable strategy for the TADP final three years. His vision, which built its foundation on a participatory strategy, was straight forward. It envisioned four tiers of actors:

- A non-governmental village organization, built on tribal structure, and with full power for local action.
- Role for maliks as link to local communities, convener of legitimizing jirga.
- Line department within the Agency to provide a conduit for resources, and/or technical assistance.
- Outside government and/or donor(s) for funding and project oversight.

Elements of an Action Plan

Given the difficulties of entry and access in tribal society it is suggested to start with a group of educated people who are from the tribal areas and have both strong roots there, have genuine respect for the people regardless of their literacy, and a clear sense of how to work among them. This would lead to taking the following steps::

- Establish an umbrella monitoring and evaluation system to keep track of what is happening and its results.
- Develop a pilot project in one agency, preferably one that is more progressive and open to outside people and ideas.
- Initiate village contacts through the local jirgas, recognizing their informal nature, to gain legitimacy and to sanction both process and activities proposed; voiding government bureaucrats as much as possible as they will immediately be suspected for trying to line their pockets.
- Evolve these meetings into a local village organization, a task force, "rapakay," or "mushran" to establish priorities and a plan of action that taps both local and outside resources.
- Implement projects, using line agencies where appropriate, but relying on the community to the maximum extent possible.

This list of suggestions closely reflected that described by Prof. Karam Elahi earlier, but to which he added one important caveat:

"Free enterprise doesn't mean free labor. Be sensitive to the possibility that in some areas the suggestion of normal labor contributions by local communities may be repugnant because it traditionally meant 'forced labor'. The work ethic is also important and may need to be reflected with wages and with training programs for local villagers that contribute to the implementation of the project while providing marketable skills in demand within the local economy."

Intermediary Activists: the Peshawar Community and Educated Tribal Citizens

In his view, the key to getting started is to have a group of intermediary activists to serve as a link between the project and the community. Peshawar has a

significant number of tribal people in government service, the educational community, and business. Some of them are in the very line agencies that may be involved. There is a large group of tribal area students and they have a Tribal Students Federation which, while having a political orientation, could be re-focused toward development as the members are keen to encourage development but have no mechanism with which to do so. There are also a number of colleges in the tribal areas where students and faculty would welcome the opportunity to become involved in development programs.

By way of leading example, Prof. Bangash related how he had started a community development organization in his own home community in Kurram. The local group, which built a community hall with financial assistance that he had organized, would still be functioning, in his view, if it had access to additional resources.

Students, Role of the University, and Participatory Rural Appraisal: Some After-thoughts

Prof. Bangash is about to embark on his own applied research project in the tribal areas and is particularly interested in the links between local institutions and the development process. A trained researcher with strong roots in an accessible and progressive agency, he also has access to both tribal students in the university and to the general tribal community in Peshawar. He has been part of the process to develop TADP's socio-economic profiles.

It might worth exploring if he and/or others like him would be interested in testing the Participatory Rural Appraisal methodology. Means might be sought to provide them access to training resources (through a mechanism such as Coverdale), and to support for enterprising students from the tribal areas to conduct field work. They then would become a potential resource for implementing an action-research-community dialogue process that could be the opening wedge for a community participation development strategy in the tribal areas. In concert with the Academy for Rural Development, the Agriculture University Outreach program and/or Institute for Development Studies, further opportunities might be explored.

Retreat or Rebirth? The Pakistan Academy for Rural Development and Participatory Development in the Tribal Areas

Reflections on a Conversation with Minhajuddin Khan, Deputy Director for Training Pakistan Academy for Rural Development, Peshawar

November 21, 1991

It didn't seem like the same place that had once been the nerve center for an extensive program of applied community development in 32 villages, that had been home to Shoaib Sultan Khan, now Director of the Agha Khan Rural Support Program, and to Akhter Hameed Khan, the revered grandfather of rural development in Pakistan. Where once rural development theories were hotly argued and defended, where the latest news from Daudzai or Comilla was exchanged -- the once bustling canteen was almost deserted, only one table occupied in a barren hall. True, the grass was clipped and watered, the gardens tended, and the buildings in better repair than most government facilities, but somehow the spirit seemed missing. Here we were at the tail end of our research process and the name of the Academy almost never had been mentioned, nor had it come up, except in the past tense, during any of the previous five missions which had brought me to Pakistan during the past 18 months. As I made my way across the campus I kept pondering, "It certainly isn't dead, but is it really alive?"

Mr. Minhajuddin Khan had welcomed us warmly into his small office off the open courtyard around which the Academy's buildings are attractively situated. With a smile on his face and sparkle in his eye, he was very much alive. As he described the Academy's training mission and major activities, however, I kept having the depressing thought that I was listening to a dispirited civil servant marking time until retirement. I heard words about programs for bureaucrats, government officers, helping them collect information and prepare reports, supervising practical assignments in the field, more reports.

The conversation took an unexpected turn, however. The sparkle returned to Minhajuddin's eyes and his voice lifted with enthusiasm. We had asked whether the Academy did any other training beyond the regular cadres of bureaucrats. He was describing a UNICEF sponsored training program for Dais, traditional midwives.

"We proved to everyone that we can train any illiterate woman in 3 months if they can come to the center for just 2 hours a day. We followed this by fortnightly follow-up courses for 9 months. All completed within a year." He went on animatedly to describe how they came from all over, from the most remote villages, bringing their own extensive indigenous knowledge, and how a Rs 300/month stipend,

plus about Rs 10 per day for transport, was wondrous to them -- and the results made a difference in their villages.

The enthusiasm continued as we heard about the virtues of the indigenous apprenticeship system which trains thousands of automobile mechanics all over Pakistan at no cost to government... of an ILO training workshops that taught women, and those supporting women's programs, how to develop funding proposals...how to develop beekeeping and sericulture programs... about a UNICEF rural sanitation program... and then about bringing the simple rural people who had been through these programs into the classes for the civil servants to teach and to share perspectives on what really works at the village level. The moribund Daudzai program of the village Markaz began to come alive as he described the consolidation of services at a single center arranged around a courtyard with a shaded area and charpoys where news was shared and meetings held.

"What are the elements of a successful rural development strategy?" we queried. The response, making reference to the AKRSP in Gilgit, Pak-German IRDP in Mardan, and SRSC in Peshawar, included ten main points:

- Put the people in charge; local leadership in the management role.
- Shift the focus away from bureaucrats.
- Community-based change agents--local activists.
- Indigenous knowledge.
- Non-government elements, use an approach that keeps control in local, not government hands.
- Village/community organization.
- Existing institutions, revive them where necessary, including the Mosque, jirga, hujra, as well as the District and Union Council systems.
- Training to the village people -- people's training for health, extension, management, and work skills for infrastructure development.
- Learning Process approach -- there are no fixed answers, keep testing the new, re-examine the old.

- Continuity -- keep up the passion to experiment; hang in there; patience is a key to sustainability.

A Training-cum-Planning Strategy: Can a District Council model be adapted for tribal areas?

Turning our discussion to the tribal areas, we inquired what sort of approach would be most appropriate there, particularly where a new organization is not feasible and where the TADP is largely dependent on line agencies. His reply drew us directly to the Participatory Rural Appraisal approach that had been the subject of other conversations among the team and with colleagues working on new directions for the Kalam Integrated Development Project. Minhajuddin was familiar with the method, having read about it in publications from the University of Sussex in England.

Like the TADP, PARD and UNICEF had sought a mechanism for community-based participatory planning and development using existing institutions. The result was a 2 month program implemented in Manshera through line agencies and the District Council system. In tribal areas, in Minhajuddin's view, the analogous approach would be to work through line agencies, the Agency Council, and local village jirgas. The method, which built plans on village surveys conducted by local people, was implemented over a two month period. It's basic structure is built on training trainers, thus multiplying understanding and skills:

- District Councillor and Line Agency staff: 3 day training workshop; master trainers chosen from among participants.

- Master trainers from District Councils train Union Council members and secretaries.

- Union Council members/secretaries train 10 volunteers from each ward/village/"mohalla".

- Village volunteers each conduct 10 simple household surveys, using prepared 2 page simple pro-forma questionnaire, seeking data for planning and priority setting.

Using this training multiplier approach, a "bottom-up" planning process is developed:

- Volunteers prepare local ward/village problem/priority list and village development plan with villagers.

- Village plans are consolidated to make a Union Council plan.
- Union Council plans are brought together to provide input into District Council plan.
- District Council plans are used to develop Divisional and Provincial plans.

After-thoughts on Participatory Rural Appraisal and Rural Development Training

We departed from the Academy more encouraged than when we entered. The fire, while not burning with the intensity of those heady early years before war, politics, budget cuts, and bureaucracy took their toll, has not yet been extinguished. Academy staff seem to share a widespread view that, while a necessary part of the total picture, government bureaucracies are ill suited to the tasks of mobilizing and implementing the complex process of village development, although they will continue to play an important supporting role. For this reason, and with ad hoc donor support, the Academy has made an important, although limited, contribution to research, experimentation, and training directly aimed at village people and their local institutions. The organization has retained the capacity to conduct training in subjects and methodologies relevant to the requirements of tribal areas. Furthermore, it has direct and recent experience with participatory rural information systems and planning initiatives that complement those being used successfully elsewhere in NWFP and being considered for the reorientation of both the TADP and NWFADP. Together with the University's department of Public Administration, the Academy offers a potentially useful resource that may help fill an important gap.

SECTION VI

WORKSHOPS

As a part of the collaborative process of redirecting TADP and NWFADP activities, the Study Team, USAID professionals, and Government of NWFP officials participated in three workshops to plan, review and finalize the thrust of future activities. These workshops, organized by Coverdale in Peshawar, in a sense, served as exercises in both tactical and strategic planning for development in tribal and lagging settled areas in the NWFP. This Section includes Annex O, The Workshops, which details this workshop process.

ANNEX O
THE WORKSHOPS

A. First Workshop: Study Planning

This workshop was held on October 14, 1991 to introduce participants to major issues, especially sustainability, in redirection of TADP and NWFADP; share proposed plan of field visits for the Study Team; and seek participants guidance and support in conducting the study. The meeting, held in Coverdale's office in Peshawar, was attended by Study Team members; USAID/RDD staff at Peshawer; and Government of NWFP and FATADC representatives, including Chairman FATADC, Secretary Communication and Works, Chief FATA Section/P&D; and Chief SDU/P&D.

The workshop started with a statement of purpose by Chief of Party Coverdale followed by brief presentations by Project Officer TADP and Project Officer NWFADP on their respective project, activities and a presentation of the Study Team's perception of the sustainability related issues in tribal areas by the Team Leader. From the subsequent discussions emerged a consensus on the need to promote sustainable development; a commitment by Government of NWFP representatives to facilitate the study by free and prompt sharing of information; and, an agreement to hold two more workshops: first, to review the Study Team's field findings and, second, to discuss the final report.

B. Second Workshop: Mid-term Review

The second workshop was held on November 5, 1991 (after the Study Team had completed field visits to tribal Agencies of Bajaur, South Waziristan, North Waziristan, and Kurram) again at Coverdale's office, and was attended, generally, by participants of the first workshop. From the discussion that followed presentation of field findings by the Team Leader, several general and sector specific conclusions emerged some of which are listed below:

- SDU can serve as the institutional home for regional planning, including the refinement of socio-economic profiles;
- the concept of community participation is well recognized within the Government and should be implemented through existing Government and tribal structures rather than an expensive new NGO; and

- priority need to be given to activities having minimal O&M impact on Government budget -- such as gravity flow irrigation and horticulture on private lands.

C. Third Workshop: Final Review

The final review workshop was held on December 1, 1990 at Khyber Continental, Peshawer. The purpose of this workshop was to review the recommendations of the study team and specify an action plan for implementing the agreed upon recommendations. Prior to the workshop a Summary Discussion Paper was passed on to the invitees (attachment O.1). A shorter Working Paper (attachment O.2) was circulated on the workshop day and formed the basis of discussions. A list of participants appears as ttachment O.3.

The workshop began with a presentation by the Team Leader, Malcolm Odell, on Team's findings, conclusions, and recommendations as summarized in attachment O.1. This was followed by comments from two experts: Tariq Banuri, Policy Advisor, IUCN and Khalid Aziz, Additional Chief Secretary, Planning and Development, Government of NWFP.

1. Expert's Comments

a. Tariq Banuri

Tariq Banuri in his comments agreed with the message for encouraging community participation but observed that the since the desire to promote participatory development has been a part of development thinking since long, the critical question is to identify the constraints that inhibit implementation. Banuri said that Pakistani society is characterized by, what he called, "individual excellence" and "collective incompetence", a situation that has arisen because of incompatibility of incentive structure for individual and group behavior. He remarked that the existing system of resource allocation is unpredictable and this unpredictability encourages a behavior pattern directed towards maximizing individual gains. Banuri concluded that to integrate individual and the collectivity it is necessary to create a compatible incentive structure.

b. Khalid Aziz

Khalid Aziz highlighted the need to rationalize planning, particularly by moving away from political criteria for decision making and by decentralizing the

planning process to involve local communities. He emphasized the development of grass root level local government to promote self-help activities.

2. Group Discussions

After the experts comments, the participants divided in two groups and discussed in details proposed strategy and recommendations. The group discussion was followed by a plenary session where it was agreed to focus on a directly income generating strategy as well as on development of economic and social infrastructure where it does not adequately exist. The two main recommendations for introducing regional planning and initiating community participation were also agreed. The participants also endorsed the substance of the eight supporting recommendations given in attachment O.2.

ATTACHMENT 0.1
FINAL REVIEW WORKSHOP: SUMMARY DISCUSSION PAPER

Tribal Area Development Project & North West Frontier Area Development Project
Re-Orientation Study

Summary Discussion Paper

Prepared for Workshop of 1 December 1991

Preliminary Conclusions and Proposals for a Sustainable Community-Focused Planning and Development Strategy

Introduction

November 26, 1991

Since 5 October the TADP/NWFADP Re-orientation Study Team has conducted field visits, interviews, and conferences to prepare a study that assists Government and USAID decision making on how to increase and sustain the flow of development benefits from these major investments.

Too often, there is much activity with the flow of donor assistance funds but the "balloon" collapses when the funding ends.

While the fundamental concern of the development process, as well as of the study team, is the delivery of benefits to the people at the community level, this report starts by introducing a regional approach to participatory planning and development. USAID and GONWFP have already come to substantive agreement on the implementation of a comprehensive program of community participation. The supporting framework of planning, decision making, and resource allocation, however, has received relatively less attention. As Government and donors contemplate shifting from project to program investments the need for sound regional planning becomes increasingly important.

The link between planning and the community is essential. That link can best be made when planning begins at the community level through a participatory process. This document suggests mechanisms to forge that linkage, to engage the community in a dynamic and interactive planning and development process.

Planning for sustainability should be central to any development initiative. Planning was not a major part of the design of TADP and NWFADP, but the intent, time, and resources exist for building a system through which participatory and sound planning and development decision making can make a difference in people's quality of life and their control over their own, and their children's futures.

Purpose

The purpose of the study is to assist GONWFP and USAID to review activities since 1989, assess current strategies and directions, and make recommendations for maximizing the impact and sustainability of project activities after the termination of project assistance in the TADP and NWFADP project areas.

To achieve this purpose requires establishing a context, including a basic framework for analysis and a review of parameters and achievements , within which findings and conclusions can be put forward for discussion. This short paper attempts to synthesize the study's main conclusions and recommendations as a starting point for that discussion. In-depth treatment of the complex issues raised here will be presented in the final report of the study, to be prepared with input from this workshop, and in the study's detailed annexes, a preliminary listing of which appears at the end of this paper.

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A Basic Framework

- Sustainable development is possible only when there is a reliable flow of economic returns a benefits to target populations who have the capability to solve their own problems, with respons public and private sector support mechanism.

- To achieve that sustainable flow of benefits, in turn, requires a clear and workable planning strate for regional growth and development, one built upon ready access to and the effective utilization information for decision making, and one which empowers people and institutions rather than bui dependency.

The Parameters: Achievements and Prospects

The TADP and NWFADP, as part of a joint GOP/USAID commitment to lagging areas, have ma important contributions to the integration of their remote hill populations into the mainstream Pakistan's economy by improving communications, agriculture, social service, and planning capacit and services. Together they have produced approximately 100 km. of roads, 140 irrigation channels, wells, 150 small infrastructure schemes (schools, clinics, water supplies, etc.), helped computerize government departments, introduced agricultural/ horticultural improvements, established 28 fema non-formal education centers, and trained 3000 Pakistanis including almost 1000 women. In additic they have established a national drug abuse prevention resource center and an independent provinc rural development NGO now supporting productive activities and savings programs in over 50 villag of NWFP. The TADP is funded at US$ 27 million and the NWFADP at US$ 54.9 million of whi approximately $ 4 million in TADP and $ 1 million in NWFADP funds remain available f participatory planning and development activities within the parameters of AID's "useful units assistance:" completion of basic infrastructure, agriculture, and institutional development. The planne completion date of the TADP is September 1994, and of the NWFADP is August 1993.

Central Conclusions

- While bringing substantial benefits to the project areas, TADP and NWFADP have also contribut to a cycle of continuing dependence on Government and donors

To date sub-projects have largely been externally planned and implemented with little or no communi participation, rather than building on the strong traditional institutions and fierce independence of th tribal and semi-tribal hill populations. Commitments within each project to implement a participato approach to planning and development, while sound, have yet to progress beyond the planning stag Moreover, the supporting planning and information system capabilities are not in place. This leads t two fundamental supporting conclusions:

- Planning and implementation has been largely "top-down" due to the unique characteristics of bot project areas which have made information, access, and communications problematic

- Effective planning, based on the rational and effective use of information systems, is not takin place, nor are the available resources being tapped

Central Recommendations

- USAID & GOP must implement a participatory income-generating development strategy in both th TADP and NWFADP project areas that is built on the development and conservation of natura resources, especially in agriculture and forestry.

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Value should be added through beneficiary involvement in the planning and implementation of productive infrastructural and agricultural development and the processing and marketing of production

Physical and social interventions should be limited to the removal of constraints to productive income generation that are identified by beneficiaries.

Of particular importance for ensuring sustainable benefits from the TADP is the coverage of ongoing operations and maintenance (O&M) costs. This suggest three further recommendations central to the future of the TADP & NWFADP:

Three fundamental supporting recommendations

I. Benefit flow from sub-projects completed or begun must be sustained by GONWFP taking up O & M and improving planning, monitoring, and evaluation in line departments, including ensuring that the Special Development Unit (SDU) becomes a permanent home for ongoing project management

II. Benefit flow from future sub-projects should be sustained seeking every feasible means of putting them directly in the hands of communities from planning and identification through implementation and maintenance

III. The planning process at provincial, tribal, and community level should be strengthened, increasing the use of criteria and information-based decision making while reducing *ad hoc* planning; improving the use of existing systems to provide information for decision making.

Elements of an Action Plan for Community-Based Sustainable Development

A. Building Planning and Information Systems Capabilities to Support the Flow of Benefits to the Community

Regional planning is a learning-based process to encourage dynamic economic growth plus respond to the quality of life concerns of people. More specifically, the process helps the Government to promote economic development through supporting economic and social investments, with people involved in the planning and implementation of initiatives in a way that they will contribute their resources to, and share the benefits from, these initiatives.

The efforts to increase local involvement in development planning and decision making, as well as local resource commitments, must be supported by sound planning, built on effective information systems. Preliminary efforts have been made to develop these capabilities, in particular, a strong data base has been created for the settled areas. Movement towards a similar data base has been made for through the TADP socioeconomic profiles of five agencies but there are some serious shortcomings that limit the usefulness of these profiles.

Main Conclusion

1. Overall, effective planning, based on the intelligent use of information systems, is not taking place for the defined areas. Nor are the available resources being tapped.

Supporting conclusions

2. Current planning is done on an *ad hoc* basis and confined to tactical considerations, with a primary emphasis on the preparation of the Annual Development Plan

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3. Strategic or longer-term planning for either the settled or defined areas is almost non-existent even though such planning is essential for helping to insure a sustainable flow of benefits
4. Information systems are developed, without analytical frameworks or regard to decision making requirements and basic planning methodologies
5. SDU is evolving as an institution for project implementation and monitoring but is understaffed so it cannot perform the planning and other functions necessary for the development of the defined areas
6. Institution building mechanisms and linkages are not in place to encourage participatory planning and development
7. Short duration of tenure of senior SDU staff and TADP and NWFADP Project Directors has negatively affected continuity, project implementation, and the flow of benefits
8. Effective mechanisms for direct community participation in the planning process are missing or severely constrained

To a large extent, the structure and processes of USAID's assistance through TADP and NWFADP have reinforced these weaknesses rather than building longer-term capabilities. Functions have been carried out through direct control or project management units that will collapse with the phase-out of resources.

Currently, the primary planning, management, and evaluation entity for development initiatives in the defined areas is P&D's SDU. Originally, it was established for narcotics related activities but its role has expanded to broader development concerns, including the coordination of the majority of NWFP's donor funded rural area development programs. Its primary source of funding, however, continues to be from the UNDCP.

The SDU has the mandate and potential to take the lead in the planning and evolution of its supporting information systems for the development of the tribal and other defined areas. For this to occur; there is a need to institutionalize the SDU and its functions.

a. Developing SDU institutional capabilities

SDU is currently a shell organization though it is responsible for more that US$200 million in project resources. The Provincial Government is willing to expand its staff and capabilities. Ideally, this unit would supervise the individual Project Management Units and perform the functions of:

- Strategic regional planning
- Coordination of activities and programs
- Monitoring of project funding, inputs, and outputs
- Technical inspection and guidance
- Ongoing and comparative evaluation, and
- Development of supporting information systems (see below)
- Support and guidance to participatory community-level planning

A major priority should be to develop the SDU's long-term institutional capabilities.

b. Improving planning through the use of TADP Socioeconomic Profiles

Considerable TADP resources have been invested in the preparation of socioeconomic profiles for five tribal agencies which have increased understanding of these areas as well as the availability and reliability of data. These profiles are not yet organized, however, for systematic analysis, planning, and development decision making; nor are the data coded and computerized for retrieval, revision, and analysis. Inputs direct from local communities in the form of key data, development needs, and

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priorities are missing. With further refinement these useful profiles can become increasingly effective planning tools.

c. Develop SDU institutional linkages

The SDU will need assistance in updating, automating and analyzing the data from the existing profiles, adding primary data and insights in order to increase their usefulness, and in preparing the next two profiles. Moreover, assistance will be needed to develop models for participatory rural appraisal and planning and to implement these at the community level. (See B. 1., below)

d. Strengthen informations systems

Information systems at P&D, line agencies, and project offices have often been developed in isolation from each other and without a comprehensive information systems plan. P&D's center is the most advanced, the GAADP office in Topi has also developed databases on training, agriculture, and forestry, but system linkages with line departments are weak. Skill levels of staff are low and decision makers are not aware of the proper use and potential of the systems. USAID analysts have played a major role but are being phased out before the systems are sustainable due to failure of departments to sanction posts, recruit, and/or hire necessary staff. Community participation in planning is frequently limited to the presentation of demands and/or agreement to accept projects planned or implemented by others.

Main Recommendations

1. Strengthen the institutional structure and processes for participatory development planning and decision making

2. Build the supporting information systems for improved planning and management

Supporting Recommendations

Special Development Unit

3. Encourage UNDCP to adopt a five-year, institution building planned for SDU
4. Build SDU staff and financial resources through project specific contributions for performing its central functions
5. Establish and implement a time-phased action plan for integrating USAID's Technical Support Planning Unit (TSPU), TADP, and NWFADP resources into the SDU central and PMU structures, as the NWFP increases its own personnel
6. Expedite the current plan for renting office space and, within the next two years, construct a TADP PMU/SDU office facility

Participatory Rural Appraisal (See B. 1., below)

7. Test models for participatory rural appraisal and planning through existing institutions such as the SRSC, Academy for Rural Development, and/or the Agriculture University Outreach Center/IDS; link as appropriate with Socioeconomic Profiles

Socioeconomic Profiles

8. Prepare decision making documents, in consultation with appropriate government officials, on the basis of the socioeconomic profiles, with the identification of critical information gaps.

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9. Modify the format of the profiles based on a sound development framework and basic regior economic analyses and planning, and update the five profiles.
10. Code and computerize the key data from the profiles; link to provincial data as possible
11. Prepare the profiles for the remaining two tribal agencies
12. Institute a series of training sessions to develop SDU and line agency strategic planni capabilities
13. Develop a cooperative agreement with the Institute for Development Studies (IDS) to assist wi the applied research and analysis necessary for improved planning.

Information Systems Planning

14. Strengthen the SDU computer center with highly qualified, experienced computer profession to guide planning, design, development, and implementation of information systems for both t SDU and all organizational units/projects
15. Develop a comprehensive information systems plan covering all information needs of organizational units of different projects including the supporting donor agencies
16. Design and implement a comprehensive training plan for all organizational units covering t management, end users, technical users, and computer operational staff. Train trainers computer capability and problem-solving for each operational unit.
17. Initiate planning for an independent provincial computer bureau, staffed by highly qualifi senior information and computer specialists, to ensure proper planning, policy developme applications standards, software and hardware acquisition, systems and utilities developme personnel policy, staffing, and training in support of all GONWFP departments. Suppo decentralized systems and networking within and among departments and agencies.

B. Initiating Community Participation in Planning and Implementation

Main Conclusion:

- Planning and implementation has been largely "top-down" due to the unique characteristics of bo project areas which have made information, access, and communications problematic

Little was known about the project areas and what was known was subject to error in fact a interpretation. Even the minimal mechanisms present in settled areas for involving local communities the planning, implementation, and maintenance of development schemes has been lacking insufficient. In tribal areas, for example, Union Councils do not exist while in the Gadoon-Amazai a they are weak. Political Agents, line agencies, and self-appointed local leaders are usually relied upon identify, evaluate, and implement projects rather than the intended beneficiaries, their villages, or Uni Councils. Project committees in Gadoon, while ostensibly involving communities, have had a tender to be dominated by local elites who have enjoyed a disproportionate share of the benefits. Maliks ha benefitted similarly in tribal areas. While both project leaders and Maliks have been an essential part the process, experience elsewhere in NWFP suggests that it is necessary to involve a broad cross-secti of the target community if the flow of economic benefits is to be equitable and sustainable.

Main Recommendation

1. A participatory rural appraisal and planning system should be introduced to engage communit directly in the assessment of their own resources, needs, and priorities, and the planning of their o development.

Participatory rural appraisal (PRA) is a simplified socioeconomic survey method used by soc organizers as a first step in the implementation of a community participation initiative. PRA uses ra

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rural appraisal (RRA) techniques in collaboration with local people to promote participatory village level planning.* PRA would serve three important purposes:

a. Actively involve communities in planning and managing their own development
b. Contribute to the selection and training of a new cadre of social organizers
c. Compliment/support planning and informations systems development in P&D/SDU, including increasing data quantity & quality, improving socioeconomic profiles and facilitating proposed development of GIS systems

Supporting Conclusion

Sufficient funds and flexibility exists within the 'useful units of assistance' being supported by USAID pipeline funding to build a viable participatory approach into a significant number of project activities

Provision has been made in most PC-1s already prepared and/or approved to enable utilization of a community participation approach. GOP and USAID policy makers and project staff have a commitment to implementing a participatory approach. Selected line agencies and departments have begun or have showed willingness to begin implementing participatory programs. Training mechanisms and support systems are available to support such initiatives.

Supporting Recommendations (General)

2. Appoint experienced Sr. Social Organizer to SDU to oversee implementation of a participatory planning and development strategy in the Tribal Areas

3. Accelerate recruitment of Sr. Social Organizer recommended and agreed upon by USAID and GONWFP for NWFADP/Gadoon-Amazai Area Development Project

4. Accelerate recruitment of USAID/TSPU Community Development Program Specialist; ensure that appointee has strong grounding in and practical field experience in social organization

5. Examine feasibility of recruiting a husband/wife social organizer team(s) to increase social acceptability; combine recruitment for Female Social Organizers, below

6. Initiate pilot program in participatory rural appraisal and planning in Gadoon-Amazai, using students who have already participated in prior rural surveys in the project area

7. Initiate comprehensive community participation study tour, training, and internship program for provincial, District, Agency, and community level decision makers and activists (see 'Training' below)

8. Implement plans for remaining funds within the already prepared and/or approved PC-1s by adding/increasing participation, building on traditional agency and tribal institutions and procedures; using experienced NGO resources as a source of expert consulting support to provide guidance and to promote equity within a large community participation approach.

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* An adaptation of the diagnostic surveys and dialogue process of the SRSC and AKRSP, PRA is being used by the Kalam Integrated Development Project (and AKRSP in Ahmedabad, Gujarat). For details see Annex of main report, forthcoming; Participatory Rural Appraisal Handbook, World Resources Inst., Washington, DC, Feb. 1990; and Participatory Rural Appraisal Workshop Report, IIED,MYRADA, London, Bangalore, 1991

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9. Develop pro-forma undertakings between line departments & communities that ensure beneficia responsibility for implementation & O&M on a participatory basis

10. Form partnership with FATA/DC which appears ready to implementing a community-participatic system for most of its programs, (not just those funded by TADP). FATA/DC's pro-form undertakings could be a model for developing similar undertakings for use with both TADP ar NWFADP project components and/or sub-projects. Specifically:
   -- FATA/DC tube wells and conversions: 100% of projects to have community participation
      - Community undertakings will provide commitments to pay bills, list beneficiaries an their acreages, tenancy arrangements, take responsibility for all O&M.
      - Irrigation channels/pipes to be provided by community first.
      - Explore if PC-1 be amended to subdivide funds, to provide more and smaller wells, du wells, instead of only tube wells, in order to increase benefits, to large numbers c beneficiaries, more equitably, than is feasible with tube wells
      - Examine means of increasing equity, distribution of benefits; e.g. some communitie have developed agreements that protect tenants from having to provide a large percentage of crop to landlord if irrigation is provided through project assisted funding NGOs may be able to assist.

Sector Specific Recommendations

11. Introduce, to the maximum extent feasible, a community participation approach within al sectoral programs, including the following:

a.. Agriculture

Conclusion: Government capacity to deliver improved agricultural and forestry technologie and inputs to project areas has and will remain severely constrained. Private secto marketing, particularly of horticultural products, while showing great potential, i embryonic. Links with established research facilities are minimal. Project funde agriculture, horticulture, and forestry programs, while limited, have shown promise including yield increases of 20-30%, and are worth further investment.

Recommendations

- Long-term large scale program be implemented for fruits, vegetables, & cereals
- Establish adaptive research farms of 2-3 ac. in key producing areas
- Expand farmer, extension staff, and women's training
- Improve access to credit for male and female agriculturalists
- Organize quality seed production for-profit in collaboration with private farmers
- Initiate plant protection services and training, transfer to private farmers
- Improve marketing system; commission detailed marketing studies; incl. inputs
- Improve links with Ag. Research Institute, Tarnab, Ag. Univ., Peshawar
- Implement pilot poultry, programs, including special programs for women
- Establish, expand social forestry program in collaboration with Forestry Department

b. Infrastructure

- Small Rural Development Schemes: Substantial majority, if not 100% of projects, ca use community participation approaches
- Irrigation:
  1. Support transfer of all O&M costs for tube wells to beneficiaries; no subsidies
  2. Expand dug well, channel lining, & flood protection programs; cut tube wells
  3. Support village/farmer organizations; water-user associations., to develop, improve, & maintain new and existing irrigation systems

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4. Implement partnership with FATA/DC, as above
5. Examine feasibility of community participation approach for schemes planned but not yet begun and, if viable, implement in partnership with community

- Bridle paths and improved tracks: Funding be made available to support community built initiatives, including: technical assistance, "imported" materials (e.g. cement, reinforcing rod, explosives, wire, etc.), machinery or machinery charges; blacktopping to be provided if community builds road to acceptable C&W standard

c. Female education and NFE

- Recruit female social organizer (Examine feasibility of recruiting a husband/wife team to increase social acceptability; combine recruitment for Sr. Social Organizers, above)
- NFE/education: Examine proposals made by PAs from South & North Waziristan for selected areas where community participation is viable. Include commodity support.
  - Female education
  - NFE centers
- Strengthen selected centers only
- Promote teacher training, female education, female health training
- Support training in grading & processing of fruits and vegetables; use A/V tapes
- Initiate training and support for women's poultry, dairy, beekeeping, and sericulture programs as appropriate
- Provide agricultural and home business credit

d. Sarhad Rural Support Corporation (SRSC)

Conclusion: While effectively less than a year old, SRSC has demonstrated a cost-effective participatory mechanism of delivering rural investments; SRSC's higher overheads relative to the alternative government delivery system may be more than compensated for by avoiding the high project implementation costs of governmental programs. What SRSC needs to demonstrate, however, is that the village organizations that it has helped create can be sustained over time through non-subsidized activities.

Recommendations: (contingent on forthcoming certification process)

- Initiate a comparative study of SRSC's operations, costs, overheads, and both direct and indirect outputs, including local initiatives and non-subsidized activities; compare with other NGO and government delivery systems
- Consolidate established village organizations
- Explore and test alternative, lower cost models of empowering communities and individuals, including more modest PPIs, higher levels of local resource contributions, local initiatives, and expanded credit
- Provide social organization expertise to TADP and NWFADP on a case-by-case contractual basis

e. Proposed Regional/Provincial Foundation (NGO)

Conclusion: With a mandate to start an active community participation program in the Gadoon-Amazai area, and faced with severe time constraints, and with no appropriate institutional framework readily available, the NWFADP's proposal to establish a provincial level non-government foundation is sound and deserves strong support from GONWFP and USAID.

Recommendations:

- GONWFP and USAID should move quickly to establish the proposed provincial foundation and provide seed money in the form of an endowment from funds remaining within the NWFADP
- Draw upon currently available NWFADP resources such funding as may be required to start appropriate community participation activities in Gadoon-Amazai, limiting expenditure to levels consistent with anticipated endowment income

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- Retain flexibility for potential expansion and/or modification of the mandate o foundation to provide support to tribal areas, to enable future expansion into other and/or the option to link or merge the foundation with the SRSC in a manner t determined, should it be deemed appropriate to do so in the future

12. Support immediate application of a community participation approach on a pilot basis, begin with participatory rural appraisal dialogues, in selected areas identified by Project Directors, Pr Officers and local authorities; expand as resources and support systems permit.

C. Systematizing Training

Conclusion

- While there is general awareness and support of using a participatory approach to commur focused planning and development, skilled leadership and field personnel are concentrated in a s number of NGOs operating in limited project areas.

If a decentralized participatory strategy is to be implemented successfully within the limited t available in the seven tribal agencies, Gadoon-Amazai, and Khala Dhaka there is a need for increa substantially awareness and skills among the pool of provincial, District, Agency, and community l decision makers and activists.

Moreover, there is a general need to train SDU and other provincial agencies in planning methodolog Further, through training, the gap between decision making and existing (and growing) informa systems must be bridged.

Recommendations

1. Build planning and supporting information systems capabilities through four training programs:
   - Senior level study tours to examine effective planning methodologies and their applica (e.g. Tanzania, Botswana, Philippines, and USA: Cornell, Michigan State, Wisconsin)
   - Action-oriented seminar/course to improve regional planning skills for government offici
   - Workshop series on development decision making and information systems
   - Information system/computer skills training for all levels

2. Build awareness and provide training and awareness in community participation strategies decision-makers, line agency staff, local leaders and activists; use study tours and Participatory R Appraisal exercises as starting point through Coverdale mechanism, supported by NGO expertis appropriate; local visits and internships can include AKRSP, SRSC, Orangi, Pak-German/Marc Malakand, Kalam; international study tours may include Thailand, Bangladesh, Sri Lar Philippines. Target groups:
   - Senior decision makers in Provincial government
   - Deputy Commissioners (DC) and Political Agents (PA)--potential role as 'Super So Organizers" -- possible Pakistan Institute of Management course to be designed institutionalized for all entering and mid-career DCs and PA's
   - Selected USAID staff
   - Senior and mid-level line agency staff, especially those posted/ to be posted in tribal areas
   - District and Union Councils, Agency Councils: members and staff
   - Selected Maliks
   - Local farmers, activists

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D. Covering long-term operations and maintenance costs

Recommendations

1. O & M for existing TADP projects to be taken over by GONWFP:
   a. P & D: SDU home, with cost sharing from major donor projects
   b. C&W: roads
   c. FATA/Education Dept: Schools
   d. FATA/Agriculture

2. O & M for existing TADP projects to be taken over by communities
   a. FATA/DC irrigation channels
   b. FATA/DC tube wells

Summary

The study has been focused on two essential elements for helping insure a sustainable flow of development benefits.

First, it recommends that the Government and supporting projects should should move away from *ad hoc* planning to a regional planning focus, generating the vision and plan for dynamic and equitable economic growth in the defined areas.

Second, it recommends that the Government, working in cooperation with NGOs and other private sector organizations, place high priority on community participation in future TADP and NWFADP initiatives to increase the likelihood of sustainable development benefits through local resource commitments.

NOTE:

INTERESTED PARTIES MAY REQUEST COPIES OF THE FOLLOWING DRAFT REPORTS WHICH HAVE BEEN PREPARED BY THE STUDY TEAM AND WHICH WILL CONSITITUTE PORTIONS OF THE MAIN REPORT AND/OR ANNEXES:

- Tribal area development and issues for TADP II (Tariq Durrani)
- TADP's socioeconomic profiles: A brief assessment and suggestions for the future
- Local initiatives: self-help foundations for a community participation strategy
- SRSC profile and potential role in future
- Popular participation in FATAs adjoining NWFP
- Participatory rural appraisal and planning: strategy for initiating community involvement and for training of students and activists in social organization techniques
- Agricultural planning in TADP
- Agricultural planning in NWFP
- Agribusiness and small scale enterprises
- Generating irrigation systems benefits
- Developing effective information systems
- Decision making for planning and development in NWFP
- Regional planning concepts and approaches
- Strengthening SDU capabilities
- Field notes: village meetings, farm visits, and interviews: Bajaur, N & S Waziristan, Kohat, Charsadda, Orangi, and Sindh/Baluch villages

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ATTACHMENT O.2
FINAL REVIEW WORKSHOP: WORKING PAPER

THE TADP/NWFADP REORIENTATION STUDY
Developing An Action Plan: Critical Issues for Discussion at the Peshawar Conference on 1 December 1991

Developmental progress has been made under the GOP/USAID sponsored TADP and NWFADP. Roughly $8.0 million in USAID resources remain which, combined with Government and community investments, could contribute greatly to economic growth with equity in the tribal/defined areas of North West Frontier Province.

The reorientation study team has concentrated on how these resources can be used most effectively to help: (a) insure a sustainable flow of benefits to communities; and (b) increase government and community institutional capabilities to support this process.

The Proposed Strategy

The study proposes a development strategy that moves from a concentration on physical and social infrastructure and service activities to one directed primarily towards increasing production and net incomes of people in the defined areas. If this strategy is built on sound planning and on community involvement in decision making (with resulting local resource commitments), the prospects for a sustainable flow of development benefits are improved.

Further, the study emphases the importance of the systematic and time-phased transfer of project-related, development decision making and support functions from USAID to responsible government agencies. This means a commitment by Government to provide adequate staff and recurrent budget resources, combined with USAID priorities on training, appropriate technical assistance, and a rapid, though planned, transfer of current project resources to the Government.

The Main Study Recommendations

To implement the above strategy, the study offers two main recommendations:

First, it recommends that the Government and supporting entities should move away from ad hoc planning to a regional planning process, generating the vision and plan for dynamic and equitable economic growth in the defined areas.

Second, it recommends that the Government, working in cooperation with NGOs and other private organizations, place high priority on community participation in future TADP and NWFADP initiatives to increase the likelihood of sustainable development benefits through local resource commitments.

To accomplish these two inter-related objectives, the study offers a set of sub-recommendations that include:

1. Priority in training and technical assistance be placed on building provincial and local regional planning capabilities. TADP's socio-economic profiles should be modified to improve their planning and decision making value and be used as a tool for introducing strategic planning for defined areas, under the auspices of SDU/P&D.

2. SDU/P&D should be developed as an institution for the provision of planning, technical support, monitoring and evaluation services for externally-financed, development initiatives in the defined areas. Under a phased plan (developed with UNDCP), key TSPU, TADP, and NWFADP resources should be integrated into SDU's structure as the Government expands its capabilities.

3. Project Management Units for externally funded projects should operate under SDU supervision, with each project plus the Government contributing the necessary personnel and financial resources to perform central functions. More specifically, SDU, with USAID assistance, should create immediately the TADP's PMU, with provision for supporting resources to SDU central functions.

4. SDU/P&D should take the lead in information systems design and technical support in the defined areas. TADP should fund the preparation of an information systems plan plus ongoing training and technical assistance. The Government should create the mechanisms for hiring and maintaining the services of highly qualified information systems experts.

5. Community participation approaches should be tested in TADP and other defined area projects for developing appropriate models to increase community involvement in planning and development decision making as well as their resource commitments.

6. Community participation should be built around existing government and social structures and managed, initially, by a cadre of social organizers in a TSPU housed at SDU/P&D. Subsequent community participation management options could include NGOs such as SRSC or a newly established, provincial foundation.

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7. A training and technical assistance program should be implemented to institutionalize in SDU/P&D and other nation building departments the use of Participatory Rural Appraisal as a local level community organization and planning instrument.

8. A plan, and a system for monitoring, should be developed for covering all O&M costs by the Government and by the beneficiary communities.

ATTACHMENT O.3
FINAL REVIEW WORKSHOP: LIST OF PARTICIPANTS

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Mr. Iftikhar Hussain, Project Officer, TADP, USAID

Mr. Sohail Malik, Project Officer, NWFADP, USAID

Mr. Umer Mohammad, USAID

Mr. Henry Schumacher, Chief, Technical Support & Planning Unit

Mr. Jamshed Hasan, Chief Engineer, O/ENG, Study Team

Mr. Malcolm Odell, Team Leader, TADP Reorientation Study Team

Mr. Charlie Sweet, Regional Planner, TADP Reorientation Study Team

Mr. Shahid Perwaiz, Social Scientist, TADP Reorientation Study Team

Mr. Mumtaz Ali, Agriculture Planner, TADP Reorientation Study Team

Panel of Experts

Mr. Khalid Aziz, Additional Chief Secretary, Government of NWFP

Dr. Tariq Javed Banuri, Policy Advisor, ICUN, Islamabad.

Resource People

Mr. Douglas I. Grube, Chief of Party, Coverdale Organization

Ms. Kay Huth, Consultant, Coverdale Organization

Dr. Barbara Robinson, Coverdale Organization

Mr. Faiez H. Seyal, Coverdale Organization

ANNEX R
LIST OF KEY PEOPLE INTERVIEWED

GOVERNMENT OF PAKISTAN

1. Iftikhar-ud-Din, Joint Secretary, Ministry of SAFRON, Pakistan Secretariat, Islamabad
2. Col. (Retd.) Abdul Rauf Khan, Chairman, FATADC, Peshawar
3. Taj Mohammad Afridi, Executive Director Technical, FATADC, Peshawar

GOVERNMENT OF NWFP

Planning and Development Department, Peshawar

1. Khalid Aziz, Additional Chief Secretary
2. Khalid Masood, Chief of Section, FATA/Section
3. Adnan Bashir, Chief of Agriculture
4. Mohammad Amin Khattak, Director General, Special Development Unit (SDU), P&D
5. Mohammad Shehzad Arbab, Chief, SDU, P&D
6. Amjad Ali Khan, Project Director, Project Management Unit (PMU/TADP), SDU, P&D
7. Dr. Peter B. Blood, Chief Technical Advisor, SDU, P&D Peshawar
8. Mohammad Azam Khan, Technical Advisor, SDU, P&D
8. Abdul Latif Khan, Program Officer, PMU, SDU, P&D
10. Fazal-e-Mabood, Administrator, SDU, P&D
11. Wasim-ul-Haque, Program Officer, SDU, P&D
12. Aziz-ur-Rehman, Director, PCU, GAADP, SDU, P&D

Bureau of Statistics, Peshawar

1. Amir Jan Khan, Director
2. Shabqadar Khan, Statistical Officer

Finance Department, Peshawar

1. Ghulam Dastagir, Additional Secretary

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Industries Department, Peshawer

1. Suleman Ghani, Secretary Industries

Communication and Works Department, Peshawar

1. Adam Khan, Secretary
2. Mohammad Afzal Khan, Chief Engineer

Local Government and Rural Development Department, Peshawar

1. Abdul Latif Khan, Secretary
2. Naveed Akram Cheema, Director General

Agriculture Department, Peshawer

1. Akram Khan, Director, FATA/Agriculture

Education Department, Peshawar

1. Sher Alam khan, Director, FATA/Education
2. Mir Sharif, Deputy Director, FATA/Education
3. Gul Nawaz, Assistant Director, FATA/Education

Divisional Commissioners

1. Shakeel Durrani, Commissioner, Malakand Division, Saidu Sharif, Swat

2. Maj. (Retd.) Mohammad Naeem Khan, Commissioner, Kohat Division, Kohat

Agency Based Officials

Bajuar Agency, Khar

1. Azmat Hanif Orakzai, Political Agent
2. Shaukat Ali, Executive Engineer, FATADC
3. Ghulab Khan Masud, Education Officer
4. Mohammad Tayeb, Assistant Education and Development Officer
5. Mohibullah Khan, Extra Assistant Director Agriculture

South Waziristan Agency

1. Habibullah Khan, Political Agent, Tank
2. Mohammad Shafique, Executive Engineer, FATADC, D.I. Khan
3. Pervaiz Nasir, Executive Engineer, C&W, Tank
4. Mir Azam Khan, Extra Assistant Director Agriculture, Wana

North Waziristan Agency, Miran Shah

1. Abdul Karim Khan Qasuria, Political Agent
2. Mohammad Sadi, Forest Officer
3. Mahmood Shah, SDO, FATADC
4. Mian Zahid Shah, Executive Engineer, C&W
5. Khalid-ur-Rehman, Extra Assistant Director Agriculture

Kurram Agency, Parachinar

1. Pir Yaqub Shah, Political Agent
2. Mohammad Siraj Khan, Executive Engineer, FATADC
3. Jamil-ur-Rehman, Executive Engineer, C&W
4. Hidayatullah, Extra Assistant Director Agriculture
5. Rab Nawaz, SDO, FATADC

Khyber Agency, Peshawar

1. Attaullah Khan, Political Agent

NWFP Agriculture University

1. Mohammad Ahmed Khan, Director, Institute of Development Studies, Agriculture University, Peshawar

SARHAD RURAL SUPPORT CORPORATION

1. Javed Majeed, Chief Executive Officer, SRSC, Peshawar
2. David Smith, Advisor, SRSC, Peshawar
3. Feroz Shah, Chief Social Organizer, SRSC, Peshawar
4. Ikramullah Jan, SRSC, Kohat
5. Sayed Mohammad Tariq, Social Organizer, Charsada
6. Ilyas Khan, Engineer, Charsada

USAID/PAKISTAN

1. Frank Pavich, Chief, Rural Development Division, O/ARD USAID, Islamabad
2. John Tucker, Deputy Chief, RDD, USAID, Peshawar
3. Tariq Durrani, Policy Advisor, RDD, USAID, Peshawar
4. Henry Schumacher, Chief, Technical Support & Planning Unit
5. Iftikhar Hussain, Project Officer TADP, USAID, Peshawar
6. Ijaz Ali, Project Manager TADP, USAID, Peshawar
7. Umer Mohammad, Agriculturist, TSPU, RDD, USAID, Peshawar
8. Ziauddin, Information System Manager, TSPU, RDD, Peshawar
9. Rashida Khanum, NFE, TSPU,RDD, USAID, Peshawar
10. Sohail Malik, Project Officer, NWFADP, Peshawar
11. Jamshed Hasan, Chief Engineer, O/ENG, Peshawar
12. Douglas Grube, Chief of Party, Coverdale Organization, Inc, Peshawar
13. Kay Huth, Consultant, DEG, Peshawar
14. Dr. Barbara Robinson, DEG, Peshawar
15. Faiez H. Seyal, Coverdale Organization, Peshawar
16. Naseer Khan, Deputy Chief Engineer, O/ENG, Peshawar
17. M. Azeem Cheema, Project Engineer, Peshawar
18. Sikander Khan, Project Engineer, Peshawar
19. Said Afsar, Project Engineer, Peshawar
20. Nayyer Ahmed, Project Engineer, Peshawar
21. A. Hameed Lodhi, Accounting Manager, Louis Berger Intl., BALAD Project, Turbat

OTHERS

1. Cornie Huizenga, Chief Technical Advisor, PAK German, Mardan
2. Mohammad Saleem, Agriculture Officer, IRDP, Mardan
3. Judy M. Carlson, WHO Nursing Advisor
4. Phylo Evangelou, Managing Associate, NATHAN Associates Inc.
5. Dr. M. Nabi Aslamy, Deputy Director Training, DAI, ASSP/PSA, Peshawar
6. Lloyd I. Baron, President, Horizon Pacific International Consultant to South Asian Partnership, Lahore
7. Dr. Akhtar Hameed Khan, Orangi Pilot Project, Karachi
8. Sadia Ahmed, Orangi Pilot Project, Karachi
9. Harry Jayasingh, PACT Consultant
10. Bindu Sharma, Associate Director, PACT
11. Nagat El-Sanabary, Principal, Middle East Educational Consulting Services
12. Johan Cordell, Director of Pacific Programs, Cultural Survival Inc.

13. Thomas J. Cassidy, Jr, Research Associate, Education, Harvard Institute for International Development (HIID)
14. Dr. Magesh D. Upadhya, Regional Director Region VI- South Asia, International Potato Center (CIP)
15. Park B. Smith, President, Park B. Smith Inc
16. Malcolm Farbes Baldwin, SR. Management Envirnmental Law and Policy, International Resources Group Ltd
17. Alan Thompson, Program Associate/ Asia, Winrock International
18. Dr. George M. Blake, Education/ Training Advisor, Winrock International, Forestry Planning & Development Project, GOP/
19. John Krijnen, Promotion of Self-help Initiatives, Intercooperation
20. Christian Casparis, Emch+Berger Bern AG
21. Dr. Tariq Javed Banuri, Policy Advisor, IUCN

ANNEX S
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