

DEPARTMENT OF STATE
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

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JUN 30 1975

National Association of State Universities
and Land Grant Colleges
One Dupont Circle
Washington, D.C. 20036
Attn: Dr. Ralph K. Huitt

Subject: Grant No. AID/ta-G-1230

21p

Dear Dr. Huitt,

I am pleased to inform you that pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the Agency for International Development (A.I.D.) hereby grants to the National Association of State Universities and Land Grant Colleges (Grantee) the sum of One-hundred and Seventy-five Thousand Dollars (\$175,000) to conduct a study grant to explore and assess alternative ways and means of helping LDC higher education institutions develop the capability to become more effectively involved in national development with appropriate attention to LDC/AID priorities.

This grant is made to the National Association of State Universities and Land Grant Colleges on condition that the institution shall administer the funds provided under this grant in accordance with the Program Description (Attachment A) and the Terms and Conditions (Attachment B) which are incorporated herein and made a part hereof.

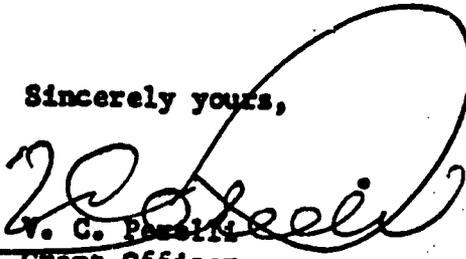
This grant is effective and the grant funds are obligated as of the date of this letter and shall apply to costs incurred in furtherance of the project for a period of twenty (20) months thereafter.

Please sign the Statement of Assurance of Compliance and the

CERTIFIED A TRUE COPY THIS
25th DAY OF Aug. '75
BY R.O. Mundschoff

original and seven copies of this letter to acknowledge your understanding of the conditions under which these funds have been granted. Please return the Statement of Assurance of Compliance and the original and six (6) copies of this grant to the Grant Officer.

Sincerely yours,



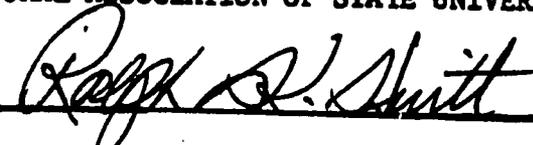
V. C. Parrish
Grant Officer
Technical Assistance Branch
Central Operations Division
Office of Contract Management

Attachments:

- A. Program Description
- B. Terms and Conditions
- C. Payment Provisions
- D. Statement of Assurance of Compliance

ACKNOWLEDGED BY:

NATIONAL ASSOCIATION OF STATE UNIVERSITIES AND LAND GRANT COLLEGES

BY: 

PRINTED NAME: Ralph K. Huitt

TITLE: Executive Director

DATE: August 12, 1975

ATTACHMENT A - PROGRAM DESCRIPTION

PURPOSE

The purpose of the Study Grant is to enable American higher education interests*, officially represented by the National Association of State Universities and Land Grant Colleges (NASULGC), to explore and assess alternative ways and means of helping LDC higher education institutions develop the capability to become more effectively involved in national development with appropriate attention to LDC/AID priorities. The field testing and analysis relating to alternative courses of action will be done in the collaborative style with LDCs playing a prominent role.

NATURE OF THE STUDY

- .. The study will focus on the following key subjects:
- a. how LDC higher education institutions can become more directly and effectively involved in development.
 - b. how American higher education, through the establishment of enduring linkages, can strengthen the development role of LDC universities.
 - c. how A.I.D. can improve its effectiveness in promoting LDC university involvement in development.

* The American Council on Education (ACE)
American Association of State Colleges and Universities (AASCU)
National Association of State Universities and Land Grant Colleges (NASULGC)
Association of American Universities (AAU)
Association of American Colleges (AAC)
American Association of Community and Junior Colleges (AACJC)

(see footnotes at the end of this document)

2. The study will be undertaken in a partnership frame consisting of:
- a. a task force representing American higher education;
 - b. senior LDC representatives experienced in working with university and national development problems in their respective countries;
 - c. an A.I.D. task force including senior representatives from each Regional Bureau, PFC, TAB and other interested Agency divisions (e.g., agriculture, health/nutrition/population, engineering, science and technology, development administration, and OIT).
3. The study will be structured, in a field testing format for operating within LDC environments, to include relevant components such as the following:
- (Each regional area has an existing set of national and regional institutions which must be given major attention in the study structured to include an analysis of alternative approaches available to encourage LDC universities to become more involved in development problems.)
- (1) What are the priority needs which stimulate LDCs to involve their universities more effectively in development problems? And what are the constraints?

- (2) To what degree do the above referenced needs and constraints relate to U.S. university interests, resources and operational styles?
- (3) What are the commonalities of needs and interests of LDC and U.S. university communities that will serve as a firm foundation on which to plan, implement and achieve via the development process?
- (4-a) What are the capabilities and needs°
of existing institutions, agencies, linkages and networks with respect to the promotion of LDC development?
- (4-b) What appear to be the most effective forms or modes of meeting the needs - e.g., institutional linkages, professional associations, problem oriented organizations?
- (4-c) How do the alternative approaches compare in effectiveness, acceptability to LDCs, financial requirements, and management arrangements for implementation and evaluation?

Lines of inquiry such as those listed above should provide essential resource data to answer the key question - "Is there a demonstrable need for a new inter-association institution to serve LDC, A.I.D. and U.S. university interests?"

4. The study will be launched and guided on the basis of complementary and compatible sets of criteria jointly developed and agreed upon by A.I.D. and the appropriate American higher education agency i.e., NASULGC.

In shaping the criteria the following major concerns will be addressed within the context of an understanding that alternative means of meeting the basic goals will be analyzed:

- (1) How can institutional arrangements be organized and managed to maximize the emphasis on priority development problems and stay on target?
- (2) What safeguards are essential to insure programming that truly focuses on LDC and A.I.D. fundamental development goals?
- (3) What incentives should be provided to promote a true LDC/US collaborative style in developing interdisciplinary resources useful in programming in a multi-sector context-i.e., integrated rural development?
- (4) Can the projected minimum costs for A.I.D.'s support to an association be kept in balance with the relative priority of the key problem area to A.I.D.? If so, how? What are the safeguards?

- (5) Will the institutional arrangements under study (the proposed AICHER or other alternatives) representing primarily the administrative levels of higher education effectively marshal and support top quality faculty expertise and other university resources relevant to LDC needs? And will the quality services be maintained as the direct university-to-university linkages continue over time?
 - (6) How can those limitations that any institutional arrangement might suffer from as a U.S. Government supported intermediary be reduced?
 - (7) What arrangements will be made to provide for periodic evaluations coupled with a policy that permits any institutional arrangement to operate with a minimum of continuing supervision?
 - (8) What assurance can be provided concerning the continuing maintenance of quality and strength in the management of any institutional arrangement?
5. The study will be conducted with a continuing sensitivity to the necessity of planning activities which are complementary to and compatible with ongoing programs.
 6. The study will include the preparation of plans related directly to helping LDCs bring their higher education institutions more completely into the main streams of development.

Basic Assumptions

There are some basic assumptions in connection with the AICHER proposal that should be held firmly in mind, and which will be thoroughly explored and tested during the study period. These assumptions, which are arranged in three clusters, provide a guide for structuring the nature and scope of work to be accomplished during the study period. The first group of assumptions relates to LDCs; the second to American higher education; and the third to AID.

Group One (relating to LDCs) - It is assumed:

(a) that many LDC governments really want their higher education institutions deeply involved in development. (There is already substantial evidence to support the assumption.)

(b) that significant numbers of LDC governments are prepared to make substantial financial investments in their universities to permit important development oriented activities.

(c) that a significant number of LDC universities possess the capabilities and determination to engage vigorously in national development in spheres corresponding to AID's goals (e.g., income distribution, equity, reduction of rural poverty, involvement of women in development, and the like.)

(d) that LDC governments and higher education institutions will accept an association of the type proposed as an important resource in their national planning and development on a continuing basis.

(e) that an intermediary association is needed for this purpose.

(f) that an association will not be viewed as an attempt to exert U.S. political/economic influence over LDC universities.

In terms of the study, this cluster of assumptions is extremely important and will require a thorough exploration of a balanced sampling of LDC university/government interest and/or involvement in problem solving on the development front. This will involve the participation of the AID Regional Bureaus and country Missions in carefully planned cooperation with LDC and American university representatives. Evidence of sound bases for developing productive partnerships should be described in terms of specific inputs which an association would be invited to arrange for and/or provide in the context of LDC university participation in national development.

Group Two (relating to American higher education) - It is assumed:

(a) that American higher education has entered into a new era of higher education interaction and cooperation across national boundaries which is characterized by a spirit of partnership in exploring mutual interests and in achieving mutually determined goals. (The association proposal is one concrete sign.)

(b) that American higher education institutions are genuinely interested in and capable of establishing and/or strengthening relationships that will help LDC higher education engage in problem solving and national development on an enduring basis, and that they

are willing to do this through such an association.

(c) that such an association can lead American institutions to increase the investment of their own institutional resources and can obtain significant and growing support from both the public and private sectors to strengthen the linkages between American and LDC higher education institutions.

(d) that American higher education, through its wide variety of institutions with extensive experience in development at home and abroad, is well qualified to engage in enduring partnerships with LDC higher education institutions in the major challenge of strengthening the role of higher education in development.

(e) that such an association as the one proposed will build support during the first five years of its existence from a variety of sponsors in the public and private sectors.

Declarations of interest from associations and individual institutions concerning the new era of international higher education cooperation are encouraging but are only a beginning. Descriptions of specific projects now underway and firm proposals under consideration are essential. It is important to sample-test the new cooperative style of working and the readiness of American higher education to invest its own quality institutional resources. The proposal indicates that the association will be concerned "with the design and testing of new systems for carrying out development." The AID Regional Bureaus and Missions will be interested in the degree to which such experiments

complement ongoing major AID-sponsored projects and the potential transferability of the findings from such action oriented research.

Perhaps the most revealing factor concerning an educational institution's interest in a program is the extent to which it permits that program to secure a significant and stable position in the institution's own annual budget. Hard evidence is needed on this subject. Further, there should be proper promotional elements built into the planning that will insure ever increasing campaigns for support from a wide range of sources once such an association is successfully launched.

Group Three (relating to AID) - It is assumed:

(a) that AID is clearly committed to helping LDCs strengthen the relationships of their universities to national development with a specific focus on those sector problems relating to joint LDC-AID program priorities.

(b) that AID, including the field missions, will work cooperatively with an association such as the one proposed to facilitate its working directly with LDC institutions.

(c) that AID assistance to such an association is an economical way of achieving the purposes stated and is worth the cost as an essential and timely follow-up of the institution building era.

(d) that an association such as the one proposed will be effective as a partner with LDC higher education institutions in problem solving within the key sector areas including education, agriculture/rural

development, and health/population/nutrition.

(e) that an association's cooperative work with LDC institutions will complement the major grant and loan supported projects sponsored by AID in the higher education spectrum.

PROJECT DESIGN

At the outset of the study period, as a condition for moving into the field work with the LDCs, AID and NASULGC will each prepare, exchange, review and approve counterpart sets of criteria to guide the nature and scope of the study and analysis with LDCs.

Approximately three months prior to the end of the study period which will not exceed fifteen months, the inter-university association task force, constituted by and responsible to NASULGC, will submit a preliminary report via NASULGC to AID.

The report should include:

(a) clear, concise and carefully documented findings related to the key subjects presented and the three sets of assumptions above that pertain to LDCs, American higher education and AID.

(b) a thorough analysis of alternative institutional arrangements, including the AICHER proposal. The analysis should cover such elements as acceptability to LDCs, financial requirements and management arrangements for implementation and evaluation.

(c) a list of criteria to guide the growth and development of the type of association proposed by the six American higher education associations.

(d) detailed plans comprised of alternative courses or levels of action presented in terms of proposed activities that relate directly to helping LDCs develop the capability to bring their higher education institutions more effectively into the mainstreams of development. These illustrative LDC-AID Mission-endorsed activities will be placed on a five year time line. Hopefully, from two to four such activities will be presented for each geographical region of the world. The plan for each activity should be structured to include (1) purpose; (2) inputs by the LDC and foreign donors with descriptions of the proposed American universities inputs, including carefully designed and justified budgets and proposed follow-up evaluation; (3) relevance to LDC university and national development with attention to LDC/AID priorities.

(e) descriptions of how the American/LDC institutional cooperation will actually work - e.g., (1) institutional planning strengthened through an exchange of ideas and experiences across national boundaries; (2) curriculum development which is responsive to country specific needs; (3) research focused on problems of development carried on by multi-disciplinary international teams; (4) evaluation, both program and institution-wide; (5) training and exchange of staff members within an institution-to-institution framework.

(f) a scheme for periodic evaluation of operations in the event an association is established with AID support. Such an evaluation should cover the roles of LDCs, American higher education and AID.

(g) the proposed growth and development of the association within and beyond the period of AID support and the range of activities and support it hopes to receive outside of the area of AID's interests.

(h) In preparing the report it is assumed that the grantee will:

1. review the current professional literature on the role of higher education for development covering both the LDCs and the more highly developed nations throughout the world.

2. sound out the judgments of selected experts on the role of higher education for development, e.g., leaders in the university associations in Africa, Asia, Latin America, the Middle East and Europe as well as experts with the World Bank, UNDP, UNESCO, ICED and OECD.^{4/}

How the NASULGC/Inter-Association Task Force Will Work in Cooperation with AID and LDCs During the Study Period

The study will be executed within a partnership complex wherein the NASULGC Inter-Association task force will assume the major responsibility for carrying on a thorough field study and preparing a comprehensive report (see outline in Section VI above) in the collaborative style with AID and LDC representatives. LDC involvement in-depth will be essential and of great importance. Members of the AID task force will participate on a continuing basis both in the field activities and in periodic progress review sessions. Other donor agencies will be contacted as appropriate.^{4/}

The NASULOC inter-association task force members will:

- (a) draft a plan of operation for the comprehensive field study to be implemented conjointly with AID/W, LDCs and AID field missions. (The AID task force will make available resource material useful in drafting the plan of operation including (1) AID's set of criteria to guide the study and (2) guidelines for LDC eligibility and recommendations on LDC higher education institutions to be considered in the field study.)
- (b) participate in a two-day pre-field study seminar to be scheduled in Washington with the AID task force. Purpose - to present the draft plan for the field study, review it in detail and agree upon arrangements for implementation.
- (c) assume major responsibility for implementing the field study and for preparing the comprehensive report to be submitted to AID.
- (d) encourage and arrange for members of the AID task force to participate in various phases of the field study in cooperation with LDC and AID field mission representatives.
- (e) meet with the AID task force for periodic reviews during the study operations.
- (f) participate in a one day post-field study seminar to be held in Washington three months prior to the end of the study period with members of the AID task force. Purpose - to present the preliminary report of the field study for in-depth discussion. The final

report will be presented within one month following the seminar, and approximately two months before the end of the study period. AID will establish a task force consisting of senior level representatives from each Regional Bureau, PFC, TAB and other interested Agency offices.

AID task force members will:

- (a) prepare AID's set of criteria to guide the study operations.
- (b) secure concisely documented recommendations from each Regional Bureau on LDC higher education institutions to be considered for participation in the field study. (The data required for items (a) and (b) above will be made available to the NASULGC inter-association task force, immediately following approval of the grant, to be utilized in preparing the draft plan of operation for the field study.)
- (c) participate in a two-day pre-field study seminar to be scheduled in Washington with members of the NASULGC inter-association task force. Purpose - to review the draft plan as prepared by the NASULGC task force and finalize plans for the field work, including approval of the criteria to guide the study operations and the list of LDC higher education institutions to be included in the study.
- (d) prepare and transmit to AID field missions an airgram setting forth the nature, scope and purpose of the field study and

urging mission cooperation. Field mission understanding and cooperation is essential and will facilitate effective communication with LDC authorities.

- (e) meet for periodic reviews with the NASULGC inter-association task force during the study period.
- (f) accompany NASULGC inter-association task force members on field trips from time to time to participate in joint planning sessions with LDC and AID field mission personnel on unique and particularly promising proposals.
- (g) participate in a one day post-field study seminar to be convened in Washington with members of the NASULGC inter-association task force. Purpose - to receive and discuss in-depth the NASULGC inter association task force preliminary report. The final report will be presented to AID within one month following the seminar and approximately two months before the termination of the study period.
- (h) Evaluate the NASULGC inter-association task force report in cooperation with the R and DC and submit recommendations to the Administrator for action.

What Will Follow the Field Study Phase

The AID task force will receive the report from the NASULGC task force, will evaluate the report in cooperation with the R and DC, and submit recommendations to the Administrator for action. It is assumed

that the members of the AID task force will be well prepared to evaluate the report as a result of their exposure to and participation in various phases of the field study.

At the present time, speculations concerning AID involvement in the establishment of an association of the type proposed, its range of activities, and levels of AID's financial support are premature. It is important to re-emphasize that any decision relating to AID's support of an association as proposed, will be made by AID on the basis of convincing evidence that LDCs and AID field missions perceive strong needs for assistance via such an institutional arrangement relative to other possible arrangements. Further, any decision relating to AID's support will be based on the findings from the field study, that LDCs, American higher education interests and AID conjointly envision such an association as a positive and enduring institutional resource, complementary to existing institutional arrangements, to be focused primarily on priority problem solving in the LDC development arena. And finally, the proponents of an association are advised to take no action assuming approval by AID until approval has been granted formally. AID will make its final decision prior to the termination of the study grant.

BUDGET FOR THE STUDY GRANT TO NA'SULGC

Personnel

Including members of study team, \$95,000
consultants and administrative
support staff

Operations

Conferences and planning sessions 25,000
with LDC/foreign delegate
participation

Travel - domestic and foreign (including 40,000
per diem)

Office expenses, including 15,000
rental of equipment

Total \$175,000

IDENTIFICATIONS

The following are identifications of the intended meaning of key words and phrases used in the text of this document and with an elaboration of several major concepts contained in the document.

The terms "higher education institutions" and "universities" are used in the broad sense to refer to post-secondary education including university undergraduate and graduate teaching, research and extension activities as well as degree and non-degree technical institute programs which are often very directly involved in the solving of problems on the frontiers of development.

The term "development" as used in this document embraces a special focus on LDC priority problems and AID's priorities as set forth in the Congressional mandate which emphasizes the importance of working in the collaborative style with LDCs; providing effective assistance to the poor majority; and concentrating assistance in the major areas of food/agriculture/rural development, health/nutrition/population, and education.

The role of the LDCs in the field study is to be a prominent one indeed with LDCs having a vital part of the action.

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Mutuality of interests and a balanced partnership will be emphasized. Every effort will be made to avoid prescriptive programming for LDCs as opposed to working with them as equals in partnerships which promote enduring linkages.

It is contemplated that the counsel of leaders from various donor agencies will be sought. Further, NASULGC and the participating American University Associations are encouraged to secure the support of both public and private donor agencies.