

PROPOSAL FOR SUPPORT UNDER THE
AGENCY FOR INTERNATIONAL DEVELOPMENT
INSTITUTIONAL GRANTS PROGRAM

NAME OF APPLICANT: University of Massachusetts

DATE OF APPLICATION: May 14th, 1974

GRANT TITLE: A grant to the Center for International Education of the University of Massachusetts to strengthen and develop its competence in nonformal education for the developing world.

DURATION: Five years from date established by the grant

AMOUNT OF GRANT: \$750,000

AID SPONSORING OFFICE: Technical Assistance Bureau (TAB)

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I. DESCRIPTION OF PROBLEM

Educational planners and national-level decision-makers in LDCs have increasingly found themselves rushing through a tunnel -- bounded on one side by growing demands for educational opportunity and on the other by a myopic dedication to the principles of schooling as the only practical means of satisfying those demands. Nonformal education now represents a new approach toward the utilization of limited resources to more rapidly and directly improve the lot of economically disadvantaged peoples. Because nonformal education is human-resource intensive, it promises to make both more appropriate and more efficient use of the limited capital available for education in LDCs.

Description of the Problem and of Development

At present there is no generally accepted definition of the term nonformal education. For the purposes of this grant, the term will be taken to cover:

a wide range of non-school activities whose major purpose is to promote in people around the world the development of skills, knowledge and behaviors which will enable them to improve their life situations.

Economically, nonformal approaches to education address the critical need to narrow the gap between the educated elite and the high percentage of the non-schooled populations in LDCs. Formal education systems tend to funnel those who become educated out of their rural homes and hence lessen the chance that they can share their learning with the rural population - a loss of human and material resources for local development. Moreover, it is becoming

a widely accepted fact that until a majority of the world's unschooled population have met their minimum essential learning needs, the problems of population growth and natural resources distribution cannot be solved.

Politically, the most effective programs in development are those which build up native capabilities and help people to provide for their own needs. Nonformal education programs capitalize on indigenous learning systems where they exist, and depend on local leaders to become educators and key figures in the delivery systems. Methodologies stress local initiative, self-help, learning from non-professional peers, easily reproducible and cheap materials, and an emphasis on locally chosen goals for the learning.

Educationally, nonformal approaches have the highly valuable characteristics of cultural relevance to the people's learning needs. Rather than imposing Western educational systems on cultural structures where they may not fit, nonformal programs grow out of the indigenous systems and are appropriate to particular groups of people. Also, these programs can operate at costs which lesser-developed countries can afford.

Finally, nonformal education is oriented toward the future, and the gradual balancing out of the amount of educational assistance provided by the United States to LDCs and the amount gained by us from their experiences. As we become a receiver as well as a giver of aid and insight, nonformal education methods may provide us with innovative ways to narrow the gap between the educated elite and underprivileged in our own nation.

University Interest, Present Involvement and Activities:

The University of Massachusetts, with assistance from the Agency for International Development, proposes to strengthen and expand its existing capacity in nonformal education for developing areas of the world. Based on

the groundwork of current projects in nonformal education, the University proposes to establish a Nonformal Education Center (NEC) within the framework of the already existing Center for International Education which has been responsible for university efforts in this field until now. The two centers will form a mutually supportive team which will draw on the considerable resources of the School of Education, other departments within the university, and the other institutions in the Five-College Consortium. In addition, the university will work closely with other universities, international organizations, and indigenous institutions involved in nonformal education.

Overlap Between AID Purpose and Grantee's Educational Objectives:

It has become clear that (lesser developed) countries cannot afford universal education...and that the academic patterns of the developed countries are inappropriate in the developing countries. Those nations must develop low-cost, innovative systems of education to roll back illiteracy and provide their people with the requisite skills to participate in the process of development. The United States can assist the developing nations with designing and testing new educational systems and concepts aimed at reaching larger numbers of people at lower costs. (Section 105, page 25 of House Report No. 93-388)

The above statement taken from the House Report on the Mutual Development and Cooperative Act of 1973 highlights the potential role of development institutions in creating innovative approaches to nonformal education. The development of the capability to assist in creating new approaches to the education problems of LDCs is part of the commitment of the University to training doctoral candidates for work in international development. The Center shares AID's goal of involving women in the development of their own countries (as articulated in the Percy Amendment). This is evidenced by the current percentage of women of foreign nationality at the Center and by the Center's participation with AAUW in

the Training Program for African Women. Another shared goal lies in the area of providing education in the United States for a wide variety of non-school populations. The University is charged with serving the educational needs of the people of the state, and a number of the techniques developed for use overseas have potential for use in domestic settings. While grant funds cannot be applied to problems in the state, the capability developed under the grant is available domestically and can help to strengthen the University's commitment to the Nonformal Education Center.

II. DESCRIPTION OF GRANTEE

Existing Grant-Related Competence and Capabilities:

The grant activities will draw upon resources from the University at large. For example, the University has an Agricultural College with international experience stretching back over a fifty year period. Recent programs in Agriculture include the development of an Agricultural College in Malawi, and short-term training for students from all over the world. Both the Business School and the Anthropology Department also have ongoing international involvement. The Office of International Programs serves as a point of coordination for foreign student activities and other projects.

During the past six years, the School of Education at the University has been engaged in the formulation of new approaches to education which has brought it national recognition. According to the February, 1973, School Report to the Trustees' Committee on Faculty and Educational Policy, "One of the fundamental characteristics of the School is that it is still changing, still experimenting, still attempting to improve its offerings and services and can be expected to continue to do so in response to continued re-evaluation of its activities, new knowledge, and changing needs in the clientele which it serves."

The Center for International Education was created six years ago as one of the centers in the School of Education and now consists of a core group of about 35 people, both graduate students and faculty, resident at the Amherst campus. This group is supplemented by a network of about 15 people in locations around the world. The Center is engaged in activities which cluster around the following areas: curriculum development for International

the Training Program for African Women. Another shared goal lies in the area of providing education in the United States for a wide variety of non-school populations. The University is charged with serving the educational needs of the people of the state, and a number of the techniques developed for use overseas have potential for use in domestic settings. While grant funds cannot be applied to problems in the state, the capability developed under the grant is available domestically and can help to strengthen the University's commitment to the Nonformal Education Center.

Studies in the U.S., cross-cultural training, development of education in the third world, and nonformal educational approaches to development.

Center personnel draw upon their wealth of collective past experiences throughout the world and its multi-national, multi-ethnic composition in planning and implementing projects and grants. Projects undertaken by the Center include the management and evaluation of the Tororo Girls School (Uganda) for AID; fourth and sixth cycle Teacher Corps projects utilizing returned volunteers and others with previous international experience; assisting the Universidad del Valle in Cali, Colombia to develop skills in educational innovation and evaluation; assisting the Government of American Samoa in planning for out-of-school youth programs; and a nonformal education project for AID in Ecuador.

The Nonformal Education Center will draw upon existing resources, much of it from the Center for International Education, in augmenting its base of institutional competence in nonformal education. The Center intends to continue its policy of staff diversification. The Center will draw upon and develop minority talent and work with minority institutions in the field of nonformal education. Domestic uses of nonformal education will be considered an important spin-off of this grant.

University Contribution

In recent years the University of Massachusetts has provided increasing support for international programs. The Office of International Programs was established and has grown both in the coordination and the development of the involvement abroad of faculty, programs, field projects, and exchange programs on the undergraduate level. Funds from the grant will be used to complement and add impetus to this growth. The University will provide:

- Physical space for offices and meetings for project staff and consultants;
- Use of facilities available through the recently combined library and the new graduate research center;
- Use of the University Computer Center and access to the expertise and creativity of the Media Center;
- Administrative support services, and coordination with other programs of the University and Five College area involved in related project;
- Substantial support for the salary of the Director of the Non-formal Education Center;
- Normal costs associated with University overhead.

Other Contributions:

The Nonformal Education Center will seek additional contributions to support its activities and goals from three categories of institutions:

- 1) Foreign assistance organizations, such as AID and UNESCO, for contracts to support specific applications of nonformal education;
- 2) Foundations, such as Ford, for the same purpose;
- 3) Countries with whom the Center has working linkages, to support all or portions of local or regional nonformal activities.

The latter is considered an important index of real interest in non-formal education.

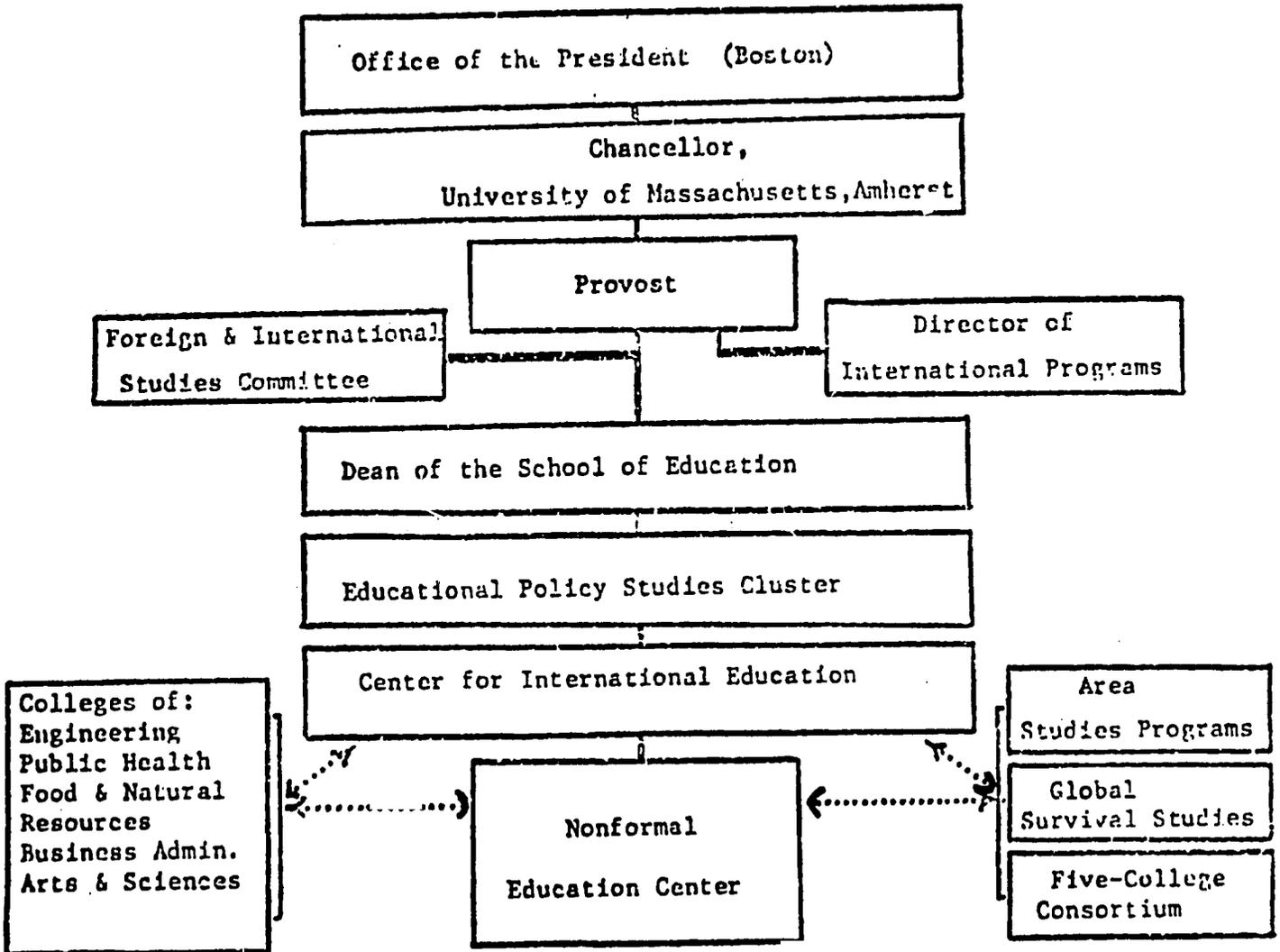
Organization and Policy for Grant-Financed Activity

The Nonformal Education Center will be established as the major administrative structure for the Grant. It will operate in conjunction with The Center for International Education. The two Centers will complement and strengthen each other through shared members and communication networks.

Like the Center for International Education, the Nonformal Education Center will be under the administrative auspices of one of the five clusters within the School of Education. The cluster chairperson reports directly to

the Dean of the School of Education, who in turn is responsible through the Dean of the Graduate School, to the Provost of the University of Massachusetts. University-wide support and coordination of international programs is provided by the Office of International Programs on the Administrative side, and by the Foreign and International Studies Committee of the Faculty Senate on the academic side.

ADMINISTRATIVE STRUCTURE



Policies and Assumptions

The development and growth of the Center for International Education over the past six years has been based on certain working premises and assumptions. The most important of these include:

- the belief that skills and knowledge are learned as much through direct immersion in actual problem situations as through academic treatment of subjects: that theory and practice are interdependent and must be provided in equal amounts;
- the commitment to continuous direct participation by people who are representative of the peoples and countries for which education is being planned;
- the conviction that all ideas and techniques must be either derived from field situations or face early reality testing in settings for which they are intended.

In order to insure that the activities of the Nonformal Education Center being created with this grant meet these criteria a Policy Advisory Committee (PAC) will be formed at the outset. This committee will be composed of faculty and fellows with substantial representation of various third-world countries. This committee will recommend basic policy and review plans for any proposed use of grant resources to insure compliance with the basic principles indicated above. It will also serve to recommend goals and measure progress towards those goals through periodic review mechanisms. The PAC will act in an advisory capacity to the Director and his staff, and will review recommendations from many sources, including the joint AID/University Liaison Committee discussed in the following section of this proposal.

Thus, for example, the PAC would receive from the AID/University Liaison Committee* suggestions which emanate from problems articulated by the local AID.

*This committee will serve as a liaison group between the University and AID; both groups would designate appropriate representatives for periodic meetings. Illustrative activities of this group are contained in the presentation of critical assumptions in section III of this document.

missions. These would be balanced against other demands and problems coming from University contract sites - such as the Nonformal Education Project in Ecuador or the research and training site established by the University as part of the grant-supported activities. Recommendations for priorities for resource allocation and timing would then be made. Continuous monitoring of task force activities would insure that no group proceeded too long without direct field-testing of ideas.

The PAC would also be charged with seeing that meaningful communication took place with both U.S. and developing country institutions. A primary objective would be the early establishment of linkages with national and local institutions in developing countries (including the use of the many contacts which the University already has) so that substantive joint participation could take place.

III. PURPOSE, OBJECTIVES AND ACTIVITIES

Purpose of Grant

The purpose of the grant is to increase the capability of the University of Massachusetts to assist collaboratively developing countries, particularly in rural areas, with development-oriented nonformal education programs.

Such programs will include the promotion of skills and knowledge in family health and nutrition, agricultural productivity, literacy and numeracy, community and cooperative organizations, and other relevant areas.

As a result of this grant, faculty, graduate students and associates of the University of Massachusetts will be able to offer expertise in non-formal education theory and practice in the areas of training, research, materials development, and delivery systems, and will maintain a network of human and materials resources involving domestic, LDC and international institutions.

Major Objectives (Outputs)

At the end of the five-year grant period, the university will have developed its capability to:

- 1) Offer professional advice on nonformal education needs assessment and project design, implementation and evaluation. Advisors will include faculty, advanced doctoral candidates, LDC personnel, graduates and field affiliates in the larger network coordinated by the university.

It is intended that: By the fall, 1974, one Center Director (1/2 time) and two experienced professionals (full time) will be hired. By the fall of 1975 it is intended that a third full-time professional be added to the Center staff. Their areas of expertise will include social science knowledge, conceptual and analytical skills and experience relevant to nonformal education. Each year an average of ten Center Associates will be available to participate in research, evaluation and training activities under the guidance of senior staff. These associates will be LDC and US part-time staff who are either degree or non-degree candidates.)

A Center

/ Associate training program for NFE practitioners and consultants (which may include graduate students) will be developed in four stages:

- a) entry skills assessment
- b) skills attainment at the University
- c) field experience, and
- d) leadership development for NFE

An affiliated group of people will be directly available to the Center as consultants and field program participants. This group, to be comprised of people trained at U/Mass and elsewhere, will be formed as a result of linkages established as a part of the grant.

- 2) Provide training options for LDC, AID and other personnel involved in nonformal education. Training will include the planning, design, implementation and evaluation of existing and innovative activities.

is intended that:

Workshops and other training model options in specific NFE skills will be presented for various clientele. These will range in length from brief workshops to more extended programs. During the first two years of the grant, two workshop models will be designed and tested; thereafter other models will be perfected.

A process for extensive and intensive training of NFE practitioners, both LDC and US nationals, will be developed and tested. This process will take place in three six-month phases:

- a) the identification of competencies required for a practitioners;
- b) the identification of types of clientele and training situations, and
- c) the development of training methodologies suitable for various types of clientele.

A course proposal will be designed for NFE practitioners from LDCs and donor agencies. This course will emphasize the design of NFE programs and materials for use in rural areas. These training designs will be available for testing and comment by other institutions and agencies.

-) Engage in collaborative field-based research and development activities and conduct evaluations of projects and programs.

is intended that:

Research activities will be based on field-articulated concerns. A task force will be formed within the first year to determine research areas and priorities, beginning with a systematic survey and analysis of the state of the art. Problems to be addressed will include those such as:

- a) the creation and implementation of appropriate evaluation strategies and techniques for NFE;
- b) a diagnosis of rural populations not in school and their educational needs;
- c) identification of major types of NFE programs and their components,
- d) investigation of existing inexpensive and practical NFE techniques which would be effectively disseminated:

- e) an analysis of the impact of NFE programs on income distribution,
 - f) indigenous non-Western learning programs in various cultures,
 - g) educational approaches used successfully in rural development programs,
 - h) a comparative analysis of village simulation games, and
 - i) case studies of research and evaluation efforts, including obstacles imposed by field conditions, successful quasi-experimental designs, and innovative strategies.
- 4) Develop materials, techniques, methodologies, generalizations, data bases and descriptions of processes used in the development of nonformal education activities.

It is intended that: Materials, techniques and programs will be tested in field sites. These will include literacy and numeracy methods, simulation games, films, drama formats, and so on, in the areas of health, nutrition, cooperatives, conscientization, agriculture and others appropriate to particular field sites. Materials will be experimented with in meeting particular needs, and revised for use in multiple cases with common requirements. For example, a simulation game designed to teach nutrition fundamentals might be produced in both a generalized format and in formats suitable for particular field sites.

It is intended that: A resource center at U/Mass will be available to LDC and donor agencies. It will serve as (a) a referral service to materials and human resources identified as useful to linkages established by U/Mass, and (b) a disseminator to interested clientele of technical notes, materials and training reports developed by the Center. An extensive NFE library at U/Mass will not be maintained; rather, efforts will be concentrated on making useful materials available to those who need them.

It is intended that: A description of the model, including the rationale, essential components and variables of the organizational structure will be provided as an example of collaborative management strategies for potential use by other institutions.

- 5) Participate in a world-wide network of institutional linkages (LDC, US, multi-lateral and other) involved in generating, perfecting, implementing and studying nonformal education activities.

The network will provide for an information exchange with domestic institutions, donor agencies and LDC institutions and agencies involved in NFE activities.

Research and other activities will be conducted to the extent possible in cooperation with AID network of grant and contractual institutions and LDC governments. The U/Mass/AID liaison group will be a source of suggestions of institutions for potential liaison activities and specific ideas on the type of cooperation to be pursued.

Given the pervasive nature of education problems in LDC's and recognizing that AID wishes to encourage and assist its contractors and grantees to jointly develop research priorities and methodologies, to conduct joint research, cooperate in field activities, workshops, participate in joint teams, to conduct reviews, assessments, project planning and generally engage in collaborative approaches to solving development problems, to maximize the import of U.S. knowledge and expertise on the many problems facing the developing countries, therefore within the next 12 months will participate in a meeting of contractors and grantees to explore and develop ways to operationalize certain of the specific activities noted above.

Statement of Scope and Types of Activities

The grant will permit the institution to strengthen significantly its capacity to create, develop, and field-test a wide range of innovative techniques and materials for nonformal education. Using the cadre of professionals and the experience developed through this grant and ventures such as the AID-financed Ecuador Project, the University will explore the potential of non-formal approaches in other parts of the developing world -- Africa, Asia, and Latin America. Emphasis will be placed on creating a development process for nonformal education which can be applied in different localities, rather than attempting to transfer specific techniques and materials.

The institution's activities have been and will continue to be characterized by:

- 1) a reliance on field-based development and testing of proposed techniques,
- 2) early and continuous direct participation by people who are representative of the people and countries for which the approaches are being developed, and
- 3) a willingness to explore ideas and approaches that initially seem strange or inappropriate.

Our goal in nonformal education will be early development of a cluster of promising new approaches combined with analyses of their feasibility in a variety of primarily rural geographical and cultural settings.

The combination of a new center, a culturally diverse staff, extensive reliance on early and substantial field involvement, and the resultant contacts with people and institutions in developing countries provides an effective and a reality-oriented means of developing the competencies of the personnel and the resources of the University of Massachusetts in the area of nonformal education. This strategy also maximizes the possibility of continuing support for these competencies from a variety of sources both within and outside the university.

The scope, thrust and nature of activities to be engaged in under the auspices of this grant are based on the premise that nonformal education can most effectively and rapidly be developed through collaborative efforts with LDC and other cooperating groups.

Operational guidelines will therefore include:

- 1) that University personnel will work in a collaborative effort with LDC participants, AID, and other constituencies to set policy, plan programs, implement them and evaluate their effectiveness and impact;
- 2) that research and development activities will be based directly on concerns articulated by those involved in the field-site and linkage programs;
- 3) that mutual learning will be insured by mutual respect for the needs and capabilities of all collaborating groups; and,
- 4) that the administrative structure of the grant implementation will embody mechanisms which insure the consideration of and investment in innovative ideas and activities consistent with grant goals and policies.

Within these guidelines three types of activities will be initiated:

- 1) establishment and maintenance of a field site and associated field linkages;
- 2) task force organization in at least three areas, and,
- 3) an active Policy Advisory Committee, including membership representative of all constituencies.

One field site will be selected and developed as a means for applying skills and knowledge in nonformal education as well as for learning more about the essential and variable elements in nonformal education programs. Consecutive sites may be developed (after the first site is phased over to the LDC) as the empirical base of research, training and program implementation is broadened. Staff will spend a significant proportion of time working directly

with field sites and with linkage institutions consequently increasing the probability that the quality of our institutional capacity will be based upon the concerns of LDC educators and developers.

Task forces will have specific sets of goals and a time line for meeting them. Task forces will generally be composed of University personnel and associates selected on the basis of skills, area expertise and learning interests as well as LDC participants. Task forces will have the dual role of supporting field efforts in nonformal education and of training their own members and others in the required skills and knowledge which will contribute to these efforts. Task force products and materials will be tested in field situations. Thorough descriptive records of task force activities and findings will be kept in a resource center and made available to the nonformal education network.

A Policy Advisory Committee consisting of representatives from various constituencies as well as active university personnel will be formed at the outset of the grant implementation. This committee will recommend basic policy and review plans for any proposed use of grant resources to insure compliance with the basic premises outlined above. It will also recommend goals and measure progress toward those goals through periodic review mechanisms. These mechanisms will additionally insure periodic reviews of the goals themselves, to assess their continued appropriateness.

Critical Assumptions of Grantee Regarding Conditions Outside His Control Relevant to the Accomplishment of the Above:

The grant is to be implemented on the basis of the following assumptions:

The grant is to be implemented on the assumption that nonformal education programs and materials are in demand in LDCs; field sites are available for developing and testing NFE programs and materials; nonformal education is a professionally viable field, able to attract and support educators and others of high calibre; research and training can be designed and implemented consistent with field-based operational criteria and with a probability of valid results. It is assumed that an AID/University Liaison Committee will be formed whose membership will appropriately represent AID. It is further assumed that this committee will be involved in and facilitate:

- 1) field site identification;
- 2) necessary clearance and travel authorization to visit sites and institutions;
- 3) access to potential field sites and linkage institutions;
- 4) dissemination of information about the purpose of field site and linkage development;
- 5) the collection of information by AID for the identification of training needs and priorities;
- 6) the dissemination of information on U/Mass training capabilities;
- 7) recruitment and support of qualified participant trainees;
- 8) the establishment of a professional interface for discussion of research issues such as consideration of priorities and review of findings.

GRANT BUDGET BY INPUTS: FIVE YEAR TOTAL

1. Salaries and Allowances	\$312,050
2. Stipends	228,000
3. Library	5,000
4. Research	45,000
5. Travel	72,250
6. Equipment and Supplies	39,000
7. Publications	4,500
8. Other Direct Costs	<u>44,200</u>
TOTAL	\$750,000

ANTICIPATED BUDGET BY PROGRAM OUTPUTS

OUTPUTS:	<u>First Grant Year</u>			<u>Second Grant Year</u>		
	<u>Man-Months</u>	<u>Est'd Costs</u>	<u>Other Contrib.</u> ¹	<u>Man-Months</u>	<u>Est'd Costs</u>	<u>Other Contrib.</u>
1. Institutional capacity to advise in NFE needs assessment and project design	16	18,338	15,899 ²	23	26,510	19,692 ²
2. Institutional capability (I.C.) to provide training options	39	27,527	15,899	44	38,062	19,692
3. I.C. for collaborative field-based R&D	42	43,366	15,899	48	46,837	19,692
4. I.C. for materials collection and development	48	40,145	15,899	46	40,718	19,692
5. World-Wide network of institutional linkages (US and abroad)	32	<u>37,044</u>	<u>15,899</u>	33	<u>36,935</u>	<u>19,692</u>
TOTAL COSTS		\$166,940	\$ 79,495		\$189,062	\$ 98,460

	Third Grant Year		Fourth Grant Year		Fifth Grant Year		Total Est'd Cost	
	<u>211(d)</u>	<u>Other</u> ³	<u>211(d)</u>	<u>Other</u> ⁹	<u>211(d)</u>	<u>Other</u> ¹⁴	<u>211(d)</u> ¹⁸	<u>Other</u> ¹⁸
OBJECTIVES/OUTPUTS:								
• Institutional capacity to advise in NFE needs assessment and project design	30,000	17,935	30,000	14,718	25,000	11,468	130,000	30,000
• Institutional capability (I.C.) to provide training options	28,000	27,935 ⁴	26,000	26,718 ¹⁰	13,000	23,468 ¹⁰	133,000	114,000
• I.C. for collaborative field-based R&D	39,000	18,935 ⁵	28,000	26,718 ¹¹	23,000 ⁹	18,468 ¹⁵	181,000	100,000
• I.C. for materials collection and development	30,000	24,935 ⁶	18,000	31,718 ¹²	13,000 ¹⁷	16,468 ¹⁶	141,000	108,000
• World-wide network of institutional linkages (US and abroad)	33,000	24,935 ⁷	28,000	26,718 ¹¹	30,000	11,468	165,000	99,000
TOTAL COSTS BY OUTPUTS³	160,000	115,000 ⁸	130,000	127,000 ¹³	104,000	81,000 ¹⁷	750,000	501,000 ¹⁹

FOOTNOTES:

1. Includes overhead, University contribution to Director's salary and research costs, all University contributions.
2. N.B.: Inflation costs not factored in estimated budget.
3. All line items include \$17,935 in overhead, Director's salary and research costs, all University contributions: column total rounded to 000.
4. Includes \$10,000 in anticipated contract funding.
5. Includes \$1,000 in anticipated LDC funding.
6. Includes \$7,000 in anticipated grant funding.
7. Includes \$7,000 in anticipated contract funding.
8. Total of \$25,000 anticipated from outside (non-University, non-grant) funding sources.
9. All line items include \$14,718 in overhead, Director's salary and research costs, all University contributions.
10. Total of \$12,000 in anticipated contract funding.
11. Total of \$12,000 in anticipated contract and LDC funding.
12. Total of \$17,000 in anticipated contract funding.
13. Total of \$53,000 anticipated from outside (non-University, non-grant) funding sources.
14. All items include \$11,468 in overhead, Director's salary and research costs, all University contributions: column total rounded to 000.
15. Includes \$7,000 in anticipated contract funding.
16. Includes \$5,000 in anticipated contract and LDC funding.
17. Total of \$24,000 anticipated from outside (non-University, non-grant) funding sources.
18. to nearest 000.
19. Total of \$101,000 anticipated from outside (non-University, non-grant) funding sources.

IV. LINKAGES AND UTILIZATION

Institutional Linkages:

A variety of institutional linkages are seen developing with the aid of the grant with the dual purpose of coordinating efforts and providing a network to share information and technology. Linkages with AID will take the form of guidance by the joint AID/UMASS Liaison Committee, provision of a variety of communications documents to AID/Washington and the field missions, and supplementary GTS or mission-funded contracts to provide specified services in the area of nonformal education.

Linkages with other U.S. institutions will involve initially a series of active liaisons with the other universities who have been awarded AID grants in fields related to nonformal education (e.g., UC/Berkeley, UCLA, MSU, FSU, Stanford, Cornell). Considerable cooperation already exists in the form of joint presentation at conferences (UMASS sponsored such a session at the recent CIES conference in Washington, D.C.), hosting of education officials from LDCs, consulting and evaluation by staff of the different institutions. Existing linkages between the School of Education at UMASS and predominantly minority institutions will be strengthened in ways which contribute to the overall goal of increasing institutional competence to assist countries in the development of their non-school educational efforts.

Cooperation with and funding by other international donors will be sought, particularly during the later phases of the grant. Contacts and previous working arrangements already exist with organizations such as UNESCO and the World Bank. These will be expanded at the same time that further

development of linkages with governments, institutions, and individuals in LDCs is undertaken. It is assumed that inputs from governments, institutions and individuals in LDCs, along with information from AID and other donor institutions, will form an important part of the information and data base which Center staff will use to initiate, strengthen, or otherwise modify grant activities. The Center for International Education already has a small but active network of individuals distributed throughout the developing countries of the world. Mechanisms to strengthen and expand this network will be sought.

Relationship to Other Financing:

Currently the Center for International Education is entering the third year of a contract with AID/Ecuador in nonformal education. Preliminary discussions are underway with Nepal and several other Asian sites have been discussed with ASIA/TECH. Informal discussions have taken place in the past year with several African AID missions and active contact exists between UMass and the missions in Colombia and Peru. In short, a number of probable contract sites are being actively explored by AID and UMass jointly. In addition several organizations which receive AID financing have been in direct contact with personnel from the Center for International Education. These include World Education, the Inter-American Foundation, Partnership for Productivity, and the Academy for Educational Development.

Contact in the form of exchange of documents, presentations, and discussions of cooperation also exist with organizations like UNESCO, IIEP, and The International Institute for Adult Literacy Methods in Iran. The potential for more extensive liaison will be substantially enhanced by the activities of UMass capabilities.

Alternative Sources of Funding:

The expanded utilization of UMASS capability and the resulting visibility to a variety of donor agencies will greatly increase the probability of funding from sources other than AID. During the latter part of the grant a plan to seek such funding and a series of targets will be set by UMASS to insure continuance of institutional capability.

Utilization of Capability

UMass is committed to respond in appropriate ways to request for its services that utilize the capacities developed through this grant. In addition, the University will take action to identify areas where its capabilities can make contributions to significant problems.

V. EVALUATING AND REPORTING

At this initial point the ability to plan and specifically detail the outputs of a grant operation of this nature is exceedingly difficult. Therefore, at some point between the first year and year and a half of grant operations, appropriate representatives of the University of Massachusetts will be prepared to meet with AID officials to review and reassess the statement of grant purpose, the specific objectives/outputs to be produced, their magnitude and timing, means of verification or progress and completion, and critical assumptions. At that time, both parties may agree that specific objectives/outputs should change in priority, in scope or direction or remain as originally contemplated. Such a review shall also include a presentation and analysis of the grantee's basic approach and methodology, the need for action by AID or other organizations outside the control of the grantee, and any need for formal revision of grant terms and conditions, expected results, etc.

In addition to the submission of annual reports (see Standard Provisions), the grantee and AID will seek appropriate occasions to consult with and involve each other in professional interchanges including exchange of visits, participate in workshops and seminars, joint travel, based upon the conception that professional interface forms a basis for evaluation.

During the fourth year of the grant, an AID team will meet on site with the grantee to review jointly performances by both parties and grantee accomplishments with emphasis on new knowledge and opportunities, linkages, and actual and potential use of institutional capacity. At that time, the university will be prepared to discuss grant expiration, revision and/or extension or other alternatives as deemed appropriate and within the framework of current AID policies and priorities and LDC needs.

Summary Report on U/Mass 211 (d) 18 Month Review

Conducted March 11 and 12, 1976 by TA/RES, Thomas Eliot and
2/12/76 TA/EHR, B. Wilder

The items contained in the memo of March 10, 1976, from B. Wilder to Mr. Thomas Eliot concerning "topics for discussion in 18 month Project Design Review..." (attached) served as the outline for AID/W concerns for the review. Those items not covered during the sessions organized by U/Mass were discussed on the final day of the review. The following presentation is organized using the memo mentioned above.

I. Goal Level

No discussion required.

II. Purpose Level

A. Purpose statement:

Definition of what is meant by institutional capacity and competence beyond the grant agreement and log framework language was not accomplished. It was agreed that the definitional problem was real, important and should be addressed at intervals. No specific changes were called for at this time.

B. End of Project Status:

Objectively verifiable indicators 3 and 4 are still reasonable. However, the means of verification selected may have to be modified. In essence the degree to which 3 and 4 will be achieved may fall short of expectations. The director of the NEC (now NEP) has, since the inception of the grant, been granted tenure status. Therefore, $\frac{1}{2}$ of #3 has been achieved. The other half is more uncertain now than two years ago when the proposal was written. It has not been abandoned as an objective but financial conditions at the time the grant is terminated will be the crucial factor. The same factor of finances also controls the chances of achieving #4.

The creation of a "Center" for non-formal education in the physical sense is not the concept most likely to achieve lasting support from the U/Mass. It is to be termed a "Program" within the Center for International Education. The original choice of terms was unfortunate.

C. Means of Verification:

By way of clarification the "Director" referred to in this column of the purpose section is that of the Center for International Education. He is also the director of the Non-formal Education Program.

D. Assumptions:

The review of outputs to ascertain their achievability and whether they would lead to purpose attainment was a main concern during the entire review. The general concensus was that the assumption as stated was valid. It was the judgement of the review group that the outputs will lead to purpose achievement. Further, that the outputs are achievable. Both statements can be made with more certainty now than during the original design phase with the exception of the degree of likelihood that the U/Mass will hire two staff on a permanent basis. (The first has been put on tenure since the grant began. Whether the second will be made permanent depends upon the financial situation of the University when the grant terminates). The attached paper entitled, "Minor Changes Recommended as a Result of the 18 Month Review of the U/Mass 211 (d) Grant" details the minor changes recommended as a result of the review of the grant document and Log Framework.

III. Output Level

A. Assumptions were reviewed and no changes were recommended.

B. Outputs were reviewed and in each case it was found that:

- 1) They contribute to purpose achievement.
- 2) Are necessary for purpose achievement.
- 3) The magnitudes are achievable given resources available, although the effects of inflation have caused some adjustments in the work plan.
- 4) The magnitudes are necessary for purpose achievement.
- 5) Current progress was reported in a report prepared by U/Mass for the review and is attached.

C. Answers to Specific Questions:

- 1) A tentative research agenda has been prepared. It is presented in the modified Log Framework output sheet number three and in the 18 month review report. The "Research Task Force" in the Center is in the process of further defining this agenda.
- 2) The effects of Center members engaging in consultations has been beneficial to the grant operation and the

development of response capability. Consultation activities have provided field experience, allowed Center activities to be planned in a more realistic context, and has saved funds by allowing grant activities to be "piggybacked" on trips funded by others.

- 3) The continuum from a casual communication through a linkage to a field site with a resident representative was discussed. A clarification of the U/Mass concept of this continuum is presented in their report prepared for the review.
- 4) and 5) The redefinition of what constitutes a site was briefly discussed. Considering the remaining sites will be funded through a separate project, the detailed discussion will be carried in the context of the new project.

IV. Other Issues and Questions

- A. See attachment concerning recommended modifications.
- B. The question how to more effectively utilize the AID/UMass Liaison Group was not adequately answered. Further discussions will be held in AID/W to identify ways of increasing the Liaison Group's effectiveness.
- C. The Non-formal Education Program does not seem to have been successful in involving other elements of the U/Mass in grant activities.
- D. and E. No new ways to more effectively link U/Mass grant activities with other TA/EHR grantees and contractors were identified.
- F. The expansion of Center for International Education staff during the past 18 months has provided adequate personnel and leadership, so no hiatus should develop during any possible sabbatical of the grant direction.
- G. Involvement of other institutions from the "Five University" consortium in New England to date has been lacking. However, a conference to involve them has been planned.

V. Summary

With the minor exceptions noted above the grant activities are progressing satisfactorily.

PROJECT APPRAISAL REPORT (PAR)

PAGE 1

1. PROJECT NO. 931-11-696-158-3149158		2. PAR FOR PERIOD: 6/1/74 TO 3/11/76		3. COUNTRY TA Bureau		4. PAR SERIAL NO. 49	
5. PROJECT TITLE A Grant to the University of Massachusetts, Center for International Education to strengthen and develop its competence in Non-formal Education for the developing World.							
6. PROJECT DURATION: Begin FY 74		Ends FY 79		7. DATE LATEST PROP 5-16-74		8. DATE LATEST PIP	
						9. DATE PRIOR PAR NA	
10. U.S. FUNDING		a. Cumulative Obligation Thru Prior FY: \$		b. Current FY Estimated Budget: \$		c. Estimated Budget to completion After Current FY: \$	
11. KEY ACTION AGENTS (Contractor, Participating Agency or Voluntary Agency)							
a. NAME University of Massachusetts, Center for International Education				b. CONTRACT, PASA OR VOL. AG. NO. 211 (d) AID/TA Grant # G-1112			

I. NEW ACTIONS PROPOSED AND REQUESTED AS A RESULT OF THIS EVALUATION

A. ACTION (X)			B. LIST OF ACTIONS	C. PROPOSED ACTION COMPLETION DATE
USAID	AID/W	HOST		
			1. Hold Meeting of AID/Mass Liaison Group to identify actions necessary to more effectively involve the liaison Group in Grant activities.	June 1976
			2. Request that contracts attach memo of clarification to Grant document reflecting minor changes recommended in 18 month review report.	May 1976

D. REPLANNING REQUIRED							E. DATE OF MISSION REVIEW	
REVISED OR NEW:	<input type="checkbox"/> PROP	<input type="checkbox"/> PIP	<input type="checkbox"/> PRO AG	<input type="checkbox"/> PIO/T	<input type="checkbox"/> PIO/C	<input type="checkbox"/> PIO/D		
PROJECT MANAGER: TYPED NAME, SIGNED INITIALS AND DATE B. Wilder <i>B. Wilder</i> 4/9/76				MISSION DIRECTOR: TYPED NAME, SIGNED INITIALS AND DATE James B. Chandler, <i>J. B. Chandler</i> 4/9/76				

Section III Standard Key Questions (PAR)

A. Project Inputs

1. Were key inputs supplied according to the plan by:
(a) AID, (b) action agent, (c) cooperating countries, (d)
multilateral organizations and/or (e) other donors?

Yes no

2. Were assumptions regarding the supply of inputs valid?

yes no

3. Rate performance of action agent against plan:

outstanding satisfactory unsatisfactory

See 18 month Design Review Report attached. The grantee did not get the first field site established as early as planned. However, this was largely due to circumstance in the LDCs beyond their control.

B. Transformation of Inputs into Outputs

4. Given the answers above, i.e., progress to date in supplying inputs, changes in assumptions, etc., is the management hypothesis that the totality of the resources applied to the project will be sufficient to produce the predetermined outputs by the specified target still valid?

yes no If no, explain.

The answer above is predicated on the assumption that funding for two additional field sites can be obtained through sources other than the 211 (d) grant.

5. Was the approach or course of action originally selected, i.e., project design and/or methodology, the most appropriate?

yes no If no, what changes need to be made in either inputs, workplans, and/or output expectations?

The 18 Month Design Review Report did not recommend any major changes.

C. Project Outputs

6. List the output indicators, their planned targets, and the actual performance achieved for each under the period under review.

See pages 13-17 of the Annual Report.

a. Was actual performance less than planned target?

yes no

b. What changes, if any, were necessary in outputs, output indicators, target dates, and assumptions?

None

c. Did action agent's reports provide adequate progress data

yes no

D. Program Goal

7. Give statement of programming goal - if different from attached matrix - and/or key problem are addressed.

Is it same as in PROP?

yes no

8. Does achievement of project purpose - in relation to other sector or KPA activity - still have the same priority and significance in contributing to the programming goal?

yes no

9. Are assumptions for achieving goal and measure of goal achievement still valid?

yes no

Are they reflected in the attached matrix?

yes no

10. If appropriate, comment on project interactions with:
(a) other interregional, regional or Mission GTS projects;
(b) 211 (d) institutional grants; (c) interregional or mission research projects; and (d) other U.S. Government agencies.

The U/Mass Center for International Education has numerous contacts with other TA/EHR grantees and contractors. The Information Center being developed with grant funds is extending their contacts in the U.S. and with the LDCs. Several U/Mass staff have been utilized on a consultant basis by the regional bureaus, missions and other AID contractors.

Section IV Issues Narrative

See 18 month Project Design Review report.