

A.I.D. EVALUATION SUMMARY PART I

PD-ABA-378
CDD 19

(BEFORE FILLING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS)

IDENTIFICATION DATA

A. REPORTING A.I.D. UNIT: <u>S & T / RIR</u> (Mission or AID/W Office) (ES# _____)	B. WAS EVALUATION SCHEDULED IN CURRENT FY ANNUAL EVALUATION PLAN? yes <input type="checkbox"/> slipped <input type="checkbox"/> ad hoc <input type="checkbox"/> Eval. Plan Submission Date: FY ___ Q ___	C. EVALUATION TIMING Interim <input checked="" type="checkbox"/> final <input type="checkbox"/> ex post <input type="checkbox"/> other <input type="checkbox"/>			
D. ACTIVITY OR ACTIVITIES EVALUATED (List the following information for project(s) or program(s) evaluated; If not applicable, list title and date of the evaluation report)					
Project #	Project/Program Title (or title & date of evaluation report)	First PROAG or equivalent (FY)	Most recent PACD (mo/yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
936-5053	HBCU Research Grant Program				

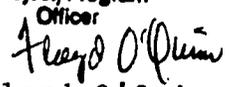
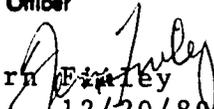
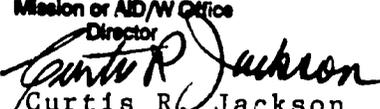
ACTIONS

E. ACTION DECISIONS APPROVED BY MISSION OR AID/W OFFICE DIRECTOR <p style="text-align: center;">Action(s) Required</p> <p>The recommendations made by the reviewers, with the exceptions noted in Item J, have been incorporated into the management of the HBCU Research program.</p>	Name of officer responsible for Action <p style="text-align: center;">Floyd O'Quinn</p>	Date Action to be Completed <p style="text-align: center;">May 1, 1989</p>
(Attach extra sheet if necessary)		

APPROVALS

F. DATE OF MISSION OR AID/W OFFICE REVIEW OF EVALUATION: mo 05 day 01 yr 89

G. APPROVALS OF EVALUATION SUMMARY AND ACTION DECISIONS:

Project/Program Officer Signature:  Typed Name: Floyd O'Quinn Date: <u>12/20/89</u>	Representative of Borrower/Grantee Evaluation Officer Signature:  Typed Name: Fern Estley Date: <u>12/20/89</u>	Mission or AID/W Office Director Signature:  Typed Name: Curtis R. Jackson Date: <u>12/20/89</u>
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H. EVALUATION ABSTRACT (do not exceed the space provided)

ABSTRACT

I. EVALUATION COSTS

1. Evaluation Team

Name	Affiliation	Contract Number <u>QR</u> TDY Person Days	Contract Cost <u>QR</u> TDY Cost (US\$)	Source of Funds
Dr. Barbara Webster;		N/A	Approximately \$10,000	The contract with the NAS
Dr. George Cooper				
Dr. Clarence Gray	(For Affiliation: see page 5 of report)			
Dr. Gail Harrison				
Mr. David Shear				
Dr. Myron Winick				

2. Mission/Office Professional Staff Person-Days (estimate) 5 Days

3. Borrower/Grantee Professional Staff Person-Days (estimate) N/A

00010

21

A.I.D. EVALUATION SUMMARY PART II

J. SUMMARY OF EVALUATION FINDINGS, CONCLUSIONS AND RECOMMENDATIONS (Try not to exceed the 3 pages provided)

Address the following items:

- Purpose of activity(ies) evaluated
- Purpose of evaluation and Methodology used
- Findings and conclusions (relate to questions)
- Principal recommendations
- Lessons learned

Mission or Office: S&T/RUR Date this summary prepared: May 1, 1989
 Title and Date of Full Evaluation Report: A Review of the AID Research Grants Program
 for the Historically Black Colleges and
 Universities December 1988

The HBCU Research Program was established to get HBCU scientists involved in A.I.D. activities in response to Executive Order No. 12320 while at the same time completing well designed relevant research activities. The NAS was requested to evaluate the quality of the research that is being accomplished.

The panel of experts that was established by NAS found that the research was succeeding in getting HBCUs involved in A.I.D. programs and demonstrated research successes that indicated that modest resources can help to identify and make use a significant reservoir of scientific expertise for international development. The program was seen as too new for a definitive evaluation of its accomplishments.

Ten recommendations were made to improve the program. The recommendations and RURs response to each are given below.

RECOMMENDATION 1: A.I.D. missions should routinely interact with HBCU PIs to assist in project initiation and development, and should report to A.I.D./Washington on the progress and acceptance of projects underway in the mission country.

RESPONSE: This and recommendations 3 and 4 require varying degrees of mission input. Missions are often understaffed and our experience suggests that missions should be given the opportunity to assist in project implementation as they have interest and time to participate. Missions also must clear all but are informed that logistical or other support is not expected.

We believe that missions should not be expected or required to assist in project development or initiation except as they wish to fund the PI for a follow-on project.

RECOMMENDATION 2: The gathering of statistics on the indicators cited above is vitally important to the long-term assessment of the value of this program. Such information would fully justify the effort involved and would provide a valuable reference point in the justification of the HBCU grants program when it next comes up for renewal.

Response: We agree with this suggestion. Through our own efforts and anticipated help of CDIE, we have begun to amass evidence of the progress and value of the program. We hope to produce a report on the on the accomplishments of the program early in FY 90.

RECOMMENDATION 4: A.I.D./Washington should emphasize to missions the importance of the HBCU Research Grants Program and solicit their participation through a specific, defined series of actions including the following:

- (a) development of a program to bring together mission directors, HBCU representatives, and principal investigators at annual or regional meetings of mission directors, meetings of NAFEO, and meetings of researchers from the 1890 land grant institutions;
- (b) issuance of a statement of cooperation from the host-country mission when an HBCU award is made;
- (c) designation of a mission-based project officer to act as coordinator for the HBCU investigator to facilitate research progress and to forge links with host country institutions engaged in similar research;
- (d) identification by A.I.D. missions of most feasible research areas for HBCU collaborative projects; and
- (e) clarification of criteria and procedures to assist HBCU-funded researchers to visit missions and colleagues in the developing country who are engaged in similar research.

Response:

- (a) We are attempting in a limited way to do this through our NAFEO Cooperative Agreement.
 - (b) This happens in each case when an award is made.
 - (c) To the extent that missions have people who can be so assigned, this is done.
 - (d) This is a good suggestion that RUR will pursue.
 - (e) This is not necessary. Criteria and procedures are well known by PIs.
- 4

Response: We do not now prevent prospective grantees from getting other sources of funding for related research areas. We try to assure that other grant funds do not support the same specific proposal we are considering for funding.

RECOMMENDATION 8: A.I.D. should review and clarify its proposal review procedures for the benefit of PIs and HBCUs, especially with respect to information required to evaluate projects by A.I.D. overseas missions. In addition, after a grant has been awarded, A.I.D. should define the kinds of in-country assistance that a mission is prepared to offer the PI to further the objectives of the research.

Response: We will continue to do this but improve our information delivery methods to PIs.

RECOMMENDATION 9:

- (a) In collaboration with HBCUs, A.I.D. should identify a few critical areas of research and the criteria for establishment of centers of excellence or "project clusters." A.I.D. should solicit proposals in these areas, establish a review procedure, and award a limited number of grants based upon this concept in fields of high priority for development.
- (b) A.I.D. should allocate up to 20 percent of the HBCU-designated funds for this purpose in areas of highest priority.

Response: We will consider this recommendation in light of possible identified areas that are critical to A.I.D. and supported in an excellent way by one or more HBCUs.

RECOMMENDATION 10: Through the Office of Research and University Relations, A.I.D. should periodically seek suggestions from HBCU researchers and university officers to strengthen the research grants program from the perspective of the universities and their collaborators overseas.

Response: RUR has done this but not in a continuing and structured way. We will seek improved ways to do this.

Attachment:

Report by NRC Panel on Review of A.I.D.
Research Grants Program for HBCUs

K. ATTACHMENTS (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier)

ATTACHMENTS

L. COMMENTS BY MISSION, AID/W OFFICE AND BORROWER/GRANTEE

MISSION COMMENTS ON FULL REPORT

RECOMMENDATION 5: A.I.D. could assist the HBCU scientists by:

- (a) Encouraging the use of the pre-proposal mechanism for the submission of research ideas.
- (b) Identifying in a timely and appropriate manner high priority research areas of A.I.D. overseas missions;
- (c) identifying potential U.S. and developing country collaborators, and possible alternate countries, for the particular research suggested in a pre-proposal; and
- (d) suggesting possible complementary sources of funding, where appropriate.

Response:

- (a) We do not wish to encourage the pre-proposal mechanism. Experience has shown us that it is not very effective and results in increased work.
- (b) See 4 (d) above
- (c) This is done routinely now.
- (d) We do this to the extent that we know other sources.

RECOMMENDATION 6: A.I.D. should extend the period of awards to two or three years in order to permit a more realistic program of research and more flexibility in the starting date of the award. The total amount of funding need not be changed.

Response: There is no time limit now. We will make this point more clearly in the next revision of our guidelines.

RECOMMENDATION 7: A.I.D. should not restrict concurrent sources of funding that complement the various HBCU project costs. Sources and amounts of complementary or matching funding should be delineated in the proposal. The grantee institution should certify that multiple funding of a particular project activity will not occur.