

A.I.D. EVALUATION SUMMARY - PART I

1. BEFORE FILING OUT THIS FORM, READ THE ATTACHED INSTRUCTIONS.  
2. USE LETTER QUALITY TYPE, NOT "DOT MATRIX" TYPE.

IDENTIFICATION DATA

<b>A. Reporting A.I.D. Unit:</b> Mission or AID/W Office <u>S&amp;T/RUR</u> (ES# <u>N/A</u> )		<b>B. Was Evaluation Scheduled in Current FY Annual Evaluation Plan?</b> Yes <input checked="" type="checkbox"/> Skipped <input type="checkbox"/> Ad Hoc <input type="checkbox"/> Evaluation Plan Submission Date: FY <u>90Q 3</u>	<b>C. Evaluation Timing</b> Interim <input checked="" type="checkbox"/> Final <input type="checkbox"/> Ex Post <input type="checkbox"/> Other <input type="checkbox"/>		
<b>D. Activity or Activities Evaluated</b> (List the following information for project(s) or program(s) evaluated; if not applicable, list title and date of the evaluation report.)					
Project No.	Project /Program Title	First PROAG or Equivalent (FY)	Most Recent PACD (Mo/Yr)	Planned LOP Cost (000)	Amount Obligated to Date (000)
936-5055	Amercian Association of State Colleges and University (AASCU)	87	12/31/91	592,500	531,600

ACTIONS

E. Action Decisions Approved By Mission or AID/W Office Director		Name of Officer Responsible for Action	Date Action to be Completed
Action(s) Required			
1. Abandon the pilot testing of linkage (an AASCU consortia) and redirect funding to the remaining objectives of the Cooperative Agreement.		Gary Bittner	Sept. 90
2. Identify faculty (5) for the fellows Program that could enhance their overseas placement opportunity with sabbatical time.		Gail Hochhauser	July 91
3. Continue capacity building workshops (at least one per year).		Gail Hochhauser	July 91
4. Update database of AASCU institutions on unique capabilities and disseminate to AID missions.		Gail Hochhauser & Gary Bittner	March 91
5. Broaden the scope of the project beyond agriculture to more fully utilize diverse resources of universities.		Gary Bittner	Jan. 91

(Attach extra sheet if necessary)

APPROVALS

<b>F. Date Of Mission Or AID/W Office Review Of Evaluation:</b>			
(Month)	(Day)	(Year)	
2	4	91	
<b>G. Approvals of Evaluation Summary And Action Decisions:</b>			
Name (Typed)	Project/Program Officer	Representative of Borrower/Grantee	Mission or AID/W Office Director
	Gary Bittner	N/A	Frank Alejandro
Signature	<i>Gary W. Bittner</i>		<i>Frank Alejandro</i>
Date	2/1/91		2/4/91

*u*

**ABSTRACT**

H. Evaluation Abstract (Do not exceed the space provided)

**PURPOSE:** The purpose of the interim evaluation, was to examine the progress made under the program and the effectiveness of methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort.

**METHODOLOGY:** The evaluator reviewed project files, interviewed AID and Amercian Association of State Colleges and Universities/American Association of State Colleges of Agriculture and Renewable Resources (AASCU/AASCARR) personnel and conducted conference calls to document the evaluation report.

**ACCOMPLISHMENTS:** Although the Linkage Program (LP) has made satisfactory progress in meeting the specific objectives in the cooperative agreement, little if any measurable progress has been made toward the overall goal of increased involvement of AASCU/AASCARR institutions in Title XII projects or other activities since the LP began in 1987. Specific accomplishments to date include:

Database--Data collected under the LP provides a most comprehensive catalogue of the capabilities of AASCU/AASCARR institutions to participate in international development. It has been widely disseminated in AID and the development community.

Fellows Program--Despite a vigorous campaign involving AID, BIFAD, AASCU, AASCARR and LP staff, the results have been disappointing. After identifying 45 candidates and 33 projects positions only one fellow has been placed in the field.

Workshops--The three workshops were seen as an important means of assisting AASCU/AASCARR Institutions strengthen their capacity for international development and to identify the most productive channels of communications between BIFAD, AID, and the institutions.

Pilot Testing Linkages--This objectives should be abandoned and project resources used for more promising activities. Instead of forming an "AASCU Consortia", as some may have visualized, resource earmarked for the "Pilot Testing Linkages" should be used for specifically identified and carefully thought out "targets of opportunities".

**COSTS**

**I. Evaluation Costs**

1. Evaluation Team		Contract Number OR TDY Person Days	Contract Cost OR TDY Cost (U.S. \$)	Source of Funds
Name	Affiliation			
John G. Stoval	Consultant	24	\$8,500	FN
2. Mission/Office Professional Staff Person-Days (Estimate) _____ -0-		3. Borrower/Grantee Professional Staff Person-Days (Estimate) _____ 3		

b-

## A.I.D. EVALUATION SUMMARY - PART II

### SUMMARY

J. Summary of Evaluation Findings, Conclusions and Recommendations (Try not to exceed the three (3) pages provided)

Address the following items:

- |  |  |
|--|--|
| <ul style="list-style-type: none"> <li>● Purpose of evaluation and methodology used</li> <li>● Purpose of activity(ies) evaluated</li> <li>● Findings and conclusions (relate to questions)</li> </ul> | <ul style="list-style-type: none"> <li>● Principal recommendations</li> <li>● Lessons learned</li> </ul> |
|--|--|

Mission or Office:

S&T/RUR

Date This Summary Prepared:

January 11, 1991

Title And Date Of Full Evaluation Report: May 1991

Interim evaluation: a program of linkages with small institutions; AID and AASCU.

#### Background and Purpose:

Under terms of the Cooperative Agreement between the U.S. Agency for International Development (AID) and the American Association of State Colleges and Universities (AASCU) which supports a Program of Linkages with Smaller Institutions, an interim evaluation was required during the project's third year. The purpose of the evaluation, was to examine the progress made under the program and the effectiveness of methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort. The methodology used was the review of documents, interviews, and conference calls.

The signing of a cooperative agreement August 31, 1987 between AID and AASCU, was a milestone in a long struggle by AASCU/AASCARR institutions to gain better access to Title XII programs. These institutions, accounting for about 25 percent of all agricultural graduates in the U.S., believed they had been left out of the Title XII process, which they saw as being dominated by the larger and more experience land grant universities.

#### Objectives of the Program:

The overall objective of the Linkage Program was to increase the participation of smaller institutions in international development and the more specific objectives were to: (1) catalogue available institutional resources; (2) Develop a Fellows Program; (3) Conduct capacity building workshops; (4) Develop and pilot test linkages; and (5) Evaluate the Linkage Program.

#### AID and Development Assistance in Transition:

The objectives of the Linkage Program are becoming even more difficult to attain because of profound changes occurring on the development assistance scene, in the programs of AID and in the way in which AID designs, implements and manages projects.

In the face of these condition, only AASCU/AASCARR institutions with the strongest programs and the highest commitment to the international dimensions of agriculture can successfully compete for shrinking federal funds for international development. Those who have neither large programs nor strong commitments to international agriculture have little prospect of gaining access to AID projects.

Findings:

Although the LP was making satisfactory progress in meeting the specific objectives in the cooperative agreement, little if any measurable progress has been made toward the overall goal of increase involvement of AASCU/AASCARR institutions in Title XII projects or other activities since the LP began in 1987.

1. Database--(institutional resources) data collected under the Linkages Program provided a most comprehensive catalogue of the capabilities of AASCU/AASCARR institutions to participate in international development. But its main weakness was the lack of data to identify and assess institutions with unique capabilities for AID projects.

Recommendation:

A special effort should be made to identify or uncover unique capabilities that might be useful in AID projects but not in plentiful supply.

2. Fellows Program-- to enable interested AASCU faculty to get institutional development experience in an ongoing AID project and provide needed technical expertise in the field. Despite a vigorous campaign involving AID, BIFAD, AASCU, AASCARR, and LP staff, the results were disappointing. After identifying 45 candidates and 33 project positions, only one fellow was placed in the field because of a multitude of problems.

Recommendation:

Select five candidates with specific sabbatical or other arrangements under which their institution will allow them to go on an AID assignment for a specified period of time and aggressively seek placement on overseas projects.

3. Workshops--Workshops were seen as an important means of assisting AASCU/AASCARR Institutions strengthen their capacity for international development and to identify the most productive channels of communication between BIFAD, AID, and the institutions.

Recommendation: Continue the workshops.

4. Pilot Testing Linkages--This objective should be abandoned and project resources used for more promising activities. Instead of forming and "AASCU Consortia", as some may have visualized, resources earmarked for the "Pilot Testing Linkages" should be used for specifically identified and carefully thought out "targets of opportunities".

Concluding Comments and Directions for the future

If the LP was judged solely on its contribution to increased participation by AASCU/AASCARR institutions in AID-funded activities either now or the foreseeable future, it would not have received passing grades--not because it has failed to carry out activities specified in the Cooperative Agreement. It has done well under the circumstances. And, not because the institutions have failed to do their part to strengthen their capability in international development. Most have a better understanding of the requirements to participate in international development and some are better prepared to do so today than when the project began. For reasons outside of the LP or AASCU/AASCARR institutions, it is becoming much more difficult for smaller and less experienced universities to "get a piece of the action."

There is a larger context in which to judge the contribution of the LP--a context that goes beyond the AID of today and focuses on an AASCU university of the future, in changing and students, its state and its nation to live in that global economy. In that context, the larger challenge for the university is to develop a strategy to serve its clientele of the future. That strategy will likely involve internationalized curricula, expanded public service beyond political boundaries and, faculty that understand the world in which they are preparing students to live.

Some avenues that could be pursued by AASCU, in cooperation with AID and BIFAD, that might assist in the internationalization process are:

- o Broaden the scope of the LP beyond agriculture and natural resources in order to more fully utilize the diverse resources of universities.
- o Utilize the Presidential Missions to further the goals of the LP and accelerate the internationalization process.

### ATTACHMENTS

K. Attachments (List attachments submitted with this Evaluation Summary; always attach copy of full evaluation report, even if one was submitted earlier, attach studies, surveys, etc., from "on-going" evaluation, if relevant to the evaluation report.)

Evaluation Report.

### COMMENTS

L. Comments By Mission, AID/W Office and Borrower/Grantee On Full Report

This evaluation clearly identified some extenuating circumstances which affected the implementation of this project. The report stated:

"The objectives of the Linkages Program are becoming even more difficult to attain because of profound changes occurring on the development assistance scene, in the programs of AID and in the way in which AID designs, implements and manages projects. Failure to understand, correctly anticipate and adjust to these changes can render the fruits of the Linkages Program trivial--preparing AASCU institutions to meet the needs of past era and gearing up to do business with an agency that no longer exists".

The agency is a transition stage that will reflect the values of a new generation. These values center around development cooperation and partnerships of mutual interest and benefits.

One avenue in which the office of S&T/RUR disagrees with the evaluation is to utilize Presidential Missions to further the goals of the LP and accelerate the internationalization process. S&T/RUR's experience is that faculty driven activities and interests are more important to the sustainability of international endeavours. This was confirmed by a national survey conducted by Washington State University in 1989-90.

**X.D-ABC-513-A**

70496

**INTERIM EVALUATION**

**A PROGRAM OF LINKAGES  
WITH SMALLER INSTITUTIONS**

**A PROJECT SUPPORTED BY A COOPERATIVE AGREEMENT  
(DAN-5055-A-00-7092-00)**

**Between**

**The American Association of State Universities**

**and**

**The Agency for International Development**

**Prepared by**

**John G. Stovall  
Consultant  
Washington D.C.**

**May, 1990**

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## GLOSSARY

AASCU	American Association of State Colleges and Universities
AASCARR	American Association of State Colleges of Agriculture and Renewal Resources
AID	Agency for International Development
BIFAD	Board for International Food and Agricultural Development
LDC	Less Developed Country
LP	Linkage Program
MOU	Memorandum of Understanding
OICD	Office of International Cooperation and Development
PSG	Program Support Grant
RUR	Research and University Relations
S&T	Science and Technology (Bureau)
U.S.	United States
USDA	United States Department of Agriculture

## EXECUTIVE SUMMARY

### Interim Evaluation

#### A PROGRAM OF LINKAGES WITH SMALLER INSTITUTIONS

##### Background

Under terms of the Cooperative Agreement between the U.S. Agency for International Development (AID) and the American Association of State Colleges and Universities (AASCU) which supports a Program of Linkages with Smaller Institutions, an interim evaluation of the project is required during the project's third year. The purpose of the evaluation, is to examine the progress made under the program and the effectiveness of methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort.

The signing of a cooperative agreement August 31, 1987 between AID and AASCU, was a milestone in a long struggle by AASCU/AASCARR<sup>1</sup> institutions to gain better access to Title XII programs. These institutions, accounting for about 25 percent of all agricultural graduates in the U.S., believed they had been left out of the Title XII process, which they saw as being dominated by the larger and more experienced land grant universities.

The overall objective of the Linkage Program was to increase the participation of smaller institutions in international development and the more specific objectives were to:

1. Catalogue available institutional resources
2. Develop a Fellows Program
3. Conduct capacity building workshops
4. Develop and pilot test linkages
- 5 Evaluate the Linkage Program

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<sup>1</sup> AASCU/AASCARR is used to refer to institutions with membership in the American Association of State Colleges and Universities (AASCU) and the American Association of State Colleges of Agriculture and Renewal Resources (AASCARR). All but two AASCARR institutions are members of AASCU. AASCARR is not formally a part of AASCU but there are moves afoot to formally associate them.

## **AID and Development Assistance in Transition**

The objectives of the Linkage Program are becoming even more difficult to attain because of profound changes occurring on the development assistance scene, in the programs of AID and in the way in which AID designs, implements and manages projects. Failure to understand, correctly anticipate and adjust to these changes can render the fruits of the Linkage Program trivial--preparing AASCU institutions to meet the needs of a past era and gearing up to do business with an agency that no longer exists.

In the face of these conditions, only AASCU/AASCARR institutions with the strongest programs and the highest commitment to the international dimensions of agriculture can successfully compete for shrinking federal funds for international development. Those who have neither large programs nor strong commitments to international agriculture have little prospect of gaining access to AID projects.

## **Review of Progress, Conclusions and Recommendations**

Although the LP is making satisfactory progress in meeting the specific objectives in the cooperative agreement, little if any measurable progress has been made toward the overall goal of increased involvement of AASCU/AASCARR institutions in Title XII projects or other activities since the LP began in 1987. In fact, the level of involvement has not changed significantly since the Crumb Report in 1984 (Crumb, 1984).

**Database--**Data collected under the LP provides a most comprehensive catalogue of the capabilities of AASCU/AASCARR institutions to participate in international development. It has been widely disseminated in AID and the development community. But its main weakness is the lack of data to identify and assess institutions with unique capabilities for AID projects.

Some conclusions, observations and suggestions concerning data collection activities are:

- o There is no evidence that either AID or BIFAD has made any significant use of the data to match AASCU capabilities to AID needs.
- o Scarce project funds should not be spent on collecting a general purpose database during the remainder of the project. Only targeted data collection efforts such as that needed for the Fellows Program or for use in programming participant trainees should be undertaken.
- o A special effort should be made to identify or uncover unique capabilities that might be useful in AID projects but not in plentiful supply. These capabilities should

be identified by interview (either in person or by phone) and listed in reports or directories. Unique capabilities may consist of a program (eg. aquaculture) or a person with special skills, experience or training (eg., a tropical crop speciality).

**Fellows Program**--By far the most controversial, contentious and visible component the LP is the Fellows Program. The concept is quite simple, appealing and straightforward. It was designed to enable interested AASCU faculty to get international development experience in an ongoing AID project and provide needed technical expertise in the field.

Despite a vigorous campaign involving AID, BIFAD, AASCU, AASCARR and LP staff, the results have been disappointing. After identifying 45 candidates and 33 project positions, only one fellow has been placed in the field because of a multitude of problems.

Some conclusions and recommendations for the Fellows Programs are:

- o The Fellows Program is the most innovative and potentially beneficial components of the LP, and despite disappointing results, should not be abandoned.
- o The failure to take into account the difficulties AASCU/AASCARR institutions faced in freeing up a faculty member was a serious design/implementation flaw that should be corrected by developing a different strategy and process for identifying candidates and getting them placed overseas.
- o A new two-stage strategy should be adopted. First, select a few good candidates with specific sabbatical or other arrangements under which their institution will allow them to go on an AID assignment for a specified period of time. Then AASCU, with the help of BIFAD and AID should aggressively seek placement on overseas projects.
- o A goal of five placements for the remainder of the LP is reasonable and should be adopted as a target.

**Workshops**--Workshops were seen as an important means of assisting AASCU/AASCARR Institutions strengthen their capacity for international development and to identify the most productive channels of communication between BIFAD, AID and the institutions. Three have been held with mixed success.

Some observations about the three workshops and suggestions for the remainder of the LP are:

- o Workshops have served an important educational and information exchange function and are achieving objectives as stated in the Cooperative Agreement. As yet, however, they have had no measurable impact on increasing involvement of AASCU/AASCARR institutions.
- o Workshops are a low cost LP activity, and when held in conjunction with other activities of AASCARR or AASCU involve modest additional cost of participants. AASCU/AASCARR should be encouraged to continue sponsoring at least one each year with or without AID funding.
- o A problem in designing workshops on international development is the variation in interest and level of understanding among institutions. Successful workshops are likely to be those targeted to the interested and capable institutions, using the more experienced as teachers. It is unlikely that all of the AASCARR deans will be sufficiently interested, suggesting that the workshops should be separated from the annual meeting program.
- o A future workshops might focus on opportunities for participating in the new contract for placing participant trainees in agriculture (formerly held by USDA/OICD).

**Pilot Testing Linkages**--In light of the realities of today, this objective should be abandoned and project resources used for more promising activities. Instead of forming an "AASCU Consortia", as some may have visualized, resources earmarked for the "Pilot Testing Linkages" should be used for specifically identified and carefully thought out "targets of opportunities" such as the participant training contract to replace the AID agreement with USDA/OICD.

#### **Concluding Comments and Directions for the Future**

If the LP is judged solely on its contribution to increased participation by AASCU/AASCARR institutions in AID-funded activities either now or the foreseeable future, it would not receive passing grades--not because it has failed to carry out activities specified in the Cooperative Agreement. It has done so remarkably well under the circumstances. And, not because the institutions have failed to do their part to strengthen their capability in international development. Most have a better understanding of the requirements to participate in international development and some are better prepared to do so today than when the project began. The LP has performed an important and much needed service which should be continued beyond the life of the project; and any shortcomings of the project should not detract from the excellent service performed by the project Director.

But for reasons outside the control of the LP or AASCU/AASCARR institutions, it is becoming much more difficult for smaller and less experienced universities to "get a piece of the action". So, it is as if the LP were swimming up stream against a strong current: even though it seems to be making progress, the destination is farther away than ever.

There is a larger context in which to judge the contribution of the LP--a context that goes beyond the AID of today and focuses on an AASCU university of the future, in a changing and increasingly interdependent world, striving to serve its students, its state and its nation to live in that global economy. In that context, the larger challenge for the university is to develop a strategy to serve its clientele of the future. That strategy will likely involve internationalized curricula, expanded public service beyond political boundaries and, faculty that understand the world in which they are preparing students to live.

Some avenues that could be pursued by AASCU, in cooperation with AID and BIFAD, that might assist in the internationalization process are:

- o **Broaden the scope of the LP beyond agriculture and natural resources in order to more fully utilize the diverse resources of universities.** A beginning point would be to include the newly established Center for Economic and Community Development as an integral part of the LP and, to broaden the activities of the LP to encompass the disciplines and departments that can contribute to international economic and community development. For example, Fellows should be recruited with special experience or capability in economic development who want to apply knowledge to third world problems. Other examples could surely be found in business, management, economics and other disciplines or departments.
- o **Utilize the Presidential Missions to further the goals of the LP and accelerate the internationalization process.** The AASCU Presidential Missions, organized to establish contacts with selected countries, can serve as a vehicle for internationalizing universities and for strengthening these institutions for participating in international development. The LP could assist in the planning of Presidential Missions and assure that relevant development activities in the host country are included on the itinerary.

## INTERIM EVALUATION

### Program of Linkages with Smaller Institutions

by

John G. Stovall

#### Introduction

Under terms of the Cooperative Agreement between the U. S. Agency for International Development (AID) and the American Association of State Colleges and Universities, (AASCU) which supports a Program of Linkages with Smaller Institutions, an interim evaluation of the project is required during the project's third year<sup>1</sup>. The purpose of the evaluation, as envisioned in the proposal from AASCU which led to the Cooperative Agreement, is to examine the progress made under the program (referred to as LP in this report) and the effectiveness of methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort.

According to the proposal, the evaluation is to be an "independent" assessment by a knowledgeable third party, presumably meaning someone without a personal or financial interest in the project who would be free to reach any supportable conclusions or recommendations without undue influence by either AID or AASCU.

The evaluation began in January 1990 by a "one person evaluation team" as agreed to by AID and AASCU and was concluded in early March, 1990. This report presents the methodology, findings and recommendations of that evaluation process.

Although the evaluation reviewed all aspects and activities of the project, the evaluator was encouraged by AID and AASCU to give priority attention to what can be done during the remainder of the project to more effectively involve AASCU institutions in agricultural development activities.

The evaluation process consisted of:

- (1) developing a framework for the evaluation
- (2) collecting and assimilating relevant data
- (3) assessing the prospects for future demand for AASCU university services

- (4) formulating tentative conclusions and recommendations
- (5) testing conclusions and recommendations and
- (6) finalizing recommendations and writing the report

Data and information for the evaluation came from reports, project files, interviews with persons involved with or knowledgeable about the project, a private session with the AASCARR Board of Directors and from the personal experience and knowledge of the evaluator.

Since it is inevitable that the conclusions will be influenced by past experiences and events, it is important for the reader to know "where the evaluator comes from". While not involved in the development of the proposal nor participate in the negotiation process leading up to the Cooperative Agreement, the evaluator was a member of the BIFAD Staff during this time and followed the process as an observer and represented BIFAD at AASCU and AASCARR meetings and reported on progress--or the lack thereof. This first-hand knowledge can be both advantageous and a handicap. It obviously helps to understand the context in which the Linkage Project evolved but the experience brings with it indelible perceptions and biases that are impossible to completely set aside during the evaluation.

#### **Linkage Program Genesis**

The signing of a cooperative agreement August 31, 1987 between AID and AASCU, was a milestone in a long struggle by AASCU/AASCARR institutions to gain better access to Title XII programs. Nearly 100 of these institutions offering a BS degree in agriculture or related fields and turning out about 25 percent of all agricultural graduates believe they have been left out of the Title XII process, which they see as being dominated by the larger and more experienced land grant universities.

The Title XII legislation enacted in 1975, calling for broader participation of colleges and universities in AID's programs to alleviate hunger and famine, was viewed as an opportunity to strengthen the capacity of these smaller institutions and gain a greater share of AID contracts and grants. A representative of AASCU has always served on BIFAD and that member has often reminded his colleagues on the Board of the special needs and capabilities of the smaller colleges and universities.<sup>2</sup>

Despite these efforts, many were disappointed with the results. Although 17 AASCU institutions were listed on the roster as eligible for participation in Title XII, only four were awarded Strengthening Grants and only five participated in a

BIFAD project as either a prime or sub-contractor. (Crumb, 1984 and BIFAD Roster).

In an effort to better understand the barrier to AASCU institutions participation in Title XII and to identify their potential, BIFAD and AASCU commissioned a study by Dr. Glenn H. Crumb, Western Kentucky University in 1983. Crumb outlined his finding at a BIFAD meeting in June 1984 in which he confirmed the limited participation of AASCU institutions and recommended a number of remedial measures. Following Crumb's presentation, Dr. Warren Baker, President of California Polytechnic University at San Louis Obispo, introduced a resolution calling for BIFAD staff to work with AASCU to follow-up on the Crumb Report (BIFAD meeting minutes, June 7, 1984). These discussions eventually led to a proposal for a linkage program which was formally endorsed by BIFAD at its December 1985 meeting. Several versions later, the proposal that was eventually accepted by AID for funding in 1987, set forth the following goals:

1. Matching AASCU institutional capabilities with AID mission objectives.
2. Adapting the AASCARR Directory into a format which could serve as a single "statement of capabilities and interest" for the whole group of smaller institutions.
3. Assisting smaller institutions in becoming involved in joint enterprises or memorandums of understanding with larger institutions through increased communication between AID and the smaller institutions and through assisting the institutions in project development.
4. Strengthening the capabilities of smaller institutions through fellowships designed to build faculty experience in title XII project work.
5. Undertaking an independent evaluation of the effectiveness of the methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort.
6. Disseminating the results of the linkage program to the university community and reporting to the AID and the BIFAD on a regular basis regarding the progress of the linkage program.

The Cooperative Agreement finally signed authorized up to \$592,500 over a four year period and contained a "Scope of Work" spelling out the objectives of the LP which were somewhat different than those in the proposal. No information about the rationale for the changes from the time the proposal was accepted until the Cooperative Agreement negotiated has been found in this

evaluation but it seems likely that they emerged from the negotiations that took place before the CA was signed. In any event, the objectives of the LP were:

1. **Cataloging of Available Institutional Resources:** Building on the existing AASCARR Directory, a data base of current institutional capabilities, interests, and availabilities would be maintained at the AASCU office. This data base would be used to assist BIFAD in identifying prospective contractors, subcontractors, and collaborators for Title XII project work.
2. **Development of a Fellows Program:** The capacity of smaller institutions can be strengthened by building faculty experience in Title XII project work. A program of fellowships will be developed to place individual faculty in short-term assignments on existing overseas projects.
3. **Capacity Building Workshops:** The internal organization of most AASCU institutions is different than that of land grant universities. Workshops would be held in conjunction with meetings of AASCU institution administrators for international program, agriculture and related sciences, and grants research officers. The purpose of the workshops would be to assist the institutions in assessing their commitment and channels of communication between BIFAD/A.I.D. and the institutions.
4. **Development and Pilot Testing Linkages:** AASCU and BIFAD would assist several institutions in the process of developing linkages with larger institutions, for joint proposals or proposals for subcontracts within larger Title XII projects. Lessons learned in this process will be shared with all state colleges and universities.
5. **Evaluation of the Linkages Program:** A knowledgeable third party will be engaged to monitor progress with respect to the objectives and to assist A.I.D. and AASCU in identifying successful and unsuccessful methodologies used.

These objectives fall far short of the usual AID project standards which place strong emphasis (some would say "over-emphasis") on specific objectives with measurable output, using a "logical framework" to specify inputs, outputs and indicators of progress. The objectives list certain tasks that should be accomplished without specifying the quality or quantity of the output. The specific tasks required are contained in the following phrases:

1. "data base ....would be maintained"
2. "fellowships would be developed"
3. "workshops would be held"
4. "assist...in the process of developing linkages"
5. "identifying successful and unsuccessful methodologies"

#### **AID and Development Assistance in Transition**

The goals of the linkage program are becoming much more difficult to attain because of profound changes occurring in the development assistance world, in the programs of AID and in the way in which AID designs, implements and manages projects. Failure to understand, correctly anticipate and adjust to these changes can result in the Linkage Program preparing AASCU institutions to meet the needs of a past era and gearing up to do business with an agency that no longer exists.

Many of these changes that are transforming the environment for university participation in development assistance go unnoticed by all but the most observant and are not fully appreciated by many of the more experienced universities with development contracts. Some of these changes have to do with developing countries themselves, others involve the U. S. political and economic interests and still other changes stem from a more interdependent world. Some changes and their implications are already emerging:

- o Developing countries and their institutions are changing to the extent that many no longer want or need the kind of assistance envisioned when Title XII was launched 15 years ago, calling instead for collaboration rather than technical assistance.
- o U.S. domestic agricultural interests, recognizing the increasing interdependence with the third world, want to modify development assistance to better serve long term self interests.
- o The linkage between aid and trade is stronger and better recognized, focusing more attention on the inconsistencies--and complementarities between policies and programs in these two areas, suggesting they can no longer be treated separately.
- o There is increasing awareness that environment and natural resource degradation problems in developing countries require more attention and that development is

unsustainable unless it maintains or enhances the natural resource base.

- o The emergence of new democracies in Eastern Europe and the opportunity for new bilateral relations with them raise questions about the most appropriate kind of cooperation and assistance for these countries and about priorities among countries and regions for relatively fixed budget levels.

In his address at the 1990 Title XII seminars on the changing role of U.S. universities in international development, Dr. G. Edward Schuh said:

"The theme of my paper...is that the role of the U.S. universities in international agricultural development needs to change, and it needs to change in major ways. A sub-theme is that the international economy and society have changed in such important ways that a change in our roles is an imperative." (Schuh, 1990, p-4) -

Schuh goes on to call for an entirely different way of looking at foreign aid. Instead of basing it on our benevolence, foreign aid should be a part of our global strategy of economic cooperation:

"Shifting our general posture to one of economic cooperation does not mean either that we abandon our efforts to assist other countries, especially those with much lower levels of income than ours, nor that we abandon our efforts to make our economy the strongest on the international scene. To the contrary, there is a great deal of complementarity between seeking to cooperate with the peoples in other parts of the world and strengthening our own economy. The key is to develop a proper strategy, and it is in such a revitalized strategy that U.S. universities have such a significant role to play. Helping to strengthen the economies of other countries, especially those with low levels of income, is the key to our own future markets and to the sources of the raw materials we need for the continued development of our economy. Cooperating in strengthening the human capital in those countries can be an important means of helping those countries to grow at a more rapid rate, and at the same time of strengthening our own human capital base." (Schuh, 1990, p-12)

These and other changes are accelerating the decline in Title XII type projects implemented by universities which has been underway for some time. The trend is most evident in new projects (normally five years in length) awarded to universities during the decade of the 1980s. During the first three years of the decade---a period when early initiatives of Title XII were showing up at the project level--the value of new agricultural projects awarded universities averaged \$171 million per year. In contrast, during the last three years of the 1980s the annual value of new projects were only \$47 million and still falling. The number of new projects declined between these two time periods by over 60 percent and their life of project value dropped by over 70 percent (Stovall, 1989).

The General Accounting Office of the U. S. Congress, in a recent study assessing reasons for the decline, reported that 75 percent of the Title XII projects active in 1988 were scheduled to terminate by the end of 1990 (GAO, 1989). It is obvious that unless these trends are reversed, universities will have a rather minor share of the development assistance dollar and the shrinking pool of projects will mean more intense competition for what is left. In this climate AASCU institutions will face formidable odds of winning contracts and grants.

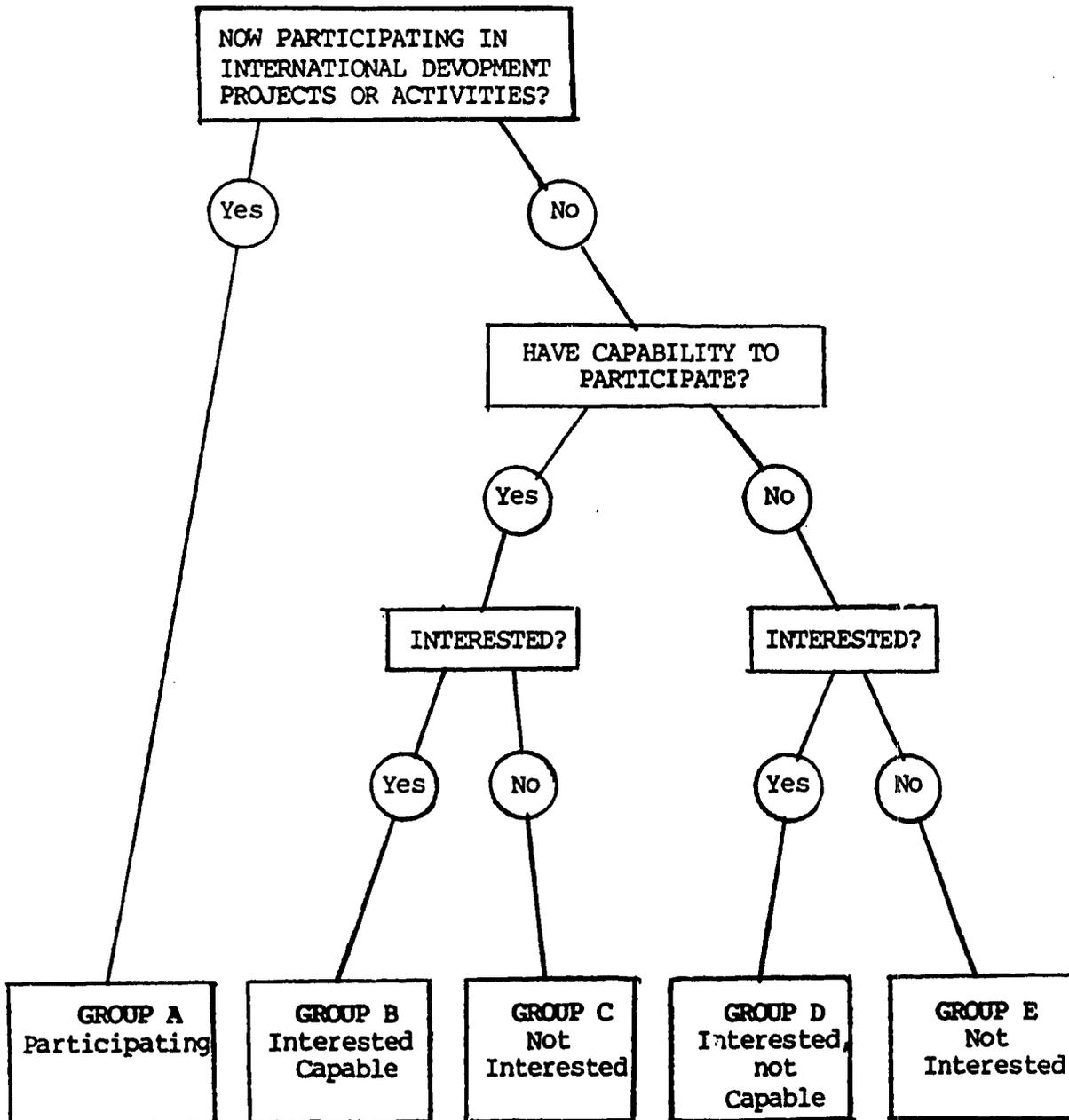
#### **Prospects for AASCU/AASCARR Institutions Participation in International Development**

In the face of these conditions, only AASCU/AASCARR institutions with internationalized and strong programs can hope to receive federal support for international development. Those who have neither large programs nor strong commitments to international agriculture will have little prospect of successfully competing for projects and should carefully consider the costs and difficulties of achieving a competitive status before attempting to do so.

Because AASCU/AASCARR institutions are quite diverse with respect to the degree of experience, capability and interest in international development, the LP faces a difficult, if not impossible task in designing activities to fit the needs of all institutions. Figure 1 depicts a schematic for categorizing AASCU/AASCARR institutions and thinking about the needs each group and the appropriate role of the LP in making best use of its limited resources. No attempt is made to identify the institutions that fit in each of the five groups nor is data available to make a complete classification (only the institutions themselves can determine their degree of interest). This paradigm is offered as a way of thinking about the different types of institutions and as an aid in focusing the efforts of the LP on the highest payoff institutions.

FIGURE 1

A Paradigm for Categorizing AASCU Insitutions  
According to Experience, Capability and Interest



Group "A" (institutions which are now participating in international agricultural development projects and thus are experienced and presumably also have capability and interest) are easiest to identify and probably constitute the smallest group. Using AID projects and sub-projects as an indicator, six institutions fall into this category. As a group they have participated in international agricultural development for several years and have reasonably well established programs, not unlike many land grant universities. Nearly all project activity is in the form of sub-contracts or sub-grants from the "prime" contractor. But also like other universities with a history of working with AID, they have reason for concern about their ability to continue to receive grants and contracts in the future. The LP can be of some assistance in better preparing group "A" institutions for future project opportunities by serving as a channel for information and helping to market unique capabilities. But more importantly, they should also be considered as a resource or models from which less experienced universities can learn.

Group "B", institutions not participating but with capabilities and interest, have the potential to participate in international development in the future but face extremely difficult obstacles in getting started in this competitive environment. In order to be successful, they need a strong commitment to participate and a carefully planned marketing strategy to sell their capabilities to AID, but more likely to other participating universities or organizations. Those in this group most likely to succeed are those that identify a unique area in which they might have a comparative advantage over participating institutions and to find an organization which has AID projects but need help in that unique area. The LP could obviously play an important role in helping identify the areas and make the match. More specifically, the LP should assist them in identifying unique capabilities that are in demand by AID and larger contractors. These "unique capabilities" might be a "hands on" teaching program or one or two faculty members with unique expertise and experience.

Group "C" and "E". are those institutions not interested in participating in international development, even though some (Group "C") have capabilities. Whether the lack of interest is the result of a careful assessment of the costs and benefits of participation or simply follows from the fact that other essential activities demand all available resources, the choice has been made and should be respected. There is no reason for the LP to try to persuade these institutions to change course.

Group "D", those institutions with limited capability in international development but interested in participating, cannot hope to do so in today's environment or in the foreseeable future.

If they are seriously interested in participating they must first build the capacity by investing a considerable amount of resources to capacity building activities and develop a long term plan for internationalizing the institution and its programs. The LP cannot be of much help to these institutions except to assist them in assessing costs and benefits along the long road to success.

#### **Review of Progress and Recommendations for the Future**

**Overview--**Activities of the LP have been focused on four of the five objectives (objective #4 was not scheduled to begin until the second half of the LP) but data is not available to determine how the effort or expenditures was distributed among them. A little less than 3 percent of the LP funds were set aside for objective #5 (evaluation), so the remaining 97 percent is distributed among three objectives. According to the program director, approximately 50 percent of the program effort has gone into the Fellows Program.

Although the LP is making satisfactory progress in meeting the specific objectives in the cooperative agreement, little if any measurable progress has been made toward the overall goal of increased involvement of AASCU/AASCARR institutions in Title XII projects or other activities since the LP began in 1987. In fact, the level of involvement has not changed significantly since the Crumb Report in 1984: Only about 10 percent of AASCU institutions with agricultural programs participate in the development assistance business. Crumb reported five institutions with Title XII projects, about the same as in 1990 (Crumb, 1984).

But this is hardly a surprising outcome and not inconsistent with the trend for all Title XII institutions, given the forces of change impacting on development assistance in general. In fact, "holding your own" might be considered a favorable outcome in view of the trends.

There are benefits other than increased involvement, even though they may not have been specific objectives of the LP. The AASCU office is better able to serve the needs of AASCU institutions as a result of data collected, interest generated and contacts made than otherwise would have been the case. Presidents, deans of agriculture and faculty are more aware of what international development has to offer the university and what the institution needs to invest in order to take advantage of those opportunities. These are benefits that are impossible to measure but our inability to measure does not diminish their value.

**Database--**The objectives of the LP state that "...a data base of current institutional capabilities, interests and

availabilities would be maintained...", and it was to be built on the AASCARR Directory. A considerable amount of effort has gone into the development of such a database.

One of the most difficult tasks was to identify the most relevant data to collect and the institutions from which to collect it. The strategy used was to develop a linkages network of interested institutions. The LP Advisory Council assisted in establishing the network in which 45 institutions agreed at the presidential level to join and participate. The presidents appointed campus contacts who served as a focal point and a source of information. A questionnaire provided data on capabilities, interests and resources relating to international development.

The data has been summarized into what is probably the most complete compilation of international capabilities in agriculture and natural resources for these institutions since Title XII was enacted. Summarized in a report, "International Resources and International Development", it has been widely distributed and soon will be published in the AASCARR Directory. While adequate as a general resource description, its usefulness is limited because of the sparsity of data to identify unique capabilities for AID projects.

The process by which institutions were selected for the "linkages network" was designed to identify those institutions who had capabilities and a genuine interest, whose president so indicated on behalf of the institution. In fact, it now appears that the linkages network attracted a mixture of institutions with limited capabilities and only an expression of interest. Perhaps the less capable and uninterested will drop out as they learn more about the costs and benefits of participation (in effect, a self-selection process).

The AASCARR Directory, like many other such directories is a good general purpose source of information but it is not likely to have contributed directly to the objectives of the Linkage Program. It is now in the process of being updated and will contain for the first time, information of international capabilities.

The Director of the LP has used the information collected extensively to market the strengths of the institutions with several other organizations with some positive responses but as indicated earlier, there has been little to show for these efforts in the form of participation in AID projects.

Some conclusions, observations and suggestions concerning data collection activities are:

- o The data base assembled appears to be meeting the LP objectives.
- o Data compiled so far has served useful purposes, but as yet had no measurable impact on increased grants or contracts for AASCU universities. This is hardly surprising considering the difficulties outlined earlier.
- o There is no evidence that either AID or BIFAD has made any significant use of the data to match AASCU capabilities to AID needs.
- o Scarce project funds should not be spent on collecting a general purpose data base during the remainder of the project. Only targeted data collection efforts such as that needed for the Fellows Program or for use in programming participant trainees should be undertaken.
- o A special effort should be made to identify or uncover unique capabilities that might be useful in AID projects but not in plentiful supply. These capabilities should be identified by interview (either in person or by phone) and listed in reports or directories. Unique capabilities may consist of a program (eg. aquaculture) or a person with special skills, experience or training (eg., a tropical crop speciality).

**Fellows Program**--By far the most controversial, contentious, visible and disappointing component the LP is the Fellows Program. The concept is quite simple, appealing and straight forward. It was designed to enable interested AASCU faculty to receive some international development experience in an ongoing AID project and provide needed technical expertise in the field. The final proposal from AASCU made only brief reference to what was to become, in the view of some, the centerpiece of the LP. Apparently AID encouraged AASCU to give more emphasis to the fellowship program. In a letter to AASCU commenting on one version of the proposal the Deputy Administrator for Science and Technology wrote:

"I am delighted to see the fellowship program is still an important part of the proposal. I believe it can be a very exciting activity of significant mutual benefit....As we discussed, we assume these fellows would be unaccompanied. They would be from career university staff, and would remain at full salary. The AID/AASCU agreement would provide travel and per diem."

The Scope of Work in the agreement described the program:

"In order to develop overseas and in-country experience among these capable institutions, AASCU would recommend

that each year the Agency identify overseas projects on which interns from the smaller universities could be placed for periods of up to a semester. Other mechanisms for developing relevant experience can be explored as well".

The Fellows Program, as one of the five objectives of the LP, provided a planning budget for five fellows per year. The agreement with AID was that the LP would pay the travel and related expenses, the home institution was to provide the salary and the receiving project or AID mission was to pay for in-country expenses.

The issue of salary support was to be the most troublesome and contentious aspects of the Fellowship Program. Members of AASCARR interviewed indicated they were surprised to learn after the fact that there was no provision for salary support in the Cooperative Agreement. They viewed this as a serious design flaw and said if asked, they would have told the negotiators that this flaw would doom this activity to failure. But apparently the deans were not consulted by AASCU staff<sup>4</sup>.

The LP management and Advisory Committee adopted a strategy for implementing the Fellows Program that emphasized (1) identifying interested candidates, (2) identifying potential positions from AID and project contractors and (3) seeking to match up and market candidates for the positions. Strategy (1) and (2) were carried out simultaneously. Information about the program was distributed in newsletters, special announcements and cables. AID missions and contractors were solicited for positions and AASCU/AASCARR institutions were canvassed through the Linkage Network for candidates. Despite a vigorous campaign involving AID, BIFAD, AASCU, AASCARR and LP staff, the results have been disappointing as the following selected data show<sup>5</sup>:

Candidates identified	45
Positions identified	33
"Matches" submitted to AID	15
Fellows placed	1
Fellows scheduled for placement	2

The low success rate in identifying and placing fellows was due to a variety of problems. Some had difficulty in obtaining release from the home institutions, some made other plans during long delays in the AID approval process, others were disapproved by AID or the project and still others were the victims of position cancellations at the last minute.

The AASCARR deans interviewed deeply resent the inference that their institutions were given a chance to show they could provide capable faculty and were not able to do so. They argue strongly that the low success rate was the result of a poorly thought out arrangement that did not take into account the inflexibility at the college or department level.

The AID position was and still is that there was not sufficient funds in the LP for salary support and that the principle of institutional commitment as demonstrated in sharing some of the cost was fundamental to attaining the LP objectives. A formal request to allow use of LP funds for salary support was denied. The AASCU also sought funding from other sources without success.

In retrospect there were at least two serious flaws in the design and implementation of the program that practically assured disappointing results:

- o **Failure to plan for faculty release time**--Most AASCU/AASCARR faculty have heavy teaching loads and the institutions have little flexibility in freeing up anyone for an overseas position unless the timing happens to coincide with a vacation or sabbatical. Deans interviewed said they could have predicted these difficulties but were not a party to the agreement.
- o **Fellows placement Strategy**--AASCU advertised the fellows program to AID missions and contractors, soliciting positions without knowing how many candidates with what skills could be identified and released. Unrealistic expectations were raised that these position requirements (including specific timing) could be filled by AASCU/AASCARR institutions. Matching proved much more difficult than anticipated and the results were disappointments by all parties concerned. More matches could have been made at far lower transaction costs if the LP had concentrated on identifying a small number of interested faculty with the type of skills in demand by AID who would be able to leave for a specific period of time. The LP staff, with the help of BIFAD could then concentrate on marketing this small number to AID projects.

It should also be pointed out in defense of the LP staff and the linkage network that there were several "near misses", and with some luck the results would have not been nearly so meager. Also, it appears that all parties "went the extra mile" to make this program succeed, despite the many problems. For example, through LP efforts, two AID project proposals contained a

commitment to draw on expertise through the Faculty Roster maintained by AASCU.

Some conclusions and recommendations on the Fellows Programs are:

- o The fellows program is the most innovative and potentially beneficial components of the LP, and despite disappointing results thus far, should not be abandoned.
- o The failure to take into account the difficulties AASCU/AASCARR institutions have in freeing up a faculty member was a serious design/implementation flaw that should be corrected by developing a different strategy and process for identifying candidates and getting them placed overseas.
- o A new two step strategy should be adopted. First, identify good candidates with specific sabbatical or other arrangements under which their institution will allow them to go on an AID assignment for a specified period of time. Second, once such availabilities are known, aggressively seek placement on overseas projects, drawing on the help of BIFAD.
- o A goal of five placements for the remainder of the LP is reasonable and should be adopted as a target.

**Workshops**--Workshops were seen as an important means of assisting AASCU/AASCARR institutions strengthen their capacity for international development and to identify the most productive channels of communication between BIFAD, AID and the institutions. Three have been held with mixed success.

The first, held at River Falls, Wisconsin, in conjunction with the 1988 AASCARR annual meeting, focused on the basics of contract work abroad and the relationship of AID and BIFAD to linkage network institutions. Because there was no competing program, the workshop had a more or less captive audience of 45 AASCARR deans. Although they reported it served a useful purpose, participants interviewed suggested the presentations were somewhat overwhelming and much "went over their heads".

The second workshop, held in a different setting where most participants had to make a special effort to attend, provided an overview of institutional and faculty resources needed to support sponsored foreign student activities on campus. Consultants explained how to involve faculty in setting up programs for these students. Interest was reported high among the 10 Linkage Network contacts attending but the turnout was disappointing.

The third workshop, held following the AASCARR annual meeting at San Luis Obispo in September, 1989, was organized around a theme suggested by the AASCARR Board--"Developing a Campus Constituency for International Development Activities: Economics and the AASCARR Institution". Perhaps because it utilized speakers from the more experienced AASCARR institutions, it was given higher marks by the 27 attendees.

Some observations about the three workshops and suggestions for the remainder of the LP are:

- o Workshops have served an important educational and information exchange function but have had no measurable impact on increasing involvement of AASCU/AASCARR Institutions. But they have undoubtedly contributed to the overall aim of the LP.
- o Workshops are a low cost LP activity, and when held in conjunction with other activities of AASCARR or AASCU involve modest additional cost of participants. AASCU/AASCARR should be encouraged to continue sponsoring at least one each year with or without AID funding.
- o A problem with the design of workshops on international development is the variation in interest and level of understanding among institutions. Successful workshops are likely to be those targeted to the interested and capable institutions, using the more experienced as teachers. It is unlikely that all of the AASCARR deans will be sufficiently interested, suggesting that the workshops should be separated from the annual meeting program.
- o A future workshop might focus on opportunities for participating in the new contract for placing participant trainees in agriculture (contract formally held by USDA/OICD).

**Pilot Testing Linkages**--This activity, according to the plan, was not scheduled to begin until the second and third year of the LP and is yet to be initiated. The Scope of Work for the LP listed three steps for developing and pilot testing linkages:

1. Identify projects suitable for linkages
2. Identify and define mechanism suitable for linkages
3. Identify institutions suitable for linkages

The objectives of this activity are not at all clear and exactly what was to be done is not spelled out anywhere in the project files. In fact, since the principal parties who

developed this objective are no longer associated with AID or AASCU, it was not possible to know exactly what was envisioned by the designers.

It appears, however, that the basic idea was that by the second or third year, AASCU institutions would be in a position to participate in AID projects and the "Pilot Testing Linkages" was to help them find contracts of sub-contracts, by forming a consortia, linking interested institutions to a prime contractor or in some way mobilizing resources. At any rate, it is now clear that such expectations grossly underestimated the difficulty of becoming competitive for contracts and was overly optimistic about achieving competitive status in such a short period of time.

In light of the realities of today, this objective should be abandoned and project resources used for more promising activities. Instead of forming an "AASCU Consortia", as some may have visualized, resources earmarked for the "Pilot Testing Linkages" should be used for specifically identified and carefully thought out "targets of opportunities".

For example, the LP could intensify efforts to participate in the proposed university contract for participant training being prepared by a group of universities. The aim would be to place AID supported students at AASCU institutions in areas where they have a comparative advantage. The payoff from these efforts are likely to be modest, partly because the number of students (particularly undergraduate students) is not large and AASCU/AASCARR institutions can only make a case in selected areas and selected institutions.

**Evaluation--**The AASCU proposal included the provision for an "independent evaluation of the effectiveness of the methods used to elicit participation as well as the contribution made by smaller institutions to the overall international development effort." This evaluation report constitutes the progress made on this objective.

#### **Concluding Comments and Directions for the Future**

If the LP is judged solely on its contribution to increased participation by AASCU/AASCARR institutions in AID-funded activities either now or the foreseeable future, it would not receive passing grades. Not because it has failed to carry out activities specified in the Cooperative Agreement--it has done so remarkably well under the circumstances. And, not because the institutions have failed to do their part to strengthen their capability in international development. Most have a better understanding of the requirements to participate in international development and some are better prepared to do so today than when

the project began. No data is available to quantify any actual increase in capability or in the number of qualified faculty.

The Director of the LP is performing an important and much needed function that should be continued after the life of the project. Shortcomings of the LP should not detract from the excellent work of that person.

But for reasons outside the control of the LP or AASCU/AASCARR institutions, it is becoming increasingly difficult for smaller and less experienced to "get a piece of the action". So, it is as if the LP were swimming up stream against a strong current and even though it seems to be making progress, the destination is farther away than ever.

Differing expectations at the time the LP began by AID, BIFAD and AASCU about the barriers to and potential for participation in international development projects, has probably led to unnecessary disappointments and frustrations. Many AASCU/AASCARR institutions apparently believed the LP provided the long awaited opportunity these institutions had been looking for to get involved in AID activities. On the other hand, some interviewees suggest that AID and BIFAD did not take the LP as serious as they might have, viewing it instead as a "consolation prize" to smaller institutions that were left out of mainstream programs to strengthen U.S. universities and increase their involvement in overseas projects. To the extent these perceptions are valid, AID and BIFAD have not served the AASCU community well as they might have.

For their part, AASCU and AASCARR have made a good faith effort to keep their end of the agreement. For the remainder of the project, AID and AASCU should refocus LP resources on those institutions that will make a serious commitment to internationalization and on those activities that can contribute most to the goal of achieving that status. The payoff to AID, if any, will not be immediate. But in the long term, these universities who capitalize on their unique capabilities and comparative advantages will be well positioned to be an important resource in development assistance and cooperation programs of the future.

In addition to the recommendations about specific LP objectives, some avenues that could be pursued by AASCU, in cooperation with AID and BIFAD, that might assist in the internationalization process are:

- o **Broaden the scope of the LP beyond agriculture and natural resources in order to more fully utilize the diverse resources of universities.** A beginning point would be to include the newly established Center for Economic and Community Development as an integral part of

the LP and to broaden the activities of the LP to encompass the disciplines and departments that can contribute to international economic and community development. For example, fellows should be recruited with special experience or capability in economic development who want to gain experience in a Third World country.

- o Utilize the Presidential Missions to further the goals of the LP and accelerate the internationalization process. The AASCU Presidential Missions, organized to establish contacts with selected countries, can serve as a vehicle for internationalizing universities and for strengthening these institutions for participating in international development. The LP could assist in the planning of Presidential Missions and assure that relevant development activities in the host country are linked.

There is a context in which the LP could be judged that is much larger than the specific objectives of the LP. It is a context that is beyond the scope of this interim evaluation but one that should not be discounted by farsighted federal officials or forward looking university administrators. It is a much longer term context that goes beyond the AID of today and focuses on an AASCU university of the future in a changing and increasingly interdependent world, striving to serve its students, its state and its nation to live and work in that global economy. In that context, the larger challenge for the university is to develop a strategy to serve its clientele of the future. That strategy will likely involve internationalized curricula, expanded concepts of public service that transcend political boundaries and faculty that understand the world they are preparing students to live in.

Such an internationalized university will likely find it only natural to participate in a number of U.S. government programs abroad and maybe even the AID of tomorrow! It would be exceedingly shortsighted to plan to serve the AID of today for it surely still in a state of transition. Consider these potentials for change:

- o A new AID administrator with a background in both large and small universities and surely comes with an appreciation for and fresh ideas about roles those institutions can play in development.
- o A relatively new Secretary of Agriculture who comes with a broad international experience, has launched an effort to "globalize agriculture"

- o There is a growing consensus in the development community that foreign aid as we have known it in the past is obsolete and is overdue for an overhaul.
- o The Foreign Assistance Act is "on the table" in the Congress and the Administration will likely submit its own version of a new bill during this session of Congress.

So, although the immediate outlook for AASCU/AASCARR institutions to participate in AID projects is dim, those who internationalize will be well positioned to participate in this country's efforts to assist and cooperate with developing countries in the future. To the extent the LP can contribute to that internationalization effort it will have been a worthwhile public investment.

#### Notes

1. Throughout this report, "AASCU/AASCARR institutions" is used to refer to the institutions which are the subject of the Linkage Program. AASCARR is a subset of AASCU, with the exception of two universities that belong to AASCARR but do not belong to AASCU. Therefore "AASCU/AASCARR institutions" is used to reflect the two associations and be more accurate.
2. At the present time two of the seven members of BIFAD are presidents of AASCU institutions. The 1890 representative is president of Lincoln University which so happens to be a member of AASCU.
3. Letter from Brad Langmaid, Deputy Assistant Administrator, Science and Technology Bureau to Harold Delaney, AASCU, dated December 3, 1986.
4. AASCU staff involved in negotiating the Cooperative Agreement are no longer employed by AASCU and their version of those events could not be ascertained.
5. Data obtained from LP Director and covers the period up to March 1, 1990.
6. The testimonial of the one successful placement and his dean provides reassurance on the potential benefits of this program. The faculty member was able to incorporate the enriching experience into his teaching program and his dean reported that the faculty member was enthused, invigorated and a better all around teacher.

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## Appendix A

### Persons Interviewed for Interim Evaluation

Brad Langmaid, AID/S&T

Curtis Jackson, AID/RUR

Gary Bittner, AID/RUR

Duane Everett, Mid-America International Agricultural  
Consortia

Lynn Pesson, BIFAD

Jeryis Oweis, BIFAD

Luther Hughes, Western KY State University

Lynn Desselle, Southwest LA State University

Lynn Witten, AASCU

Allan Ostar, AASCU

Allan Watson, AASCU

Gail Hochhauser, AASCU

Joan Joshi, Consultant and former LP Director

Mary Gordon, AASCU

Robert Leestma, AASCU



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A formal review and forward planning exercise is conducted annually. This includes review of ongoing implementation of policies and procedures. It also includes a review of projected activities for the next year. Quarterly Reports are submitted which cover all activities under the Cooperative Agreement. In addition to these quarterly and annual reviews and reports, AASCU program officers meet regularly with representatives of AID, and BIFAD as needed, to discuss activities.

### Evaluation

**METHODOLOGY.** AASCU proposes hiring an outside, independent evaluator, subject to AID's approval. Over a period of approximately 5 weeks the evaluator will: review files and correspondence; review quarterly and annual reports; interview personnel within and outside AASCU and AID (suggested list below), by telephone and correspondence; etc. Project personnel at AASCU will prepare the files and materials, and suggest questions for interviews.

The evaluator will submit copies of a draft report to AID and AASCU of all activities in the evaluation, including a copy of supporting documents, no later than one week after the end of the review. AASCU and AID will review, make appropriate revisions and return the draft report to the evaluator within two weeks. Within a week after that, the evaluators will submit 10 copies each of the final report to AASCU and AID. The report shall include an executive summary, methodology of the evaluation, the body of the report, and recommendations.

**BUDGET.** The evaluator will be approved for 25 days at the U.S. government rate agreed on by all parties. It is noted that the current rate will be increased shortly, and the rate paid the evaluator will reflect that increase. A sum will also be budgeted for other directs (telephone, fax, xerox, local transportation, etc.), reimbursable to the evaluator upon receipt of documentation.

The total budget for this interim evaluation has been reviewed and approved by AID.

**SCOPE.** The evaluator shall be responsible for evaluating the overall program for the Cooperative Agreement. In doing so, the evaluator should perform the following duties:

1. review all documents as mentioned above;
2. interview key personnel including, but not limited to, the following:

Curtis Jackson	Joan Joshi
Gary Bittner	Allan Ostar
Eloise Carter	Allan Watson
Duane Everett	Gail Hochhauser
Lynn Pesson	Alina Zyszkowski
Lynn Desselle	Host institution contacts:
Luther Hughes	University of Kentucky, Oregon
Harold Haak	State, Ohio State, etc.
Hugh La Bounty	Linkages Fellow and potential Fellows
Leon Boothe	Cindy Williams
Mary Gordon	Robert Duke
Robert Leestma	Lynn Witten
AASCARR representatives	Gerald Coorts

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3. describe (quality and/or quantity) evidence of meeting the objectives of the Cooperative Agreement in the following areas:

a. cataloging of available resources

Do the number of institutions in the Linkages network reflect AASCU/AASCARR institutions with potential for development work?

Has good use been made of the AASCARR Directory in promoting Linkages network institutions? Has the Directory been computerized? How often has it been updated?

Have the strengths of Linkages institutions for development work been marketed to other organizations? Have any institutions/organizations outside the network requested information on network institutions?

Is the database useful?

b. development of a Fellows Program

How many faculty have been proposed for fellowships? How many network institutions have agreed to permit faculty to accept fellowships? How many institutions/organizations have requested faculty for their projects abroad? Is the roster useful?

Are the resources (housing, pre-departure orientation, per diem, travel, insurance, etc.) and application procedures well articulated for placing Fellows? Are the resources adequate for successful placements?

Are there inherent obstacles/constraints to success in this activity? Have the project administrators attempted to bolster the success rate? How widely has the Fellows Program been marketed? Has BIFAD identified suitable placements for Fellows? What are the lessons to be learned from this program?

c. capacity building workshops

Did the workshops obtain their purpose? What were the lessons learned from these workshops? How many persons attended workshops?

Has the level of commitment to development work of network institutions attending workshops increased as a result of the workshops?

d. development and pilot testing linkages

Describe contacts with other organizations in marketing the institutional resources of network institutions. Have any formal contacts been made or maintained?

Is there a suitable mechanism for identifying contracts, joint proposals, etc., appropriate for linkages institutions?

Are there inherent obstacles/constraints to success in this activity within the AASCU system, AASCARR institutions, in forming relationships with land-grant universities and/or other contractors, in developing ties to overseas missions?

e. evaluation of Linkages Program

Are the program's objectives and goals reasonable and realistic? Refine and identify some objectively verifiable indicators for the objectives outlined in the Cooperative Agreement. Should any of the objectives be

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modified? If yes, what are the budget implications? Develop a timeline for obtaining objectively verifiable indicators of the objectives for the remainder of the Cooperative Agreement.

Given our knowledge of the network institutions, what are some of the key constraints of the Linkages Program? While some of the institutions are small and have agriculture departments consisting of a limited number of faculty, others are quite large with a pool of faculty available for overseas opportunities. A number of network institutions have had a history of successful overseas operations and relationships with AID, development consortia, etc., while others have had little international exposure. Thus the Linkages Program might have had varied relevance for different campuses. Was the Linkages project the right approach given this diversity within the AASCARR membership itself?

Were all constituencies at each institution considered and their reactions gauged? Deans and faculty might be interested in international linkages while others in the administration may not accept it without an extended period of persuasion.

Is there additional information to be considered concerning the performance to date on the Cooperative Agreement: personnel and staffing; budget; AASCU/AASCARR relationship; etc. What positive and negative effects are resulting to date from this project? Are there important lessons to be learned?

Are there suggestions for the direction of future activities of this Cooperative Agreement? Are there suggestions for possible new directions, based on the Linkages model, for AASCU and AID? For AASCU and other development organizations?

Is there a more effective way to establish mutually beneficial linkages (AID/AASCU institutions), and maintain them over time? Should different programs be designed to attract the different AASCU institutions, from those not currently involved in development, to those who want to become more active in existing development projects, to those who want to evaluate what they are currently doing in development with an eye to more effective and efficient activities? Given the particular distinguishing characteristics of AASCU institutions, are there special areas of mutual interest to AID and AASCU? Geographic regions abroad? Fields of study? Participation by specific categories of students (i.e. undergraduates)?

Are there ways AID and AASCU can work together utilizing AASCU's new Centers, especially the Center for Economic and Community Development? What is the role of the AASCU institution as a development educator and public policy advocate? Is there another group affiliated with AASCU, such as AASCARR is to the Linkages Program, that might serve as a cooperating interest group for a specific development project? Are there groups outside the AASCU sphere which might lend itself to a cooperative venture with AASCU for development project?

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**There is a need to look at the field of agriculture today. Within agriculture, for example, what areas are traditionally used in development assistance work? Has this affected the program, given the strengths of the AASCARR institutions?**

**What is the current environment for universities, land-grant as well as non-land-grant, interested in agricultural development assistance project work abroad? If in a decline, identify new arenas of mutual benefit for AASCU, AASCARR and AID. Outside of agriculture, are there fields for potential AASCU/AID cooperative activities?**

**How can AASCU better market economic and community development linkages to AID missions and host community institutions? Can some AASCU activities currently in place, such as the Presidential Missions abroad, be expanded to encompass outreach programs geared to the needs of the missions abroad? Can the resources and special interests of local communities of AASCU institutions be linked to those of host communities abroad as well as to local institutions? Is the debt for development activity, for example, a good way for AASCU to link into local development needs?**

**Domestically, how can AASCU develop relationships with other development agencies, including nongovernmental organizations and private consulting firms? With land-grant institutions? Can AASCU do a better job in marketing itself to BIFAD and similar groups so that there is an understanding that AASCU institutions can play an important role in implementing development objectives?**

**Given the lessons learned and the foundation of successful features from this Cooperative Agreement, identify efficient and effective operational and administrative mechanisms for future mutually beneficial activities, given AID interests and priorities and AASCU institutional strengths. Are there specific activities within either of the organizations which currently offer potential for cooperation?**

**Given limited resources, identify what priority activities AID and AASCU should emphasize? There needs to be an analysis of AID and AASCU priorities and resources, and see where they coincide.**

**How can AID and AASCU monitor the progress of these priority activities and stimulate linkages and long term relationships?**

**We are looking forward to starting the evaluation.**

Appendix C  
Planned Budget

**D. COOPERATIVE AGREEMENT BUDGET**

D. 1. The following is the Budget for this Cooperative Agreement. Except as specified in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget", as set forth in Attachment 3, the Recipient may adjust budget amounts within the total estimated agreement amount as may be reasonably necessary for the attainment of program objectives.

D. 2. Budget

<u>Description</u>	<u>A.I.D.</u>	<u>AASCU</u>	<u>Total</u>
Salary and Fringe Benefits	\$81,212	\$454,000	\$535,212
Travel and Per Diem	217,100	165,000	382,100
Other Direct	55,880	-0-	55,880
SUBTOTAL	<u>354,192</u>	<u>619,000</u>	<u>973,192</u>
Indirect	175,326	-0-	175,326
Consultants	42,982	-0-	42,982
Evaluation	20,000	-0-	20,000
TOTAL ESTIMATED AMOUNT	<u>\$592,500</u>	<u>\$619,000</u>	<u>\$1,211,500</u>

Appendix D

AASCU/AID Cooperative Agreement  
 DAN-5055-A-00-7082-00  
 Budget Estimates for years 3 & 4  
 Submitted May, 12, 1989

EXPENDITURES AND PLANNED BUDGET  
 (May 1989)

	YEAR 2 EXPENDITURES	ESTIMATED YEAR 2 BUDGET	CARRYOVER FROM YEAR 2 BUDGET	PROPOSED YEAR 3 BUDGET	PROPOSED YEAR 4 BUDGET	AASCU/INSTIT YEAR 3 IN-KIND	AASCU/INSTIT YEAR 4 IN-KIND
Salaries							
Project Director	22,329	18,000	4,329	35,173	36,934		
Benefits	3,719	7,000	(3,281)	11,233	11,795		
Total Personnel	26,048	25,000	1,048	46,408	48,729	14,000	15,000
Supplies	1,000	300	700	1,000	1,000		
Printing & Duplicating	5,000	4,000	1,000	8,000	5,400		
Computer	5,000	3,500	1,500	5,000	5,000		
Office Rent	2,970	2,970	0	7,773	8,162		
Telephone	1,000	300	700	1,500	1,500		
Services	0	0	0	500	500		
Postage	1000	700	300	1,500	1,500		
Travel Staff	2,800	2,800	0	3,000	3,000		
Total Direct Costs	44,818	39,570	5,248	74,681	74,791		
Indirect Costs	46,814	19,587	27,227	36,967	37,022		
Evaluation Subcontract	0	0	0	8,500	8,500		
Consultant Travel	3,500	3,500	0	3,000	3,000		
Fellows Salaries	0	0	0	0	0	120,000	120,000
Fellows Travel	51,800	2,706	49,094	54,000	54,000	41,000	40,000
Administrative Asst	5,000	5,000	0	7,500	7,500		
Total Costs	\$ 151,932	\$ 70,363	\$ 81,569	\$ 184,648	\$ 184,813	175,000	175,000

Total Year 2 Budget \$ 151,932  
 Estimated Year 2 Expenditure 70,363  
 Carryover from Year 2 Budget 81,569

Year 3 Allocation \$ 133,000  
 Carryover from Year 2 51,648  
 Proposed Year 3 Budget \$ 184,648

Estimated Year 4 Allocation \$ 154,892  
 Carryover from Year 2 29,921  
 Proposed Year 4 Budget \$ 184,813