

AGENCY FOR INTERNATIONAL DEVELOPMENT  
**PROJECT DATA SHEET**

1. TRANSACTION CODE **A**      Amendment Number \_\_\_\_\_      DOCUMENT CODE **3**  
A = Add  
 C = Change  
 D = Delete

2. COUNTRY/ENTITY  
 Worldwide

3. PROJECT NUMBER  
 936-5063

4. BUREAU/OFFICE  
 AID/S&T/RUR

5. PROJECT TITLE (maximum 40 characters)  
 University Development Linkages

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)  
 MM DD YY  
 07 31 00 00

7. ESTIMATED DATE OF OBLIGATION  
 (Under "B." below, enter 1, 2, 3, or 4)  
 A. Initial FY **92**      B. Quarter **3**      C. Final FY **99**

8. COSTS (\$060 OR EQUIVALENT \$) =

A. FUNDING SOURCE	FIRST FY			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	( )	( 1,710 )	( 1,710 )	( )	( 40,840 )	( 40,840 )
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1. Other AID		500	500		5,500	5,500
2.						
Host Country						
Other Donor(s) Universities		2,000	2,000		43,000	43,000
<b>TOTALS</b>		<b>3,710</b>	<b>3,710</b>		<b>83,840</b>	<b>83,840</b>

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ARDN	660	721				13,500		13,500	
(2) HE	660	721				10,200		10,200	
(3) PSEE	660	721				10,200		10,200	
(4) Other	660	721				6,940		6,940	
<b>TOTALS</b>						<b>43,840</b>		<b>43,840</b>	

10. SECONDARY TECHNICAL CODES (maximum 8 codes of 3 positions each)  
 561      978      563      631      870      973

11. SECONDARY PURPOSE CODE  
 661, 662, 681, 682

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code	B. Amount	INTR	PART	TECH	XII	TNG	RGEN	RDEV

13. PROJECT PURPOSE (maximum 480 characters)

To support U.S. university collaboration with developing country research and education institutions to strengthen developing country institutions and further the internationalizing objectives of U.S. universities.

14. SCHEDULED EVALUATIONS

Interim	MM YY	MM YY	Final	MM YY
	0 69 3	0 69 5		1 29 9

15. SOURCE/ORIGIN OF GOODS AND SERVICES  
 000     941     Local     Other (Specify) \_\_\_\_\_

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a \_\_\_\_\_ page PP Amendment.)

17. APPROVED BY  
 Signature: *Lawrence R. Jackson*  
 Title: Director, Research and University Relations  
 Date Signed: 01/14/91

18. DATE DOCUMENT RECEIVED IN AID/W, OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION  
 MM DD YY

**PROJECT PAPER**  
**UNIVERSITY DEVELOPMENT LINKAGES**  
**936-5063**

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- 1. Proposal Guidelines and Selection Criteria**
  - 1A. Guidelines for Pre-Proposals**
  - 1B. Facesheet**
- 2. PID Approval Message**
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**Project Title: University Development Linkages (UDL)**  
**(936-5063)**

**I. Background, Problem and Project Rationale**

**A. Background and Problem**

U.S. public and private Institutions of Higher Education (USIHE), (hereafter also collectively called "universities"), have demonstrated that they are among the most effective resources available to carry out the U.S. foreign assistance program. They are a national asset which can make a significant contribution to international development. A.I.D. must participate with U.S. universities -- and their linkages with developing country universities -- to carry out a common purpose of productive collaboration in international development.

Linkage, in the sense used in this project, is defined as a direct operational and collaborative tie between a U.S. degree-granting college or university and a developing country degree-granting institution, arrived at through mutual agreement, providing mutual benefit, and requiring mutual investment of resources in specified activities. Cross-linkages, between U.S. universities and among developing country institutions, will also take place.

As a group, U.S. universities have a large array of important institutional linkage agreements and memoranda of understanding with a wide variety of developing country and industrialized country institutions. In a recent survey of 183 U.S. universities and 29 university systems undertaken by Washington State University and the University of Maryland, 78 percent of the respondents said that they had or were in the process of undertaking new international activities, and 68 percent said that they expected the process of internationalization to increase in the future. Internationalization is a major theme of many university association meetings. A majority of these U.S. university international programs have resulted from their own initiatives and funds.

In the past twenty-five years, U.S. universities have educated enormous numbers of developing country students, particularly at the graduate level. American universities have carried out a significant part of A.I.D.'s research and development agenda. They have developed and expanded achievements in science and technology, administration and management, and information exchange and communications to developing countries across the gamut of A.I.D.'s development strategies and A.I.D.'s programs and projects.

Developing country universities have also made important contributions to their national development plans, often in collaboration with U.S. universities. Many developing country institutions have an increasing number of well-educated, competent professionals, but developing country educational institutions have not always achieved their full potential.

According to a recent A.I.D. report, developing country educational institutions need help in defining new roles, mobilizing public support and adequate financing, creating new organizational structures, improving their curricula, and strengthening their information systems. Their faculties also need to work collaboratively on advanced research and development, extend appropriate technology, avoid academic isolation, improve communications, and institutionalize their achievements.

A.I.D. contracts and grants have in many cases been instrumental in initiating and supporting university linkages, and some strong institutional ties have evolved. However, many linkages lack depth and breadth, are limited in number, and frequently relate to only one or a few faculties or departments.

### **B. Project Rationale**

It is important that the U.S. university community continues to support foreign aid objectives, contribute to A.I.D. programs, develop their own self-sustaining international development programs and foster linkages with developing country educational institutions.

It is equally important that developing country institutions have collaborative linkages with U.S. educational institutions. Effective public and private institutions of higher education in developing countries are essential to support to the education, research, and public service needs of their societies and to achieve sustainable economic growth in a rapidly changing global environment.

Enhanced developing country institutions are more effective in marshalling a country's resources, expanding collaboration with international donor organizations and improving program and project design and implementation, expanding domestic and foreign investment opportunities, expanding the talent bank for local economic growth, creditable influence needed national policy reforms, etc., and specific to A.I.D., increasing the likelihood that the United States and the host country and its institutions will expand and sustain productive linkages beyond the limited scope of the UDL.

The direct beneficiaries of the UDL are the participants and institutions in the project. In a larger sense, however, the beneficiaries are the societies that both contribute to and reflect the values of the US and host country institutions. UDL is not an "education" project nor an "institutional development" project, per se, but it is an activity and a

funding mechanism in which A.I.D. supports institutions of higher education in their varied activities in health, rural development, agriculture, population and family planning, etc. These sectors are also A.I.D.'s priority sectors, and the complementarity of both US and developing country educational institutions must be an A.I.D. priority.

## **II. A.I.D. Policy and Strategy. Relation to S&T/RUR Projects**

### **A. Center for University Cooperation in Development (CUCD)**

A.I.D. policy is to build, promote, and strengthen mutually beneficial development cooperation and partnerships between A.I.D., U.S. public and private institutions of higher education that are engaged in education, research, and public service programs relevant to the needs of developing countries, and comparable institutions in developing countries. Sustained U.S. and developing country collaboration in international development is vital to achieving sustainable economic growth and open democratic political systems.

At the same time, the participation of U.S. colleges and universities in international development efforts also supports the internationalization of U.S. educational institutions by strengthening their faculty and the programs available to their students, and enhancing the quality and relevance of their research and extension efforts.

To give focus to these efforts to develop programs which optimize the contributions of U.S. colleges and universities and in turn foster their linkages with developing country institutions, A.I.D. has established the Center for University Cooperation in Development (CUCD).

### **B. Relationship to Other S&T/RUR Projects.**

The proposed project represents an evolution from five previous "strengthening" projects which A.I.D. used to encourage the international development collaborative abilities of U.S. universities. These projects are:

- 1. Strengthening Grants (931-1282) - \$27 million obligated over a 12-year period to 57 institutions. The PACD was September 1990.**
- 2. Single MOU (936-5061) - \$5.3 million obligated from 1985 to 1989 to five institutions. The project began a new five-year cycle in FY 1988.**
- 3. JMOU Agriculture (936-5058) - \$15.5 million obligated from 1985 to 1989 to 24 institutions. The project continues, with a one-year extension, to 1992.**

4. **JMOU Health (936-5057) - \$5.6 million obligated from 1985 to 1989 to eight institutions. This project ends after the FY 90 one-year funding extension.**
5. **Matching Support Grant (936-5060) - \$1.2 million obligated from 1987 to 1989. This project will continue in effect until 1992.**

**The strengthening grant project was partially successful in encouraging the recipient universities to turn their attention to international development issues in a realistic, useful way.**

**The SMOU, JMOU Agriculture and Matching Support Grant projects involved the more successful recipients of the prior strengthening grants. The three projects are essentially similar to each other in purpose and have been successful in mobilizing the resources of the participants to work on development issues overseas with A.I.D. The JMOU Health project was patterned after the Agriculture project.**

**Successful features and lessons learned from the five similar projects have been considered and are carried forward into this new project's design and implementation. Considered areas include 1) Funds and incentives for universities to develop their international programs have been highly successful; over half of the participating universities now have overseas development assistance capabilities; 2) There is an unmet demand; grant funds reached only a fairly small number of potential participating universities; 3) The projects fostered close cooperation among some universities; 4) The output expectations of such projects can be vastly improved by getting an A.I.D.-university agreement as to objective criteria of progress; 5) Joint relationships among universities should not be compelled through a formal A.I.D.-sponsored agreement but should develop through mutual agreement among universities; 6) Collaboration between A.I.D. and universities (with comments from USAIDs on behalf of local institutions) on designing any follow-on "university linkages project" will greatly strengthen the project and confidence levels.**

**Many of the participants in one or more of the five projects have received "strengthening" or "resource mobilizing" funds from A.I.D. for ten years or more. Many of the participants are now well qualified. The proposed linkages project is a departure from prior projects. It proposes to engage a broader range of universities, not just prior recipients, in a demand-driven, output-oriented project which uses the strengths already developed by experience overseas.**

### **III. Project Description:**

#### **A. Goal**

To assist public and private institutions of higher education in U.S. and developing countries to meet the education, research, and public service programs of their societies.

#### **B. Purpose**

To finance collaboration between U.S. and developing country universities which strengthen the institutions, their international programs, and their mutual efforts.

#### **C. Outputs**

The project will fund linkages between U.S. and developing countries educational institutions in order to initiate or strengthen a variety of long term collaborative university relationships. Examples of anticipated products of these collaborative linkages include:

1. Solution of specific research problems of interest to host and U.S. institutions through collaborative work with a host country institution.
2. Improvement of curricula, organizational structure, research and teaching methodologies, linkages to wider academic communities, and faculty revitalization.
3. Collaborative development of training courses (with extension purposes), surveys, and pilot programs for education and information delivery.
4. Increased interest and experience of U.S. university faculty in developing country development issues which relate to A.I.D.'s interest and to the development cooperation objectives of U.S. universities.

The outputs can be measured by review of published research, surveys of student knowledge and post graduate performance, the number and kinds of training and extension programs; changes or improvements in institutions organization, management, and administration; long term impact of linkages on developing country economic and social development, viability and sustenance of linkages, etc.

#### **D. Inputs**

The project will make small amounts of grant funds available to U.S. universities to foster sustainable, long-term linkages with developing country institutions. This UDL project replaces and uses the funds from several program support and strengthening grants for U.S. universities that are now in effect which are noted in Section III, Relation to S&T/RUR projects.

Executed through Cooperative Agreements, and depending upon the terms of each individual Cooperative Agreements, the project will finance technical assistance, training, and a very small amount of commodity procurement. It is expected that most funds will be used for linking activities such as faculty travel and transportation, faculty per diem, communications, and publications. Faculty salary and consultants' fees will be borne by each institution.

The project will require each recipient to provide matching resources to achieve the mutually beneficial outputs. The project anticipates collaborative or correlative participation from USAID Missions projects, and the UDL will accept buy-ins. Regional or international organizations, private foundations, individuals, and the private sector will be encouraged to cooperate with and complement this project with their own partnership activities.

#### **IV. Financial Plan, Cost Estimates, Budget**

##### **A. Assumptions**

The financial plan is based on the assumptions that:

1. **S&T core funds for RUR will remain approximately the same and project funds will be derived from reprogramming funds from extant projects as they terminate, namely:**

936 - 5055 TASS (in part).

936 - 5058 JMOU/AGR.

936 - 5060 MSG/AGR.

936 - 5060 SMOU/AGR.

936 - 5057 JMOU/HE.

2. **U.S. Universities, developing country institutions, and other linked participants will contribute at least an amount equal to A.I.D. funds in non-federal cost sharing through direct, indirect, and in-kind resources.**
3. **Missions and other Bureaus and S&T offices may contribute funds to meet their special concerns through add-on funds for special emphases to parts of linkage agreements or through OYB transfers to the project for special purposes. The amount coming from these sources is expected to be small and is estimated in the table below. The project is not dependent on these fund supplements. Cables received from missions in response to an S&T presentation of the PID indicate that a few missions are interested in exploring ways to use this project to contribute to their country goals. Any mission buy-ins for specific country program related activities would, of course, be managed by the mission and fully under mission control from design through implementation, unless mission wished A.I.D./W to take on particular management responsibilities. Mission could also buy-in to the project by direct contribution to the annual program solicitation in which case A.I.D. RFP could specify interest in a linkage in a particular country and external peer panel will review all proposals received for that country and provide results to mission for its approval.**

##### **B. Fund Availability**

The amount of S&T core funds available each year varies according to reprogramming schedules. Cost-sharing funds will by definition always equal or exceed core funds.

The total funding for the project is approximately equal to the amount being spent on the terminating activities. The total is sufficient to support 60 to 75 linkages and to have a beneficial developmental effect on both the developing country and U. S. linked institutions over long-term relationships. The \$100,000 maximum award per annum over five years per single institutions linkage was arrived at through discussions with university faculty culminating in a series of formal meetings with representatives of 150 universities. The amount of \$100,000 was sustained by meeting participants.

C. Duration of Project

The funding authorization is for nine years. The PACD of the project will be ten years after the starting date. This will accommodate five-year linkage awards which are made in the fifth year.

D. Funding Accounts

The nature of the various activities which will form the basis for linkages cannot be foretold at this time. Also, we anticipate that several accounts may be required for some individual sub-projects. The project authorization therefore includes all major accounts used in S&T. For OYB transfers and add-on/buy-in supplements, we anticipate and include DFA, ESF, and Eastern Europe funds in the future.

## E. SOURCES AND APPLICATION OF FUNDS BY YEARS

FISCAL YEAR	1991	1992	1993	1994	1995	1996	1997	1998	1999	TOTAL
<b>SOURCES OF FUNDS</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$	\$
1. S&T Bureau Core										
A. Implementation	1,500,000	3,000,000	4,500,000	6,000,000	7,500,000	6,000,000	4,500,000	3,000,000	1,500,000	37,500,000
B. Project Support										
(1) Peer Review	60,000	70,000	70,000	70,000	70,000	30,000	0	0	0	370,000
(2) Evaluation	0	25,000	100,000	100,000	100,000	100,000	100,000	150,000	100,000	775,000
(3) Support Services	150,000	200,000	275,000	285,000	295,000	295,000	295,000	200,000	200,000	2,195,000
<b>SUB-TOTAL, S&amp;T</b>	<b>1,710,000</b>	<b>3,295,000</b>	<b>4,945,000</b>	<b>6,455,000</b>	<b>7,965,000</b>	<b>6,425,000</b>	<b>4,895,000</b>	<b>3,350,000</b>	<b>1,800,000</b>	<b>40,840,000</b>
2. Other AID	500,000	500,000	500,000	1,000,000	1,000,000	500,000	500,000	500,000	500,000	5,500,000
<b>SUB-TOTAL, AID</b>	<b>2,210,000</b>	<b>3,795,000</b>	<b>5,445,000</b>	<b>7,455,000</b>	<b>8,965,000</b>	<b>6,925,000</b>	<b>5,395,000</b>	<b>3,850,000</b>	<b>2,300,000</b>	<b>46,340,000</b>
3. University, etc. Cost Sharing	2,000,000	3,500,000	5,000,000	7,000,000	8,500,000	6,500,000	5,000,000	3,500,000	2,000,000	43,000,000
<b>TOTAL</b>	<b>4,210,000</b>	<b>7,295,000</b>	<b>10,445,000</b>	<b>14,455,000</b>	<b>17,465,000</b>	<b>13,425,000</b>	<b>10,295,000</b>	<b>7,350,000</b>	<b>4,300,000</b>	<b>88,340,000</b>
<b>APPLICATION OF FUNDS*</b>										
1. Cumulative Number of Linkage Cooperative Agreements	15	30	45	60	75	60	45	30	15	
2. New Starts in Each FY	15	15	15	15	15	0	0	0	0	
3. Mortgage from Previous Years	0	1,500,000	3,000,000	4,500,000	6,000,000	6,000,000	4,500,000	3,000,000	1,500,000	

\* Assumes each cooperative agreement is funded for \$100,000 per year for 5 years.

## **V. Project Implementation**

### **A. Definitions**

**U.S. Institutions of Higher Education (post-secondary level) ("USIHE"), means U.S. public and private degree-granting institutions of higher education or associations thereof that are engaged in education, research, and public service programs.**

**"Consortium" means two or more organizations or USIHEs. The lead institution must be a USIHE. A "Developing Country Institution of Higher Education" (equivalent to U.S. post-secondary level) or "Developing Country Institution" means a public or private degree-granting institution of higher education engaged in education, research and outreach activities.**

**"Matching" or "Cost-Sharing" means non-Federal funds or quantifiable in kind contributions provided by USIHE and/or USIHE collaborators or by the Linked Institution and its collaborators and supporting internationalization objectives of the project. (See also text on Award Funding).**

**"Pre-Proposal" means a short concept paper, up to four pages long, submitted by the USIHE. "Proposal" means a fully described development activity submitted by a USIHE for A.I.D. final decision and funding (See later text for description).**

**"Lead Institution" means the USIHE to which A.I.D. will grant a cooperative agreement. The lead institution is responsible and accountable for the linkage and participating linkage partner sub-agreements.**

### **B. Recipient Eligibility**

**Eligible U.S. Recipients for A.I.D. funds, made available through Cooperative Agreements, will be U.S. Institutions of Higher Education (USIHE).**

**A USIHE can receive up to two separate Recipient awards if the Recipient is the sole Recipient institution or the lead Recipient institution in a consortium award. Any USIHE which is a non-lead institution in a consortium award can participate in cooperative agreement awards without any frequency limitation.**

**No more than four linkage awards will be made in any developing country. Any one developing country institution can participate in no more than two primary awards. However, there is no limit on the number of consortia in which they may participate.**

**USIHE recipients must have a linkage with a developing country institution(s) of higher education. USIHE Recipients can also establish secondary or collaborative linkages with**

**U.S. or developing country private voluntary organizations, individuals, private businesses, foundations, regional or international organizations, in support of its primary linkage. Any USIHE may submit as many proposals with as many developing country institutions as they wish, providing that each proposal relates to a discrete relationship that stands on its own merits. Separate matching is required for each project.**

**Developing country institutions of higher education in A.I.D.-recipient countries (see list of eligible countries, Annex 3) are eligible for consideration as a primary linkage partner, subject.**

**A USIHE will not be eligible to receive University Development Linkage grant funds during the same time that they are also receiving a Program Support Grant, a Matching Support Grant, or Strengthening Grant.**

### **C. Award Criteria**

**A.I.D. awards will be based on an external competitive proposal selection process and evaluated in accordance with published selection criteria.**

**All fields of international development permitted under laws applicable to A.I.D. shall qualify for awards under this Project. These include, but are not limited to, health, population, basic education, agriculture, tropical forestry, environment and natural resources, energy, rural and urban development and, nutrition.**

**Of the funds provided for the University Development Linkages program, a percentage of the total annual funds available will be reserved for funding linkage proposals from Historically Black Colleges and Universities (HBCUs). This reserve fund will be used for cooperative agreement awards made to single HBCUs or to a consortium in which an HBCU is the lead institution. In the latter case, only the proportion of funds going to the HBCU(s) will come from the reserve fund.**

#### **D. Award Procedure**

S&T/ CUCD will solicit Pre-Proposals, and invite full proposals that have potential, after Pre-proposal review. Pre-proposals will be reviewed within A.I.D. Proposals will be reviewed by an External Peer Review Panel.

The proposal on which a cooperative agreement award is based and all subsequent monitoring, evaluation, and review documents relating to the implementation of the cooperative agreement will be available to the public subject to the Freedom of Information Act. It is A.I.D.'s intention to make these materials available to interested colleges and universities and to use them in public workshops, training sessions, and other programs which further internationalization.

Proposals will be reviewed by A.I.D. for consistency with U.S. national interests in the concerned country and applicable U.S. laws and regulations. Full proposals will be reviewed and ranked by an external review panel. As part of the panel process the Executive Summary and budget of the full proposal will be reviewed by the concerned field office or A.I.D./W office for its developmental importance. These A.I.D. comments will be forwarded to the peer review panel for its consideration in ranking the proposals. These A.I.D. comments will be part of the public record of the peer review.

Proposals will be reviewed by relevant mission(s) and by the External Peer Reviews which will be conducted based on published selection criteria and the results will be public.

The External Peer Review procedure will be independently organized and conducted by NAS/NRC/BOSTID or a similar organization which can mobilize disinterested international development expertise. Every effort will be made to balance panel membership based on institution size, type, disciplines appropriate to the proposals, and international experience. Where possible, developing country academic representatives will be included.

The recommendations of the External Peer Review Panels will be submitted to the Assistant Administrator, Bureau for Science and Technology for final decision and award.

### **E. Award Funding**

**A.I.D. funding will be limited to one-half or less of the funds required for the linkage activity and will not exceed \$100,000 match per year when the award is to a sole USIHE Recipient. For joint or consortia proposals involving more than one USIHE, the awards will be limited to \$200,000 per year per award involving two USIHE, or USIHE and an Association, \$300,000 per year for awards involving three or more universities or universities and associations. A.I.D. funds will be granted to the lead institution. Cooperative agreements will be funded incrementally on an annual basis.**

**Indirect costs or overhead will not be an allowable use of A.I.D. funds. However, they may be used to meet matching requirements (see below).**

**Participating U.S. and developing country institutions (the linkage partners considered together) will be required to match the cost of the relationship with A.I.D. on at least a one-to-one basis using non-Federal funds dedicated, quantifiable, or in kind resources. Such non-federal funds pledged for matching must be considered to be an integral part of the total resources dedicated to linkage activities.**

**Institutions which offer two or more proposals for consideration must be prepared to provide discrete, unique, identifiable matching for each proposal in the event that more than one linkage cooperative agreement is awarded.**

**University match (non-federal cost sharing) must include at a minimum, direct costs of at least 25% of the A.I.D. contribution. Other expenditure of non-federal money from the linked institutions which can be used for cost-sharing (matching) are:**

- 1. Indirect costs (overhead) up to the allowable audited level**
- 2. In-kind contributions which can be designated, described, and quantified in terms of U.S. dollars. Local currency should be converted at the market exchange rate. NOTE: REFER TO STANDARD PROVISIONS FOR IN-KIND CONTRIBUTIONS.**
- 3. The direct non-Federal contributions of participants other than the institutions of higher education, e.g., foundations, private voluntary organizations, private businesses, etc., to the linkage resources may be counted as a part of the required cost-sharing.**

**Payments to participating U.S. Colleges or Universities (to the lead institution in the case of a consortium) will be made in accordance with the University's preference and following discussions with OP and FM.**

**The A.I.D. and matching funds may be shared among the U.S. and non-U.S. institutions as the parties may mutually agree.**

**A.I.D. will manage the project through a project manager designated in S&T/CUCD.**

**The sole Recipient or the Lead Recipient will be responsible for the financial and program management of the Cooperative Agreement including timely submission of all reports, sub-grantee Agreements, and other terms and conditions specified in the implementing cooperative agreement.**

**F. Linkage Proposals and Evaluation Criteria.**

**Based on Project implementation conditions given in VI, A-E above, universities which wish to propose linkage relationships will be required to comply with guidelines for proposal development and will be subject to selection criteria as detailed in Annex 1. Universities will be required also to submit a pre-proposal as outlined in Annex 1A. The pre-proposal will be evaluated by A.I.D./W panels and by Missions.**

**Linkage proposals must contain information on seven major areas which are to be evaluated. These areas are:**

- 1. Institutional characteristics and capabilities.**
  - a. U.S. Universities**
  - b. Developing Country Institutions**
- 2. Rationale on which linkage is based.**
- 3. Implementation and Management.**
- 4. Monitoring and Evaluation.**
- 5. Sustainability.**
- 6. Budget and Cost Sharing.**

**VI. Monitoring Plan**

- A. The sub-project grantees under this project will be required, as a condition of the award, to develop a plan for the monitoring of progress and problems resulting from implementation of the linkages. In addition, the cooperative agreements/conditions will require periodic (quarterly)**

**technical progress reports and financial reports. In the development of forward work plans by the grantee, the A.I.D. project managers will insure that monitoring plans developed by the grantee conform to a level of information gathering and reporting which is fully appropriate to A.I.D. needs.**

- B. Project managers will insure that A.I.D. monitoring systems are developed which:**
- 1. Oversee grantee compliance with A.I.D. policies, procedures and regulations.**
  - 2. Support the grantee's efforts to effectively monitor utilization of resources and accurate forecasting of future problems.**
  - 3. Identify implementation issues and linkages which are not performing satisfactorily.**
  - 4. Collect, organize and report to all grantees data and information about the successful implementation of linkages and problems which have hindered successful implementation. These data and information will form the basis for analyses and historical reviews of the project.**
- C. The monitoring methods which will form the principal basis of the systems to be employed will be:**
- A. Quarterly technical and financial reports including technical report information submitted by the developing country institution for inclusion in the report required from the lead or sole U.S. College/University. Financial management reviews of each cooperative agreement recipient will be conducted between 6-12 months after the award.**
  - B. Consultation with project participants through required formal meetings, informal visits, and workshops (to be held biennially, or more often, in which all linkage grantees will discuss problems and individual successes).**
  - C. Review of Annual Reports and Forward Work Plans will provide an additive recapitulation of quarterly reports.**
  - D. Site visits by consultants or project managers will be employed to monitor progress of the linkages. These visits will be largely**

concerned with the performance and implementation of the technical linkage elements. In addition, A.I.D. will remain alert to the need for formal management reviews of the implementing universities at any time such reviews seem indicated.

## **VII. Evaluation Plan**

This project will support a variety of sub-projects (linkages between and among institutions). The technical application requires that each objective of each proposed sub-project be specified separately followed by the desired outputs and proposed inputs. The timetable for accomplishing the output/input actions will also be required together with the implementing university, i.e., U.S. university, developing country institution, or both. In these ways, the individual cooperative agreements contain within each an implementation plan which will facilitate evaluation of progress at any point during the sub-project implementation.

Project managers will arrange for an evaluation of each sub-project during the third or fourth year of implementation. One or more external evaluators will be used to review progress toward linkage objectives by the developing institution and by the U.S. institution.

The overall project will be reviewed about two and one half years after initiation and every two and one half years thereafter by a team of external reviewers. The first and alternate evaluations will be based on reports and documentation from all linkage participants, from mission, and from other A.I.D. bureaus. The fifth year (and possibly the tenth year) evaluation will include site visits to developing country institutions. The primary purposes of the project evaluations will be to determine progress toward the goals and purposes of the project and unanticipated problems and opportunities and lessons learned from linkages implementation. In all evaluations, special emphasis will be placed on the issue of the sustainability of the relationships which are being developed.

### **Women in Development (W.I.D)**

Since the project will consist of distinct sub activities to be solicited and approved for implementation over its life of the UDL project, it is not possible to ascertain in advance how women will participate in the project's implementation as participants. However, gender issues are a factor in the evaluation of solicited proposals. Secondly, gender disaggregated data will form a part of the evaluation and monitoring criteria of UDL activities to assess the gender dimension on project beneficiaries.

## **VII. Administrative Plan**

The Center for University Cooperation in Development (CUCD) will manage the project. For the first year, approximately one full-time direct hire project manager will be required. For years two through eight, approximately two full-time staff will be required for project management. These staff requirements can be met with present staffing, particularly as management requirements for terminating projects diminish.

The clerical staff and project management effort in CUCD will be supplemented by a supporting services contractor. Supporting services will provide for part of the routine organizational business of grant documentation, data collection and data reporting.

Review of pre-proposals will be accomplished by a combination of CUCD project managers, mission and regional bureau cooperators and an S&T bureau committee. Review and selection recommendations for full proposals will be provided by disinterested peer review panels organized and managed by the National Research Council's Board on Science and Technology for International Development (BOSTID) through an extant and continuing contract with BOSTID.

We have made the U.S. partner the grant recipient to simplify management and remove as much management load and particularly the financial accounting load from the missions as possible. For the core linkage and any other buy-ins using non-mission funds, we would expect the only burden on the mission would be mission commentary on pre-proposals and proposals, routine coordination and collaboration between mission and linkage partners as serves mission interests, and mission input in the program evaluation.

## **IX. Environmental Statement**

As outlined in A.I.D. Handbook 3, Appendix 2D, the nature of the proposal projects and the sub-projects to be supported by it are properly characterized under 216.2 (C)(1). Categorical Exclusion (i) Action which does not have an effect on the natural or physical environment, and (iii) Research activities which may have an effect on the physical and natural environment but will not have a significant effect as a result of limited scope, carefully controlled nature and effective monitoring.

The activities supported by the project will come within the following classes of actions described under 216.2 (C)(2): (i) Education, technical assistance, or training programs, (ii) controlled experimentation (iii) Analyses, studies, workshops, and meetings, (v) Document and information transfers, and (vii) Institutional building grants to U.S. education institutions. Should any proposal involve greater environmental attention, it will be provided.

PROPOSAL GUIDELINES AND SELECTION CRITERIA

**I. THE LINKAGE PROGRAM**

The linkage program is designed to foster sustainable institutional relationships in education, research, and extension between U.S. colleges and universities and counterpart institutions in developing countries. To be sustainable, such linkages must produce tangible benefits for all parties. It must serve the internationalization needs of U.S. colleges and universities and the development needs of developing country institutions and the societies they serve. Cross linkages, among U.S. and among developing institutions, will also be fostered.

Criteria for selection of linkages are given in Selection Criteria. Please refer to this section for additional information relating to content of proposals.

Particularly desirable attributes of proposals are those that:

- demonstrate over-matching or leveraging additional resources,
- emphasize outreach endeavors on the part of developing country institutions,
- enhance university support for internationalization of U.S. institution,
- demonstrate a unique fit or symmetry in the linkage,
- demonstrate that the Linkage is an instrument for accomplishing a sustainable relationship not an end in itself,
- show a significant portion of total resources expended in or for the benefit of the linked developing country.

The Linkage Proposal

**A. The Pre-Proposal**

Applicants to the Linkage program must submit a Pre-Proposal. Please see Pre-Proposal instructions in Annex 1A.

**B. The Proposal:**

1. The full Linkage proposals shall follow the outline given below and contain the following information:
  - a. Title of Linkage

b. **Executive Summary**

The executive summary shall include the title of the linkage, information on item c below and information on the following items.

- Institutional characteristics and capabilities (all participating parties)
- Rationale of linkage
- Summary Workplan of each linkage objective (see sample)  
Workplan attached (same as for pre-proposal)
- Monitoring and evaluation
- Sustainability
- Budget and cost-sharing

The executive summary may not exceed four single spaced pages, excluding the participant list, title, the summary workplans for each linkage objective and budget cost sharing.

c. **Participants**

- Who will be linked?
- Identify all the institutions that will be participants
- Identify the lead U.S. university/college
- Identify the principle contact person for each institution (name, address, phone, fax)

2. **The Institutional Characteristics and Capabilities**

- a. **U.S. Universities/Colleges - Indicators of Internationalization: Describe explicit and verifiable institutional characteristics of each U.S. institution relating to the following:**
- (1) Administrative Policy Commitment
  - (2) Faculty Commitment
  - (3) Resource Commitment
  - (4) Public Support
  - (5) Academic Programs
- b. **Developing Country Institutions - Indicators of Development Impact and Institutional Impact: Describe the capacity and specific programs of developing country institution in meeting community/societal needs in terms of:**

- (1) Administrative Policy Commitment
- (2) Faculty Commitment
- (3) Resource Commitment
- (4) Public Support
- (5) Academic Programs
- (6) Societal Needs Assessment

### 3. The Linkage

#### a. Rationale

Describe how this Linkage:

- (1) optimizes the strengths of each institution
- (2) is structured so as to attract other participants and leverage other resources to improve opportunities for sustainability
- (3) results in benefits that are greater than those that might be achieved by the institutions separately
- (4) will add to the internationalization goals of the U.S. institution and to development impact goals of the developing country institution

#### b. Implementation and Management

Please describe in detail what the linked institutions are proposing to do:

- (1) What are your objectives?
- (2) What activities will you undertake to achieve these objectives?
- (3) What are your anticipated outcomes from these activities?
- (4) When do you anticipate achieving these outcomes?
- (5) Who will undertake these activities and with what resources (both institutional and human). Describe fully the roles of each institution.
- (6) Where will these activities take place?
- (7) Please complete the summary work plan for each objective (Annex 1A).

#### c. Monitoring and Evaluation

What is your plan for monitoring and evaluating the anticipated accomplishments?

#### d. Sustainability

How will you sustain these activities beyond AID funding?

#### e. Budget and Cost Sharing

See Selection Criteria

## II. SELECTION CRITERIA

The Linkage Proposal

A. The Pre-proposal (see Annex 1A).

B. The Proposal

1. See Face Sheet (Annex 1B)

Total = 200 Points

2. The Institutional Characteristics and Capabilities:

This part should present a current snap shot of the internationalization of your university, current status, plans and policies, and the status of their implementation. The section addresses university wide internationalization activities out of the conviction that sustainable support for any particular linkage is dependent upon the degree to which a university, its leadership, its faculty, its students, and its support groups are committed to internationalization in general as well as how it relates to the particular link(s) being proposed.

100 Pts. a. Indicators of Involvement by U.S. Institutions: Describe explicit and verifiable internationalization characteristics of each U.S. institution relating to the following indicators:

18 Pts. (1) Administrative Commitment to include:

- (a) Institution mission statement about internationalization goals and international interests.
- (b) Strategic plans which show specific timetables for near- and long-term efforts.
- (c) Administrative structure which involves institution-wide coordination and visibility at a high level for international efforts.

25 Pts. (2) Faculty Commitment to Include:

- (a) Administrative and staff policies which encourage faculty and through them student involvement in international activities
- (b) The degree to which faculty hiring, promotion and tenure policies give explicit weight to international involvement and experience.
- (c) The availability of internationalization experience for faculty and the incentives to encourage faculty participation.

**20 Pts. (3) Resource Commitment to include:**

- (a) Financial support to international programs, direct and indirect costs.
- (b) Major international grants and contracts and collaboration with international organizations and institutions of higher education.
- (c) Evidence of faculty commitment to international activities including faculty and staff time, course offering, and student exchanges.
- (d) Library holdings and communications systems and capabilities pertinent to international relationships.
- (e) Language requirements and offerings relevant to internationalization objectives
- (f) Internationally oriented education and awareness programs for faculty, staff, alumni, Board of Trustees, etc.

**20 Pts. (4) Public Support**

- (a) Degree of integration of internationalization strategies into campus life.

- (b) **Community programs; building on constituency e.g. alumni associations, state legislature, and business groups.**
- (c) **Relations with K-12 and post-secondary schools in international activities.**

**17 Pts. (5) Academic Programs**

- (a) **Range, levels, and enrollment in majors, minors, concentration, specializations, and area studies relevant to the linkage proposal.**
- (b) **Diversity, levels, enrollments and degree requirements for relevant languages.**
- (c) **Integration of international topics in general courses.**
- (d) **English as a Second Language offering.**
- (e) **Interdisciplinary approaches.**

**100 Pts. b. Indicators of Capacity of Developing Country Institutions:**  
**Describe the developing country institution's programs that relate to its capacity to enter into a sustainable relationship with U.S. universities in furtherance of the development needs of its society. This part parallels part B.2.a in that it should present a "snap shot" of the developing country institutions commitment to and resources for a sustainable international partnership. However, it should also describe the developmental relevance of the developing country institutions, i.e., the degree to which its policies and programs focus on the development need of its country or region and prepares its students for developmentally relevant career.**

**9 Pts. (1) Administrative Commitment to include:**

- (a) **Institution mission statement about societal and developmental goals and international interests.**
- (b) **Strategic plans which show specific timetables for near- and long-term efforts.**

- (c) **Administrative structure which involves institution-wide coordination and visibility at a high level for societal, developmental and international efforts.**

**13 Pts. (2) Faculty Commitment to include:**

- (a) **Administrative and staff policies which encourage faculty and through them student involvement in local, regional and international activities.**
- (b) **The degree to which faculty hiring, promotion and tenure policies give explicit weight to local, regional and international involvement and experience.**
- (c) **The availability of regional and internationalization experience for faculty and the incentives to encourage faculty participation.**

**10 Pts. (3) Resource Commitment to include:**

- (a) **Financial support (direct and indirect costs) for programs which help to achieve strategic plans, goals and mission statement.**
- (b) **Major country, regional and international grants and contracts and collaboration with international organizations and institutions of higher education.**
- (c) **Evidence of faculty commitment to local, regional and international activities including faculty and staff time, course offering and student program on campus as well as exchange program.**
- (d) **Library holdings and communications systems and capabilities pertinent to local, regional and international relationships.**

- (e) Language requirements and programs relevant to local, regional and internationalization objectives.
- (f) Internationally oriented education and awareness programs for faculty, staff, alumni, Board of Trustees, etc.

**10 Pts. (4) Public Support**

- (a) Degree of integration of local, regional and internationalization strategies into campus life.
- (b) Community programs; building on constituency e.g., alumni associations, state legislature, and business groups, private sectors, NGOs and P.V.O.s.
- (c) Relations with primary vocational and post-secondary schools in local, regional and international activities.

**8 Pts. (5) Academic Programs**

- (a) Range, levels, and enrollment in majors, minors, concentration, specializations, and area studies relevant to local, regional and internationalization objectives in general as well as to the linkage proposal.
- (b) Diversity, levels, enrollments and degree requirements for relevant languages.
- (c) Integration of local, regional and international topics in general courses.
- (d) English as a Second Language offering.
- (e) Interdisciplinary approaches.

**50 Pts. (6) Needs Assessment**

- 25 Pts. (a)** Describe the local, regional needs of the developing country in broadly defined terms.

**25 Pts. (b) Describe the methodology for identifying those needs.**

**Total = 200 Points**

**3. The Linkage**

**25 Points a. Rationale:** This section should describe how the situations described in parts B.2.a and b will be changed as a result of the linkage. It should describe the internationalization and developmental activities planned during the linkage period which are generally relevant to achieving a sustainable linkage as well as the particular activities to be undertaken by or through the linkage.

- (1) The proposal clearly and adequately describes how the linkage capitalizes on the strengths of each institution involved.**
- (2) The proposal has incorporated other participants and shows how resources have been leveraged to insure the endurance of the linkage.**
- (3) The proposal is clear about the development issue(s) on which the applicant has decided to focus and how the linkage is going to tackle this issue(s).**
- (4) The proposal defines in realistic terms what the applicants expect to be able to accomplish through this linkage, and how this linkage will: (a) further the U.S. university's internationalization endeavors and (b) increase the capacity of the developing country institution in meeting its community/societal needs.**

**50 Points b. Implementation and Management:**

- (1) The proposal clearly describes the major objectives of the project and details a series of specific activities and outcomes which will lead to the accomplishment of these objectives.**

- (2) The proposal outlines a management plan for effective implementation of the program and coordination processes. It should identify outcomes or achievements expected, and exactly how the applicant will be able to measure them.
- (3) The proposal clearly delineates the timing and duration of project activities laying out in detail project activities versus time frame and indicating major milestones.
- (4) The proposal defines the nature and level of specific resources needed to carry out project activities, and explains where these inputs are expected to come from. To the extent the linkage anticipates involving other institutions and organizations as participants and/or contributors, the plan for obtaining their participation and the nature of that participation should be outlined.
- (5) The proposal indicates which individuals and departments will be responsible for what functions, and the nature and level of staff support which will be available from other parts of the institution. It sets out the division of responsibility among various parts of the linked institutions, as well as assuring a level of effort which seems sufficient to carry out the work described.
- (6) The proposal provides sufficient information concerning the person designated to head the project to verify that this person is qualified.
- (7) The proposal presents a well-developed, time-phased work plan for project implementation, articulating in calendar format the major linkage actions and anticipated accomplishments.
- (8) The proposal has the concurrence of all partners.

**25 Pts c. Monitoring and Evaluation:**

- (1) The indicators which the applicant has formulated to assess project performance are described in sufficiently measurable terms and seem appropriate and adequate to make determinations about progress toward attainment of project objectives.
- (2) The proposal adequately defines quantitative and qualitative criteria the applicant intends to use to judge the success of the project and these criteria seem to be appropriate in terms of project activities.
- (3) The proposal demonstrates that provision for monitoring and evaluation has been factored into the project design and the project calendar in a manner adequate to carry out those functions, that the methodology proposed is deemed appropriate for the type and level of activity involved in this project, and that the applicant has allocated sufficient resources to execute the evaluation plan.

**60 Pts. d. Sustainability:**

- (l) The proposal demonstrates understanding for the need of sustainability beyond A.I.D. funding by including specific plans for actions such as:
- (a) Planning for early involvement of multiple outside funding sources, e.g, foundations;
  - (b) Forming collaborative projects with the private sector and NGOs;
  - (c) Leveraging and linking with other sources of funds including other grants;
  - (d) Stakeholders are involved from the beginning (with annual meetings) and outputs (benefits) are valued by both institutions;
  - (e) Networking with alumni associations, private sectors, and informal sectors; and,
  - (f) Gaining expertise in grantsmanship.

**40 Pts. e. Cost Evaluation Criteria:**

**10 pts** (l) Costs will be evaluated for general reasonableness, availability and the degree to which financial resources of the proposed linkage are directed to support the principal objectives and activities. A significant proportion of funds will be used by the developing country institution in the implementation of joint plans. Budget format and financial information are given in RFA.

**30 Pts.** **Amount of Cost-Sharing (non-federal funds)**

- (2) The amount of cost-sharing will be evaluated by A.I.D. and considered by the Peer Review panels. The cost application among acceptable applicants, which has the highest amount of cost-sharing contributions, shall become the standard against which other cost application among all acceptable applicants will be judged. For example: The cost application among acceptable applicants with the highest amount of cost-sharing contributions contains \$0.5 million in contributions. A second cost application contains \$0.2 million in contributions.

**Amount of Highest Contribution**                      **\$0.5 million**    = **Score** = **1.00**

**Amount of Contributions by Second Applicant Divided by Highest Contribution**                      **\$0.2 million**  
\_\_\_\_\_                      = **0.40**  
**\$0.5 million**

Each applicant's score is then multiplied by 30 points. Therefore, the applicant with the highest contribution would receive 30 points; the second applicant would receive 12 points.

**AGENCY FOR INTERNATIONAL DEVELOPMENT  
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM  
GUIDELINES FOR PRE-PROPOSALS**

**You are required to submit a pre-proposal for consideration by A.I.D. Pre-proposals found to be acceptable will qualify the proposer to submit a full proposal. Please read carefully the grant conditions for eligibility and awards, and selection criteria for the full proposals.**

**Pre-proposals should be indicative of concepts that will be more fully elaborated upon in full proposals and evaluated by selection criteria.**

**All pre-proposals will be subject to review by appropriate U.S.A.I.D. missions or regional office for consistency with U.S. national interests for that country.**

**Pre-proposals should contain the following information and in the following format:**

- 1. Maximum length may not exceed 4 single-spaced pages, excluding Face Sheet, Summary Institutional Profiles, institution concurrences, and a Workplan. (see below). Please do not append or attach other information.**
- 2. Lead institution must complete a Face Sheet (form attached).**
- 3. For each participating institution, please submit written evidence of their commitment to proposed linkage.**
- 4. Complete a Summary Institutional Profile for each participating institution (form attached).**
- 5. Describe the linkage relationship(s) that you are proposing. In a workplan format, please outline your proposed objectives, activities, implementation plans and anticipated outcomes or accomplishments. An example of a workplan is attached. You may, in addition, wish to refer to sections on the Linkage and Selection Criteria for background.**

6. Please provide brief answers to the following questions (by topic reference):

A. Benefit:

How will the end products of the proposed linkage and identified area(s) of interest increase the U.S. institution's internationalization progress?

How will the proposed linkage increase the capacity of the developing country institution to meet its community/societal needs?.

B. Rationale:

What will the developmental impact of this linkage be over time?

C. Sustainability:

How will the proposed linkage be sustained beyond five years?

**AGENCY FOR INTERNATIONAL DEVELOPMENT  
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM  
FACE SHEET**

**Lead Institution:**

**Contact Person:**

**Address:**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Tel:** \_\_\_\_\_

**Fax:** \_\_\_\_\_

---

**Linkage Project/Title (one sentence):**

**Linkage Project Summary: (Limit to 50 words).**

**Geographic Concentration:  
(of project activities)**

**Participating Institution(s):**

**Signature of university official authorized to commit university**

**Position:**

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**SUMMARY  
INSTITUTIONAL PROFILE\*  
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM**

(Please complete for each participating institutions)

**Institution:** \_\_\_\_\_ **Tel:** \_\_\_\_\_ **Date** \_\_\_\_\_

**Fax:** \_\_\_\_\_

**Address:**

**Name of Contact Person:**

**Number of Faculty:** \_\_\_\_\_

**Number of Students:** \_\_\_\_\_ **Full time:** \_\_\_\_\_ **Part time:** \_\_\_\_\_

**Graduate:** \_\_\_\_\_ **Undergraduate:** \_\_\_\_\_

**Number of Foreign Students:** **Graduate:** \_\_\_\_\_ **Undergraduate:** \_\_\_\_\_

**Number of full-time Students Studying Abroad** \_\_\_\_\_

**Profile:** [Public, private, for-profit, not-for-profit]  
[Organized relationships within governments, if any]  
[Principal purposes of institution/organization]

**Principal Colleges:**

**Schools:**

**Institutes:**

**Approximate Amount of Grant/Contract Support Received for Last Year:**

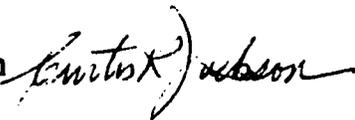
**Domestic Activities:** \_\_\_\_\_

**Foreign Activities:** \_\_\_\_\_

**\*This information is being collected for statistical analysis and to develop institutional data bases and will not be used as a part of the proposal evaluation process.**

AGENCY FOR INTERNATIONAL DEVELOPMENT  
WASHINGTON, D.C. 20523

**ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR  
SCIENCE AND TECHNOLOGY**

From: S&T/RUR Curtis R. Jackson   
Subject: Authorization of the University Development Linkages Project (936-5063)

**PROBLEM:** Your authorization is requested to initiate a new, centrally-funded project "University Development Linkages" in the amount of \$40,840,000 to be funded from the Agriculture, Rural Development and Nutrition (ARDN) [Section 103]; Health (HE) [Section 104] (c)(1); Private Sector, Environment and Energy (PSEE) [Section 106]; Education (ED) [Section 105]; Child Survival (CS) [Section 104 (c)(2)]; Population (POP) [Section 104 (b)]; AIDS (DG) [Section 104]; Economic Support Fund (ESF) [Section 531]; Development Fund for Africa (DFA) [Section 496]; and Assistance for Eastern Europe (or comparable authorization/appropriation in the year in which assistance is provided). The initial obligation year is FY 1991; the final obligation year is 1999; the PACD is 9/30/00.

**DISCUSSION:** This project provides U.S. universities with a method to use and expand their international development expertise by collaborating with developing country institutions to address specific, or shared, development problems. Some illustrative topics for mutually beneficial collaboration include: 1) identifying and solving specific country and regional research problems through host country and U.S. university collaboration; 2) improving curricula, organizational structures, and research and teaching methodologies; 3) improving faculty revitalization through wider contact among academic communities; 4) fostering collaborative development of training courses and extension programs; 5) initiating surveys and pilot programs; and 6) increasing interest and experience of U.S. university faculty in developing country issues which relate both to A.I.D.'s development mandate and which complement the international programs of the U.S. universities. Collaboration will include network approaches.

The goal is for developing country colleges and universities to effectively meet the development needs of their societies. The Purpose is to encourage sustainable collaboration between U.S. colleges and universities and developing country colleges and universities to 1) strengthen developing country institutions, and 2) further the internationalization objectives of U.S. universities. Substantial project development and communication among U.S. and developing country universities, A.I.D., and USAID's have created a doable, workable project to expand and to institutionalize university linkages. To the maximum extent possible universities will be able to select the activities on which they wish to focus. Coordination will be through the Center for University Cooperation in Development.

### Project Data

The initial obligation year is FY 1991, and it is planned that a total of \$1,710,000 of central funds will be obligated the first year. Total LOP funding is \$40,840,000. The final year of obligation is FY 1999, and the PACD is FY 2000. The linkage sub-projects to be funded will be varied in activities and multi-sectoral. For this reason, a large number of accounts are recommended to be authorized.

In addition to the amount authorized above, an estimated \$5,500,000 may be contributed to this project by Missions, Regional Bureaus, and other offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF), the Development Fund for Africa (DFA), assistance for Eastern Europe, as well as the accounts authorized for S&T funding under this project.

Also, an estimated \$43,000,000 will be contributed to this project in cost-sharing funds by universities and other participants.

### Project Issues

The design of this project incorporates suggestions and a consensus of ideas from representatives of over 150 U.S. public and private universities and colleges who met in a series of three regional workshops in the Fall of 1990. In addition, representatives of offices in the S&T, AFR, APRE, ENE, and LAC bureaus and SER/OP met three times to make suggestions for design issues. Also, representatives of USIA, NSF, Peace Corps, and the Department of Education have had an opportunity to comment on the project design. Through a series of public addresses, the membership of NASULGC, AASCU, NAFEO, and AACJC have been made aware of the project concept.

### Special Interest in the Project

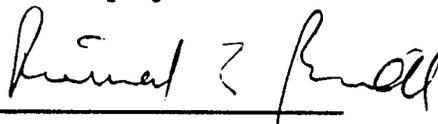
This project has generated a large amount of interest in the U.S. university and college community.

**SECTOR COUNCIL REVIEW:** The Health Sector Council and the STAG have reviewed the early versions of the project paper. Other Sector Councils have been invited to review the project. All have had an opportunity to comment. The reservations of the AFR, APRE, and LAC members relating to the importance of involving developing country institutional collaborators in linkage design have been addressed as far as possible.

**CONGRESSIONAL JUSTIFICATION:** A substantive Congressional notification is being prepared.

**PROCUREMENT PLAN AND BUDGET:** The project will be implemented by competitively chosen Cooperative Agreements in FY 1991. Historically Black Colleges and Universities will be provided with a reserved portion of each year's total funds for competition among themselves. They will, in addition, be eligible for non-reserved funds. The FY 1991 OYB has \$1,710,000 to initiate the project. The FY 1992 CP has programmed \$3,295,000.

**RECOMMENDATION:** That you sign the attached project authorization and approve the project.

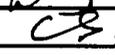
Approve 

Disapprove \_\_\_\_\_

1/16/91  
Date

**Clearances:**

S&T/PO: DSheldon  Date 1/14/91

GC: CStephenson  Date 1/15/91

**Attachments**

- Project Data Sheet
- Project Authorization
- Project Paper

JUN 13 1990

ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR, S&T

FROM: S&T/RUR, Curtis R. Jackson

SUBJECT: Authority to Proceed with Design of RUR's U.S. University Development Linkage Project, 936-5063

Problem: Need your approval to move ahead to prepare the project paper.

Discussion: The concepts of the proposed projects have been discussed in this office and with Brad Langmaid for about six months. The project represents a problem-oriented way to engage U.S. universities in their areas of maximum strength: university management and organization, faculty development, and conduct and organization of teaching, research, extension and public service.

The S&T Program Office has reviewed this PID and made valuable suggestions (Attachment 1). If you approve this document (Attachment 2), we will seek the comments of regional bureaus and a sampling of missions to get their ideas which can be incorporated in the project paper. Prior to the project paper completion, we will solicit the ideas of BIFAD and a representative group of U.S. university faculty and administrators.

This proposed project will support a variety of sub-projects, each of which will reflect a unique set of activities and objectives. For this reason, the PID cannot and does not specify the nature and balance of objectives to be undertaken.

The project guideline elements of geographic priority, subject matter interest, quality of LDC institutions for possible linkages, proposal processing, peer review selection process, and biennial reviews of progress will be thoroughly developed in the project paper.

Recommendation: That you approve this Project Identification Document and allow us to proceed with the project design.

Approve Be Russell

Disapprove \_\_\_\_\_

Date 6/14/90

Attachments:

- 1. Memo S&T/PO/S&T/RUR
- 2. Project Identification Document

S&T/RUR:CRJackson:mj:5/24/90:5-4005:W-7523Z  
Rev. S&T/RUR:CRJackson:6/13/90

Clearance:  
S&T/PO:DSheldon W Date \_\_\_\_\_  
S&T:BLangmaid BL Date \_\_\_\_\_

## University Development Linkages Project

U.S. universities are one of the most effective resources available to the U.S. foreign assistance program. It is in the national interest of the United States to establish and maintain sustainable working relationships between U.S. and less developed country (LDC) universities in developmentally relevant fields of endeavor.

Economic and social development occurs mainly through the growth and development of institutions. Universities, in particular, should be engines of growth, as they educate future leaders and learn through research to adapt technology from others. Many LDC institutions, because of the lack of resources and the low priorities sometimes given to education in LDCs, are isolated from the world academic community and, instead of leading the development effort in their countries, have little effect on it. Universities and scholarly institutions are particularly interested and competent in collegial, collaborative relationships between their faculties and the faculties of other institutions. Many developing country institutions have an increasing number of well-educated, competent professionals, but this resource may not translate into the achievement of the full potential of the institution due to weaknesses in organization, management, outmoded methodologies, academic isolation and declining public support.

The goal of the project is for LDC research and education institutions of higher learning to effectively meet development needs of their societies. The project purpose is to support U.S. university collaboration with LDC research and education institutions to 1) further the internationalization objectives of U.S. universities and 2) strengthen LDC institutions.

This project will provide a method by which U.S. universities may develop and implement a variety of long-term relationships with LDC institutions. The results of these relationships will be research, training, and technical assistance accomplishments.

This project will be open to all U.S. public and private universities in all sectors of international development of interest to A.I.D. Funding from A.I.D. will be limited to one-half or less of the funds required for the proposed activities. A.I.D. funding will not exceed approximately \$100,000 per year for a maximum of five years. Sub-projects will involve collaboration with one or more LDC institutions (broadly defined as LDC universities, institutes and research or training entities). All sub-projects must be based on implementation of one or more specific, well-defined objectives with time-limited accomplishments defined for each objective (log-frame required for each proposal).

The proposed project will be for five years, beginning in FY1991, with the option for renewal for an additional similar period. Of the funds provided for this project, a percentage, to be determined annually, will be set aside for funding linkage proposals from any HBCU. HBCUs thus will compete only among themselves for this set-aside. Proposals from HBCUs may include cooperative participation of non-HBCUs. A matching requirement of one-to-one will be used. In addition, HBCUs will be fully eligible to compete for the non-set aside funds in this project.

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## PROJECT AUTHORIZATION

**Country/Entity:** Worldwide  
**Name of Project:** University Development Linkages  
**Number of Project:** 936-5063

1. **Pursuant to Sections:** Agriculture, Rural Development and Nutrition (ARDN) [Section 103]; Health (HE) [Section 104] (c)(1); Private Sector, Environment and Energy (PSEE) [Section 106]; Education (ED) [Section 105]; Child Survival (CS) [Section 104 (c)(2)]; Population (POP) [Section 104 (b)]; AIDS, (DG) [Section 104]; Economic Support Fund (ESF) [Section 531]; Development Fund for Africa (DFA) [Section 496]; and, Assistance for Eastern Europe (or comparable authorization/appropriation in the year in which assistance is provided) of the Foreign Assistance Act of 1961, as amended, I hereby authorize the University Development Linkages project involving planned obligations of not to exceed \$40,840,000 in grant funds from the accounts listed above in this paragraph, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process.

The initial obligation year for the project is FY 1991, the final obligation year is FY 1999, and the PACD is 9/30/00.

In addition to the amounts authorized above, an estimated \$5,500,000 may be contributed to the project by Missions, Regional Bureaus, and other offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF), the Development Fund for Africa (DFA), or Assistance for Eastern Europe, as well as from the accounts authorized for S&T funding under this project.

2. **Project Purpose:** The project purpose is to encourage sustainable collaboration between and among U.S. colleges and universities and developing country colleges and universities to 1) strengthen developing country institutions, and 2) further the internationalization objectives of U.S. universities.

The project will provide U.S. universities with a method to increase and broaden their international development expertise by collaborating with developing country institutions to address specific country or regional development problems.

3. Agreements: The agreements which may be negotiated and executed by the officer(s) to whom such authority is delegated in accordance with A.I.D. regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

4. Source and Origin of Commodities, Nationality of Services: Commodities financed by A.I.D. under the project shall have their source and origin in the "cooperating country" or the United States, except as A.I.D. may otherwise agree in writing. (Each country in which research, training, or technical or other assistance takes place under the project shall be considered a "cooperating country.") Except for ocean shipping, the suppliers of commodities or services shall have the cooperating country or the United States as their place or nationality, except as A.I.D. may otherwise agree in writing.

Ocean shipping financed by A.I.D. under the project shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States.

Signature: Richard E. Bissell

Richard E. Bissell

Assistant Administrator for  
Science and Technology

Date: 1/16/91

Clearances:

S&T/PO: DSheldon DS Date 1/14/91

GC: CStephenson CS Date 1/15/91

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