



U.S. AGENCY FOR
INTERNATIONAL
DEVELOPMENT

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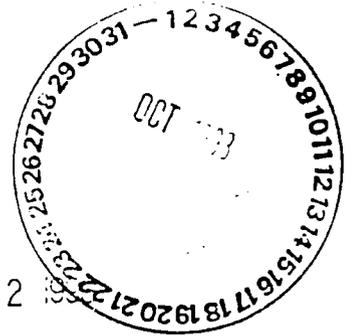
NOV 22 1993

The University of Connecticut

Section

10-1-1993

SEP 22 1993



Graduate School
Office of the Dean

Dr. Thomas G. Giolas
Dean, Graduate School
Director, Research Foundation
University of Connecticut
Storrs, Connecticut 06269

SUBJECT: Cooperative Agreement No. PCE-5063-A-00-3037-00

Dear Dr. Giolas:

Pursuant to the authority contained in the Foreign Assistance Act of 1961 and the Federal Grant and Cooperative Agreement Act of 1982, as amended, the Agency for International Development (hereinafter referred to as "A.I.D.") hereby provides to the University of Connecticut (hereinafter referred to as "Connecticut" or "Recipient") the sum set forth in Section 1C.2. of Attachment 1 of this Cooperative Agreement to provide financial support for the program described in Attachment 2 of this Cooperative Agreement entitled "Program Description."

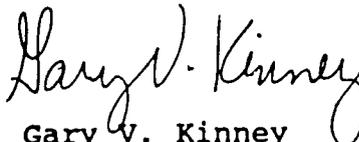
This Cooperative Agreement is effective as of the date of this letter and funds obligated hereunder shall be used to reimburse the Recipient for allowable program expenditures for the period set forth in Section 1B. of Attachment 1 of this Cooperative Agreement.

The total estimated amount of this Cooperative Agreement is the amount set forth in Section 1C.1. of Attachment 1, of which the amount set forth in Section 1C.2. is hereby obligated. A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount. However, subject to Section 1C.4. of Attachment 1, additional funds may be obligated by A.I.D. until such time as the obligated amount may equal the total estimated amount of this Cooperative Agreement.

This Cooperative Agreement is made to the Recipient on the condition that the funds will be administered in accordance with the terms and conditions as set forth in the attachments listed under my signature below, which together constitute the entire Cooperative Agreement document and have been agreed to by your organization.

Please acknowledge receipt and acceptance of this Cooperative Agreement by signing all copies of this Cover Letter, retaining one copy for your files, and returning the remaining copies to the undersigned.

Sincerely,



Gary V. Kinney
Agreement Officer
Chief, FA/OP/B/PCE Branch
Office of Procurement

Attachments:

1. Schedule
2. Program Description
- ~~3. Standard Provisions~~
- ~~4. Special Provision entitled "Restrictions on Lobbying"~~
5. A.I.D. Eligibility Rules (total procurement value > \$250K)

ACKNOWLEDGED:

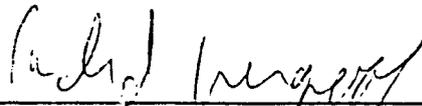
UNIVERSITY OF CONNECTICUT

BY: 

TYPED NAME: Fred Maryanski

TITLE: Associate Provost

DATE: _____



Richard Vergroff, Dean
Division of International Affairs

of program objectives, program priorities at the time, and the requirements of the Standard Provisions of this Cooperative Agreement entitled "Revision of Grant Budget" and "Cost Sharing (Matching)," as set forth in Attachment 3.

1C.5. The total estimated amount of the program described in Attachment 2 of this Cooperative Agreement is \$1,176,463, of which A.I.D. may provide the amount specified in Section 1C.1. above, and the Recipient and/or others will provide \$676,740 in accordance with Sections 1D.2. and 1L. below.

1E. COOPERATIVE AGREEMENT BUDGET

1D.1. The following is the Budget for the total estimated amount of this Cooperative Agreement (see Section 1C.1. above) for its full period (see Section 1B. above). The Recipient may not exceed the total estimated amount or the obligated amount of this Cooperative Agreement, whichever is less (see Sections 1C.1. and 1C.2., respectively, above). Except as specified in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget," as shown in Attachment 3, the Recipient may adjust line item amounts within the budget for each objective and between objectives as may be reasonably necessary for the attainment of program objectives. The Recipient shall notify the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement of such adjustments by providing five (5) copies of a revised budget (following the form of section 1D.2. below) and a brief explanation of the reason for the adjustment and any impact on program objectives. Revisions to the budget must be in accordance with Section 1C. above and the Standard Provisions entitled "Revision of Grant Budget" and "Cost Sharing (Matching)."

FISCAL DATA

A. GENERAL

A.1. Total Estimated A.I.D. Amount: \$499,723
A.2. Total Obligated A.I.D. Amount: \$100,000
A.3. Cost-Sharing Amount: \$676,740
A.4. Other Federal (non-A.I.D.) Amount: \$ N/A
A.5. Project No.: 936-5063
A.6. A.I.D. Project Office: R&D/UC, R. Frischer
A.7. Funding Source: A.I.D./W
A.8. Tax I.D. No.: 1060772160A1
A.9. DUNS No.: 004534830
A.10. LOC No.: 72-00-1673

B. SPECIFIC

B.1.(a) PIO/T No.: 936-5063-3692925
B.1.(b) Appropriation: 72-1131021.1
B.1.(c) Allotment: 341-36-099-00-20-31
B.1.(d) BPC: DDVA-93-16900-KG11
B.1.(e) Amount: \$100,000

ATTACHMENT 1

SCHEDULE

1A. PURPOSE OF COOPERATIVE AGREEMENT

The purpose of this Cooperative Agreement is to provide financial support for the program described in Attachment 2 of this Cooperative Agreement entitled "Program Description."

1B. PERIOD OF COOPERATIVE AGREEMENT

The effective date of this Cooperative Agreement is the date of the Cover Letter and the estimated completion date is September 29, 1998. Funds obligated hereunder (see Section 1C.2. below) shall be used to reimburse the Recipient for allowable program expenditures incurred by the Recipient in pursuit of program objectives at any time during the period beginning on the effective date of this Cooperative Agreement and ending on the estimated completion date. However, because this Cooperative Agreement is incrementally funded (see Section 1C.4. below), funds obligated hereunder are only anticipated to be sufficient for program expenditures through September 29, 1994.

1C. AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT

1C.1. The total estimated amount of this Cooperative Agreement for its full period, as set forth in Section 1B. above, is \$499,723.

1C.2. A.I.D. hereby obligates the amount of \$100,000 as partial funding of the total estimated amount set forth in Section 1C.1. above for program expenditures during the indicated period set forth in Section 1B. above. Notwithstanding said total estimated amount, A.I.D. shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount, except as specified in paragraph (f) of the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget" (see also Section 1C.4. below).

1C.3. Payment shall be made to the Recipient in accordance with procedures set forth in the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit," as shown in Attachment 3.

1C.4. As indicated in Section 1C.2. above, this Cooperative Agreement is partially funded. Until such time as the obligated amount (see Section 1C.2. above) shall equal the total estimated amount (see Section 1C.1. above) of this Cooperative Agreement, additional increments of funds may be obligated by A.I.D. under this Cooperative Agreement (by a Cooperative Agreement modification), subject to availability of funds, possible evaluation of the program, sufficient progress toward attainment

of program objectives, program priorities at the time, and the requirements of the Standard Provisions of this Cooperative Agreement entitled "Revision of Grant Budget" and "Cost Sharing (Matching)," as set forth in Attachment 3.

1C.5. The total estimated amount of the program described in Attachment 2 of this Cooperative Agreement is \$1,176,463, of which A.I.D. may provide the amount specified in Section 1C.1. above, and the Recipient and/or others will provide \$676,740 in accordance with Sections 1D.2. and 1L. below.

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1D.2. Budget

OBJECTIVE 1: Decentralization/Governance

<u>Cost Element</u>	<u>A.I.D.</u>	<u>Recipient/ Others (Non-Federal)</u>	<u>Recipient/ Others (Federal)</u>	<u>Total</u>
Salaries & Wages	\$ - 0 -	\$ 92,403	\$ - 0 -	\$ 92,403
Fringe Benefits	- 0 -	34,882	- 0 -	34,882
Indirect Costs	- 0 -	42,788	- 0 -	42,788
Consultants	- 0 -	- 0 -	- 0 -	- 0 -
Travel, Transportation & Per Diem	83,770	- 0 -	- 0 -	83,770
Nonexpendable Equipment	- 0 -	- 0 -	- 0 -	- 0 -
Participant Training	- 0 -	- 0 -	- 0 -	- 0 -
Other Direct Costs	35,028	25,671	- 0 -	60,699
Subcontracts/ Subagreements	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>
SUBTOTAL	\$118,798	\$ 195,744	\$ - 0 -	\$ 314,542

Sandy Schulte 10/28/93

 Sandy Schulte, Assistant Dean for Research Administration

OBJECTIVE 2: Women in Development

<u>Cost Element</u>	<u>A.I.D.</u>	<u>Recipient/ Others (Non-Federal)</u>	<u>Recipient/ Others (Federal)</u>	<u>Total</u>
Salaries & Wages	\$ - 0 -	\$ 55,127	\$ - 0 -	\$ 55,127
Fringe Benefits	- 0 -	16,594	- 0 -	16,594
Indirect Costs	- 0 -	44,677	- 0 -	44,677
Consultants	- 0 -	- 0 -	- 0 -	- 0 -
Travel, Transportation & Per Diem	57,687	- 0 -	- 0 -	57,687
Nonexpendable Equipment	- 0 -	- 0 -	- 0 -	- 0 -
Participant Training	- 0 -	- 0 -	- 0 -	- 0 -
Other Direct Costs	61,134	54,635	- 0 -	115,769
Subcontracts/ Subagreements	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>
SUBTOTAL	\$118,821	\$ 171,033	\$ - 0 -	\$ 289,854

Sandy Schulte 10/28/93

 Sandy Schulte, Assistant Dean For Research Administration

OBJECTIVE 3: Ag. Business

<u>Cost Element</u>	<u>A.I.D.</u>	<u>Recipient/ Others (Non-Federal)</u>	<u>Recipient/ Others (Federal)</u>	<u>Total</u>
Salaries & Wages	\$ - 0 -	\$ 71,355	- 0 -	\$ 71,355
Fringe Benefits	- 0 -	20,114	- 0 -	20,114
Indirect Costs	- 0 -	51,499	- 0 -	51,499
Consultants	- 0 -	- 0 -	- 0 -	- 0 -
Travel, Transportation & Per Diem	83,437	- 0 -	- 0 -	83,437
Nonexpendable Equipment		- 0 -	- 0 -	
Participant Training	- 0 -	- 0 -	- 0 -	- 0 -
Other Direct Costs	53,528	25,671	- 0 -	79,199
Subcontracts/ Subagreements	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>
 SUBTOTAL	 \$136,965	 \$ 168,639	 \$ - 0 -	 \$ 305,604

Sandy Schulte 10/28/93

Sandy Schulte, Assistant Dean For Research Administration

OBJECTIVE 4: Adult Learning

<u>Cost Element</u>	<u>A.I.D.</u>	<u>Recipient/ Others (Non-Federal)</u>	<u>Recipient/ Others (Federal)</u>	<u>Total</u>
Salaries & Wages	\$ - 0 -	\$ 53,608	- 0 -	\$ 53,608
Fringe Benefits	- 0 -	15,380	- 0 -	15,380
Indirect Costs	- 0 -	47,052	- 0 -	47,052
Consultants	- 0 -	- 0 -	- 0 -	- 0 -
Travel, Transportation & Per Diem	68,704	- 0 -	- 0 -	68,704
Nonexpendable Equipment	- 0 -	- 0 -	- 0 -	- 0 -
Participant Training	- 0 -	- 0 -	- 0 -	- 0 -
Other Direct Costs	56,435	25,284	- 0 -	81,719
Subcontracts/ Subagreements	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>	<u>- 0 -</u>
SUBTOTAL	\$125,139	\$141,324	\$ - 0 -	\$ 266,463
TOTAL ESTIMATED COST	\$499,723	\$676,740	\$ - 0 -	\$1,176,463

Sandy Schulte 10/28/93

Sandy Schulte, Assistant Dean for Research Administration

1D.3. Inclusion of any cost in the budget of this Cooperative Agreement does not obviate the requirement for prior approval by the Agreement Officer of cost items designated as requiring prior approval by the applicable cost principles (see the Standard Provision of this Cooperative Agreement set forth in Attachment 3 entitled "Allowable Costs") and other terms and conditions of this Cooperative Agreement, unless specifically stated in Section 1I. below.

1E. REPORTING

1E.1. Financial Reporting

1E.1.(a) Financial reporting requirements shall be in accordance with the Standard Provision of this Cooperative Agreement entitled "Payment - Letter of Credit," as shown in Attachment 3. The "Long Form" version of the Financial Status Report (Standard Form 269 dated 4/88) shall be utilized.

1E.1.(b) All financial reports shall be submitted to A.I.D., Office of Financial Management, FA/FM/CMPD/DCB, Room 700 SA-2, Washington, D.C. 20523-0209. In addition, three copies of all financial reports shall be submitted to the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement, concurrently with submission of the Quarterly Technical Reports (See Section 1E.2. below).

1E.1.(c) The frequency of financial reporting and the due dates of reports shall be as specified in the Standard Provision of this Cooperative Agreement referred to in Section 1E.1.(a) above.

1E.1.(d) The Recipient's financial reports shall include expenditures of A.I.D. Cooperative Agreement funds provided hereunder, as well as non-federal matching funds and other federal (non-A.I.D.) funds in accordance with Section 1L. below.

1E.2. Program Performance Planning and Reporting

1E.2.(a) Project Implementation Plan

Not later than ninety (90) days from the effective date of this Cooperative Agreement (see Section 1B. above), the Recipient shall prepare and submit to the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement five (5) copies of a project implementation plan, in a Gantt Chart format, covering the full term of this Cooperative Agreement.

1E.2.(b) Annual Workplans

1E.2.(b)(1) The Recipient shall submit annual workplans for this Cooperative Agreement. Each annual workplan shall contain the following:

1E.2.(b)(1)(A) An action-oriented workplan describing planned activities for each linkage objective during the next year, delineated by calendar quarter, and tied to the project goals and objectives, which describes and quantifies the individuals to be involved, the activities to be conducted, and where and when they will be conducted. Planned activities shall be grouped by and related to project objectives;

1E.2.(b)(1)(B) A projected budget, utilizing the same budget line items as are set forth in the budget of this Cooperative Agreement, for each half-year, corresponding to the workplan, using a computer spreadsheet template provided on diskette by the A.I.D. Project Officer; and

1E.2.(b)(1)(C) Publications, reports, workshops, seminars, and other information dissemination activities planned, by calendar quarter.

1E.2.(b)(2) The Recipient may develop the annual workplans in consultation with the A.I.D. Project Officer for this Cooperative Agreement.

1E.2.(b)(3) Five (5) copies of each annual workplan will be submitted to the designated A.I.D. Project Officer for this Cooperative Agreement and one copy submitted to the Agreement Officer. One diskette copy of the workplan budget will also be submitted to the A.I.D. Project Officer. The first annual workplan covering the first year of this Cooperative Agreement shall be submitted by the Recipient not later than ninety (90) days from the effective date of this Cooperative Agreement (see Section 1B. above). Thereafter, the annual workplan for each successive year of this Cooperative Agreement shall be submitted by the Recipient not later than July 30 of each year.

1E.2.(c) Quarterly Reports

1E.2.(c)(1) The Recipient shall submit five (5) copies of brief quarterly program performance reports, which coincide with the financial reporting periods described in Section 1E.1. above, to the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement. In addition, two copies shall be submitted to A.I.D., POL/CDIE/DI, Washington, DC 20523-1802. These reports shall be submitted at the same time the financial reports are submitted (within 30 days following the end of the reporting period), and shall briefly present the following information:

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1E.2.(c)(1) A statement of accomplishments and a comparison of those accomplishments with the objectives and activities established for the reporting period in the Annual Workplan;

1E.2.(c)(2) A description of any problems or barriers affecting the accomplishment of established objectives and activities, if applicable; and

1E.2.(c)(3) Any other pertinent information.

1E.2.(c)(4) Five (5) printed copies and one diskette copy of expenditure information shall be submitted semiannually to the A.I.D. Project Officer in conjunction with the second Quarterly Report and the Annual Activity Report (see section 1E.2.[d] below), detailing the status of expenditures for each specific linkage objective, utilizing a computer spreadsheet template provided by the A.I.D. Project Officer, and, when appropriate, analysis and explanation of expenditures which differ significantly from those projected in the Annual Workplan budget.

1E.2.(c)(5) The Annual Activity Report (see section 1E.2.[d] below) will be submitted in place of the fourth quarterly report each year.

1E.2.(d) Annual Activity Reports

Within thirty (30) days following the annual anniversary date of this Cooperative Agreement, the Recipient shall submit to the A.I.D. Project Officer specified in the cover letter of this Cooperative Agreement five (5) copies of an annual activity report. In addition, two copies shall be submitted to A.I.D., POL/CDIE/DI, Washington, DC 20523-1802. This report shall include the following:

- a description of the past year's activities under each linkage objective;
- a description of progress toward the completion of each linkage objective;
- a description of any problems or barriers affecting the progress toward achieving the linkage objectives;
- a description of progress toward ensuring the sustainability of the linkage;
- quantitative outputs of the linkage activities;
- an assessment of the impact of the linkage on internationalization of the Recipient institution and any U.S. linkage partners;
- an assessment of the impact of the linkage on strengthening each developing country linkage partner institution's capabilities to meet its societal development needs; and

- a statement satisfying the requirements of 1I.6.(b) below.

The Annual Activity Report shall also include a semiannual expenditure report described in 1E.2.(c)(4) above.

1E.2.(e) Special Reports

Between the required program performance reporting dates, events may occur that have significant impact upon the program. In such instances, the Recipient shall inform the A.I.D. Project Officer as soon as the following types of conditions become known:

1E.2.(e)(1) Problems, delays, or adverse conditions that will materially affect the ability to attain program objectives, prevent the meeting of time schedules and goals, or preclude the attainment of work units by established time periods. This disclosure shall be accompanied by a statement of the action taken, or contemplated, and any A.I.D. assistance needed to resolve the situation.

1E.2.(e)(2) Favorable developments or events that enable time schedules to be met sooner than anticipated or more work units to be produced than originally projected.

1E.2.(e)(3) If any performance review conducted by the Recipient discloses the need for change in the budget estimates in accordance with the criteria established in the Standard Provision of this Cooperative Agreement entitled "Revision of Grant Budget," the Recipient shall submit a request for budget revision to the Agreement Officer and the A.I.D. Project Officer specified in the Cover Letter of this Cooperative Agreement.

1E.2.(f) Technical and Research Reports and Publications

The Recipient shall summarize technical and research activities of the project in reports, and distribute such reports to the appropriate USAID Missions, LDCs, and host country and international institutions in order to encourage use of the technology developed. Such reports will be completed within 60 days after completion of the activity. Journal articles and other publications are encouraged. See also Section 1I. of this Cooperative Agreement pertaining to publications.

1E.2.(g) Environmental Impact

If it appears that outputs of this project will result in an adverse environmental impact, the Recipient shall notify the A.I.D. Project Officer prior to implementation, in order to allow for orderly preparation of an environmental impact

statement. The Recipient shall assure that appropriate U.S. Government and/or host country procedures are followed.

1E.2.(h) Trip Reports

Within 30 days following the completion of each international trip, including trips to the United States by personnel of the Recipient's linkage partner institution, the Recipient shall submit 3 copies of a trip report summarizing the accomplishments of the trip to the A.I.D. Project Officer specified in the cover letter of this Cooperative Agreement. If several individuals are travelling together to one site, a single report representing the group will suffice. The report shall include the purpose of the trip in terms of specific linkage objectives, accomplishments, any problems encountered, and a list of persons visited with their title and organizational affiliation.

1E.2.(i) Training Reports

1E.2.(i)(1) If participant training is conducted under this Cooperative Agreement (see the Standard Provision set forth in Attachment 3 entitled "Participant Training"), the Recipient shall comply with reporting and information requirements of said Standard Provision, as well as Chapters 5 and 24 of A.I.D. Handbook 10.

1E.2.(i)(2) The Recipient shall also provide five (5) copies of quarterly training reports to the A.I.D. Project Officer, covering this Cooperative Agreement. The report shall include the following information:

- Total number of new trainees during the period; and
- The following information for each LDC trainee:
 - name
 - citizenship
 - gender
 - training site
 - beginning and ending dates of training
 - purpose of training
 - type of training activities
 - source of funding

1E.2.(i)(3) The Recipient shall provide two (2) copies of all training manuals produced under this Cooperative Agreement to the A.I.D. Project Officer.

1E.2.(j) Care of Laboratory Animals

If the Standard Provision entitled "Care of Laboratory Animals" applies to this Cooperative Agreement (see Section 1K. for applicability), the Recipient shall include the certificate required by paragraph (c) of said Standard Provision in all of its reports which pertain to the use of laboratory animals.

1E.2. (k) Research Involving Recombinant DNA

If any research involving recombinant DNA is being funded hereunder, the Recipient shall comply with the reporting requirements set forth in Section 1E.2.(d) of this Cooperative Agreement.

1E.2. (l) Final Report

Within 90 days following the estimated completion date of this Cooperative Agreement (see Section 1B. above), the Recipient shall submit five (5) copies of a final report to the A.I.D. Project Office specified in the cover letter of this Cooperative Agreement. In addition, two copies shall be submitted to A.I.D., POL/CDIE/DI, Washington, DC 20523-1802. It will cover the entire period of the Cooperative Agreement and include all information shown in Sections 1E.2.(b) through 1E.2.(f) above.

1F. SUBSTANTIAL INVOLVEMENT UNDERSTANDINGS

It is understood and agreed that A.I.D. will be substantially involved during performance of this Cooperative Agreement as follows:

1F.1. Annual Workplan - The A.I.D. Project Officer will be consulted during the development of the annual workplans and have the right of final approval of all areas of the workplan where A.I.D. funds are included.

1F.2. Workplan Revisions - The A.I.D. Project Officer will be consulted and have the right of approval for revisions of the annual workplan which involves the use of A.I.D. funds.

1F.3. Field Visits - Pursuant to the standard provision of this Cooperative Agreement entitled "Air Travel and Transportation," the A.I.D. Project Officer must provide advance approval of all international travel.

1F.4. Participants - Where A.I.D. funds are used, the A.I.D. Project Officer must approve, in advance, the selection of technical trainees or scientists for participation in training activities.

1F.5. Key Personnel - The A.I.D. Project Officer must approve, in advance, the substitution of any key personnel.

1F.6. Subcontracts and Subagreements - In furtherance of Section 1D.3. above, the Agreement Officer must approve all subcontracts (see the Standard Provision entitled "Procurement of Goods and Services") and subagreements (see the Standard Provision entitled "Subagreements").

1G. PROCUREMENT AND (SUB)CONTRACTING

1G.1. Applicability

This Section 1G. applies to the procurement of goods and services by the Recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods and services (see the Standard Provisions of this Cooperative Agreement entitled "Procurement of Goods and Services" and "AID Eligibility Rules for Goods and Services"), and not to assistance provided by the Recipient (i.e., a [sub]grant or subagreement) to a subrecipient (see the Standard Provision of this Cooperative Agreement entitled "Subagreements").

1G.2. Requirements

In addition to other applicable provisions of this Cooperative Agreement, the Recipient shall comply with paragraph (b)(2) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," concerning total procurement value of more than \$250,000 under this Cooperative Agreement. Further thereto, the following is (are) the Authorized Geographic Code(s):

1G.2.(a) Authorized Geographic Codes

1G.2.(a)(1) Source, Origin, and Componentry of Goods and Commodities

1G.2.(a)(1)(A) Source, Origin, and Componentry

Except as specified in Sections 1G.2.(a)(1)(B) and 1G.2.(a)(1)(D) below, all goods/commodities shall have their source and origin in the United States or the cooperating country (defined as any country in which research, training, technical, or other assistance takes place), and shall meet A.I.D.'s componentry requirements, except as the Agreement Officer may otherwise agree in writing (see also Section 1G.2.[a][4] below).

1G.2.(a)(1)(B) Exception for Purchase/Procurement Transactions not Exceeding \$5,000

If the proposed purchase/procurement transaction does not exceed \$5,000 excluding transportation costs, paragraph (b)(1) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services" shall apply in lieu of Section 1G.2.(a)(1)(A) above.

1G.2.(a)(1)(C) Local Cost Financing

If, pursuant to Sections 1G.2.(a)(1)(A) or 1G.2.(a)(1)(B) above, the cooperating country is authorized for source and origin purposes, the Standard Provision of this Cooperative Agreement entitled "Local Cost Financing" will apply. Pursuant to said Standard Provision, indigenous goods and imported shelf items provided by local suppliers are eligible for local cost financing in quantities up to the total estimated cost of this Cooperative Agreement, subject to the restrictions stated in said Standard Provision, and Chapter 18 of Supplement B to A.I.D. Handbook 1, which, as may from time to time be amended, is incorporated herein as a part of this Cooperative Agreement by reference.

1G.2.(a)(1)(D) Restricted Goods

Notwithstanding the foregoing, the restricted goods listed in paragraph (a)(3) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," and, if applicable (see Section 1G.2.[a][1][C] above or Section 1K. below for applicability), paragraph (e) of the Standard Provision entitled "Local Cost Financing," must be specifically approved by the Agreement Officer, except to the extent that such approval may be provided in Section 1I. below.

1G.2.(a)(2) Eligibility of Commodity-Related Services

1G.2.(a)(2)(A) Ocean Transportation

The eligibility of ocean transportation services is determined by the flag registry of the vessel. Notwithstanding the Standard Provision of this Cooperative Agreement entitled "Ocean Shipment of Goods," ocean shipping financed hereunder shall, except as the Agreement Officer may otherwise agree in writing, be financed only on flag vessels of the United States (A.I.D. Geographic Code 000). If the Agreement Officer approves the use of non-U.S. flag vessels, the Standard Provision of this Cooperative Agreement entitled "Ocean Shipment of Goods" will apply. Notwithstanding any of the foregoing, commodities shipped by a transportation medium owned, operated, or under the control of any country not included in A.I.D. Geographic Code 935 (see Section 1G.2.[a][4][B] below) are ineligible for A.I.D.

financing hereunder, regardless of whether such transportation costs are financed hereunder. Moreover, commodities are ineligible for A.I.D. financing hereunder if shipped on a vessel which A.I.D. has designated as ineligible, regardless of whether such transportation costs are financed hereunder. Commodities are also ineligible for A.I.D. financing hereunder if shipped under an ocean charter that has not received prior approval of the Agreement Officer, regardless of whether such transportation costs are financed hereunder.

1G.2. (a) (2) (B) Dead Freight

Transportation costs attributable to dead freight are not eligible for A.I.D. financing.

1G.2. (a) (2) (C) Despatch and Demurrage

If the Recipient finances the delivery costs beyond the port of loading, the Recipient must refund to A.I.D. all despatch earned at the port of unloading. Demurrage costs are ineligible for A.I.D. financing.

1G.2. (a) (2) (D) Air Transportation

The eligibility of air travel and transportation services is determined by the flag registry of the aircraft. The Standard Provision of this Cooperative Agreement entitled "Air Travel and Transportation" applies. Commodities are ineligible for A.I.D. financing hereunder if shipped under an air charter that has not received prior approval of the Agreement Officer, regardless of whether such transportation costs are financed hereunder.

1G.2. (a) (2) (E) Marine Insurance

The Authorized Geographic Code for marine insurance is the same as is set forth in Section 1G.2. (a) (3) (B) below. Paragraph (c) of the Standard Provision of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services" applies. If the Cooperating Country is authorized for the placement of marine insurance but discriminates against any marine insurance company authorized to do business in any state of the United States, failure to insure all A.I.D.-financed commodities with U.S. insurance companies shall render the commodities ineligible for A.I.D. financing hereunder.

1G.2. (a) (2) (F) Other Delivery Services

No special eligibility requirements pertain to other delivery services (such as export packing, loading, commodity inspection services, and services of a freight forwarder) except that

citizens or firms of any country not included in Geographic Code 935 (see Section 1G.2.[a][4][B] below) are ineligible as suppliers of delivery services, and non-U.S. citizens lawfully admitted for permanent residence in the U.S. are eligible regardless of their citizenship.

1G.2.(a)(2)(G) Incidental Services

Incidental services are defined as installation or erection of A.I.D.-financed equipment or the training of personnel in the maintenance, operation, and use of such equipment. No special eligibility requirements pertain to incidental services except that citizens or firms of any country not included in Geographic Code 935 (see Section 1G.2.[a][4][B] below) are ineligible as suppliers of incidental services, and non-U.S. citizens lawfully admitted for permanent residence in the U.S. are eligible regardless of their citizenship.

1G.2.(a)(2)(H) Local Cost Financing

If, pursuant to this Section 1G.2.(a)(2), the cooperating country is authorized for commodity-related services, the Standard Provision of this Cooperative Agreement entitled "Local Cost Financing" will apply. Pursuant to said Standard Provision, services provided by local suppliers are eligible for local cost financing in quantities up to the total estimated cost of this Cooperative Agreement, subject to the restrictions stated in said Standard Provision, and Chapter 18 of Supplement B to A.I.D. Handbook 1, which, as may from time to time be amended, is incorporated herein as a part of this Cooperative Agreement by reference.

1G.2.(a)(3) Nationality of Supplier

1G.2.(a)(3)(A) Suppliers of Goods and Commodities

Except as specified in Section 1G.2.(a)(3)(C) below, the suppliers of goods and commodities shall have their nationality in the United States or the cooperating country, except as the Agreement Officer may otherwise agree in writing.

**1G.2.(a)(3)(B) Suppliers of Services (Other Than
Commodity-Related Services)**

Except as specified in Section 1G.2.(a)(3)(C) below, the suppliers of services (other than commodity-related services, as described in Section 1G.2.[a][2] above) shall have their nationality in the United States or the cooperating country, except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(3)(C) Government Owned Organizations

Notwithstanding the foregoing, a Government Owned Organization, i.e., a firm operated as a commercial company or other organizations (including nonprofit organizations other than public educational institutions) which are wholly or partially owned by governments or agencies thereof, are not eligible as suppliers of goods and commodities, commodity-related services, or services (other than commodity-related services), except as the Agreement Officer may otherwise agree in writing.

1G.2.(a)(3)(D) Local Cost Financing

If, pursuant to this Section 1G.2.(a)(3), the cooperating country is authorized for supplier nationality purposes, the Standard Provision of this Cooperative Agreement entitled "Local Cost Financing" will apply. Pursuant to said Standard Provision, local suppliers are eligible for local cost financing of indigenous goods, imported shelf items, and services in quantities up to the total estimated cost of this Cooperative Agreement, subject to the restrictions stated in said Standard Provision, and Chapter 18 of Supplement B to A.I.D. Handbook 1, which, as may from time to time be amended, is incorporated herein as a part of this Cooperative Agreement by reference.

1G.2.(a)(4) Definitions

1G.2.(a)(4)(A) Source, Origin, Componentry, and Nationality of Supplier

Source, origin, componentry requirements, and supplier nationality are defined in Chapter 5 of A.I.D. Handbook 1, Supplement B, which, as may be amended from time to time, is incorporated herein as a part of this Cooperative Agreement by reference (see also Attachment 5 of this Cooperative Agreement which reflects the substance of Chapter 5 of A.I.D. Handbook 1, Supplement B as of the effective date of this Cooperative Agreement).

1G.2.(a)(4)(B) A.I.D. Geographic Codes

A.I.D. Geographic Codes are defined in Appendix D of A.I.D. Handbook 18, which, as may be amended from time to time, is incorporated herein as a part of this Cooperative Agreement by reference (see also Attachment 5 of this Cooperative Agreement which reflects the substance of Appendix D of A.I.D. Handbook 18 as of the effective date of this Cooperative Agreement).

1G.3. Approvals

Inclusion of costs in the budget of this Cooperative Agreement for the purchase of nonexpendable equipment obviates neither the requirement of Section J.13. of OMB Circular A-21 (for educational institutions) or Section 13 of Attachment B of OMB Circular A-122 (for nonprofit organizations other than educational institutions) for prior approval of such purchases by the Agreement Officer, nor any other terms and conditions of this Cooperative Agreement, unless specifically stated in Section 1I. below.

1G.4. Title to Property

Title to property acquired hereunder shall vest in the Recipient, subject to the requirements of the Standard Provision of this Cooperative Agreement entitled "Title To and Use of Property (Grantee Title)" regarding use, accountability, and disposition of such property, except to the extent that disposition of property may be specified in Section 1I. below.

1H. INDIRECT COST RATES

1H.1. No indirect costs will be charged to this Cooperative Agreement. The Recipient understands and agrees that indirect costs attributable to this Cooperative Agreement will be absorbed by the Recipient and considered cost-sharing.

1I. SPECIAL PROVISIONS

1I.1. Limitations on Reimbursement of Costs of Compensation for Personal Services and Professional Service Costs

1I.1. (a) Employee Salaries

Except as the Agreement Officer may otherwise agree in writing, A.I.D. shall not be liable for reimbursing the Recipient for any costs allocable to the salary portion of direct compensation paid by the Recipient to its employees for personal services which exceed the highest salary level for a Foreign Service Officer, Class 1 (FS-1), as periodically amended.

1I.1. (b) Consultant Fees

Compensation for consultants will not be reimbursed under this agreement.

1I.2. Compliance With Federal Guidelines and Regulatory Procedures Pertaining to Recombinant DNA

1I.2. (a) The Recipient shall implement any research activities under this Cooperative Agreement which involve recombinant DNA in accordance with:

1I.2.(a)(1) The National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules;

1I.2.(a)(2) Procedures issued by the U.S. Department of Agriculture (USDA), the Environmental Protection Agency (EPA), or other appropriate Federal agency;

1I.2.(a)(3) A.I.D.'s environmental procedures; and

1I.2.(a)(4) Such other Federal guidelines and procedures as may apply during the course of research.

1I.2.(b) The Recipient cannot commence testing in any foreign location until written approval for such testing is obtained from the A.I.D. Project Officer and the government of the country where testing is planned. Testing shall be conducted in accordance with all applicable regulations of that country.

1I.2.(c) In addition, and prior to commencement of any such testing, the Recipient shall make a judgement and communicate same to the A.I.D. Project Officer as to whether the regulations, procedures, or facilities of the country in question are adequate to ensure testing in an environmentally sound manner. In the event such judgement is that they are not, the Recipient and the A.I.D. Project Officer will consult and agree on the conditions to be applied to the testing which will have such environmental effect.

1I.2.(d) Reports submitted to A.I.D. under this Cooperative Agreement will address regulatory issues as noted above related to the activity.

1I.3. Publications

1I.3.(a) The Recipient agrees to provide one copy of the manuscript of any proposed publication to the A.I.D. Project Officer not later than submission to the publisher, and to give serious consideration to any comments received from the A.I.D. Project Officer.

1I.3.(b) In the case of publication of any of the reports described in Section 1E.2. of this Cooperative Agreement, A.I.D. reserves the right to disclaim endorsement of the opinions expressed. For other publications, A.I.D. reserves the right to dissociate itself from sponsorship or publication. In both cases, the Recipient will consult with the A.I.D. Project Officer as to the nature and extent of any A.I.D. disclaimer of endorsement or dissociation from sponsorship or publication.

1I.3.(c) If A.I.D. does not choose to disclaim endorsement or dissociate itself from sponsorship or publication, the Recipient shall, in accordance with the Standard Provision of this Cooperative Agreement entitled "Publications," acknowledge A.I.D. support as follows:

"This publication was made possible through support provided by the Center for University Cooperation in Development, Bureau for Research and Development, U.S. Agency for International Development, under Cooperative Agreement No. PCE-5063-A-00-3037-00."

1I.3.(d) In addition to providing one copy of all published works and lists of other written work produced under this Cooperative Agreement to the A.I.D. Project Officer, as required by paragraph (b) of the Standard Provision of this Cooperative Agreement entitled "Publications," the Recipient shall also provide two copies of such publications and lists to A.I.D., POL/CDIE/DI, Washington, D.C. 20523-1802.

1I.4. Equipment and Other Capital Expenditures

1I.4.(a) Requirement for Prior Approval

Pursuant to Sections 1D.3. and 1G.3. above and the Standard Provisions of this Cooperative Agreement entitled "Allowable Costs" and "Revision of Grant Budget," and by extension, Section J.13. of OMB Circular A-21, the Recipient must obtain A.I.D. Agreement Officer approval for the following:

1I.4.(a)(1) Purchase of General Purpose Equipment, which is defined as an article of nonexpendable tangible personal property, the use of which is not limited only to research, medical, scientific, or other activities [e.g., office equipment and furnishings, air conditioning equipment, reproduction and other equipment, motor vehicles, and automatic data processing equipment, having a useful life of more than two years and an acquisition cost of \$500 or more per unit);

1I.4.(a)(2) Purchase of Special Purpose Equipment, which is defined as an article of nonexpendable tangible personal property, which is used only for research, medical, scientific, or other technical activities, and which has a useful life of more than two years and an acquisition cost of \$1,000 or more per unit); and

1I.4.(a)(3) Other Capital Expenditures, which is defined as the cost of the asset, including the cost to put it in place).

1I.4.(b) Approvals

In furtherance of the foregoing, the Agreement Officer does hereby provide approval for the following purchases, which shall not be construed as authorization to exceed the total estimated amount or the obligated amount of this Cooperative Agreement, whichever is less (see Section 1C. above):

<u>Quantity</u>	<u>Description</u>
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N/A

1I.4.(c) Exception for Automation Equipment

Any approval for the purchase of automation equipment which may be provided in Section 1I.4.(b) above or subsequently provided by the Agreement Officer is not valid if the total cost of purchases of automation equipment (e.g., computers, word processors, etc.), software, or related services made hereunder will exceed \$100,000. The Recipient must, under such circumstances, obtain the approval of the Agreement Officer for the total planned system of any automation equipment, software, or related services.

1I.4.(d) Compliance with A.I.D. Eligibility Rules

Any approvals provided in Section 1I.4.(b) above or subsequently provided by the Agreement Officer shall not serve to waive the A.I.D. eligibility rules described in Section 1G. of this Cooperative Agreement, unless specifically stated.

1I.5. Restricted Goods

Pursuant to Section 1G. above, paragraph (a)(3) of the Standard Provisions of this Cooperative Agreement entitled "AID Eligibility Rules for Goods and Services," and, if applicable (see Section 1K. below for applicability), paragraph (e) of the Standard Provision of this Cooperative Agreement entitled "Local Cost Financing," the Agreement Officer's approval is required for purchase of the restricted goods described therein. In furtherance thereof, the Agreement Officer does hereby provide such approval to the extent set forth below. The Agreement Officer's approval is required for purchases of such restricted goods if all of the conditions set forth below are not met by the Recipient. Any approval provided below or subsequently provided by the Agreement Officer shall not serve to waive any terms and conditions of this Cooperative Agreement unless specifically stated.

1I.5.(a) Agricultural Commodities

Agricultural commodities may be purchased provided that they are of U.S. source (generally, the country from which the commodities are shipped) and origin (generally, the country in which the commodities are mined, grown, or produced) and purchased from a U.S. supplier, except that wheat, rice, corn, soybeans, sorghums, flour, meal, beans, peas, tobacco, hides and skins, cotton, vegetable oils, and animal fats and oils cannot be purchased under any circumstances without the prior written approval of the Agreement Officer.

1I.5.(b) Motor Vehicles

Motor vehicles, if approved for purchase under Section 1I.4.(b) above or subsequently approved by the Agreement Officer, must be of U.S. manufacture and must be of at least 51% U.S. componentry. The origin of the motor vehicles, and the nationality of the supplier of the vehicles, must be in accordance with Section 1G.2. above. Motor vehicles are defined as self-propelled vehicles with passenger carriage capacity, such as highway trucks, passenger cars and busses, motorcycles, scooters, motorized bicycles, and utility vehicles. Excluded from this definition are industrial vehicles for materials handling and earthmoving, such as lift trucks, tractors, graders, scrapers, and off-the-highway trucks.

1I.5.(c) Pharmaceuticals

Pharmaceuticals may be purchased provided that all of the following conditions are met: (1) the pharmaceuticals must be safe and efficacious; (2) the pharmaceuticals must be of U.S. source and origin (see Section 1G. above); (3) the pharmaceuticals must be of at least 51% U.S. componentry (see Section 1G. above); (4) the pharmaceuticals must be purchased from a supplier whose nationality is in the U.S. (see Section 1G. above); (5) the pharmaceuticals must be in compliance with U.S. Food and Drug Administration (FDA) (or other controlling U.S. authority) regulations governing United States interstate shipment of pharmaceuticals; (6) the manufacturer of the pharmaceuticals must not infringe on U.S. patents; and (7) the pharmaceuticals must be competitively procured in accordance with the procurement policies and procedures of the Recipient and the Standard Provision of this Cooperative Agreement entitled "Procurement of Goods and Services."

1I.5.(d) Pesticides

Pesticides may only be purchased if the purchase and/or use of such pesticides is for research or limited field evaluation by

or under the supervision of project personnel. Pesticides are defined as substances or mixtures of substances: intended for preventing destroying, repelling, or mitigating any unwanted insects, rodents, nematodes, fungi, weeds, and other forms of plant or animal life or viruses, bacteria, or other micro-organisms (except viruses, bacteria, or other micro-organisms on or living in man or other living animals); or intended for use as a plant regulator, defoliant, or desiccant.

1I.5.(e) Rubber Compounding Chemicals and Plasticizers

Rubber compounding chemicals and plasticizers may only be purchased with the prior written approval of the Agreement Officer.

1I.5.(f) Used Equipment

Used equipment may only be purchased with the prior written approval of the Agreement Officer.

1I.5.(g) Fertilizer

Fertilizer may be purchased if it is either purchased in the U.S. and used in the U.S., or if it is purchased in the cooperating country with local currency for use in the cooperating country. Any fertilizer purchases which do not comply with these limitations must be approved in advance by the Agreement Officer.

1I.6. Limitation on Use of Funds

1I.6.(a) The Recipient shall not utilize funds provided by A.I.D. for any testing or breeding feasibility study, variety improvement or introduction, consultancy, publication, conference or training in connection with the growth or production in countries other than the United States of an agricultural commodity for export which would compete with a similar commodity grown or produced in the United States.

1I.6.(b) The Annual Activity Report (as set forth in Section 1E.2.[d]) shall contain a statement indicating the objectives and activities to which United States funds have been attributed, together with a brief description of the activities adequate to show that United States funds have not been used for the purpose in Section 1I.6.(a) above.

1I.6.(c) The Recipient agrees to refund to A.I.D. upon request an amount equal to any United States funds used for the purposes prohibited by Section 1I.6.(a) above.

1I.6.(d) No funds provided by A.I.D. under this Cooperative Agreement shall be used to provide assistance, either directly or indirectly, to any country ineligible to receive assistance pursuant to the Foreign Assistance Act as amended, related appropriations acts, or other statutes and Executive Orders of the United States (also see the Standard Provision of this Cooperative Agreement entitled "Ineligible Countries").

1I.7. Disposition of Property

With reference to Sections 1G.4. and 1I.4.(b) above, disposition of nonexpendable property acquired hereunder shall be as follows:

N/A

1I.8. Failure to Make Sufficient Progress

If, at any time, the Assistant Administrator of the A.I.D. Bureau for Research and Development (AA/R&D) determines that the Recipient has failed to make sufficient progress toward attainment of program objectives such as to warrant the discontinuation of A.I.D. funding, this Cooperative Agreement may be unilaterally terminated by A.I.D. for its convenience, unless such failure was without the fault or negligence, or beyond the control, of the Recipient. In such circumstances, the procedures for settling a termination, as set forth in the Standard Provision of this Cooperative Agreement entitled "Termination and Suspension," will apply. The AA/R&D's determination will be final and not subject to appeal.

1J. RESOLUTION OF CONFLICTS

Conflicts between any of the Attachments of this Cooperative Agreement shall be resolved by applying the following descending order of precedence:

- Attachment 1 - Schedule
- Attachment 3 - Standard Provisions
- Attachment 4 - Special Provision entitled "Restrictions on Lobbying"
- Attachment 5 - A.I.D. Eligibility Rules
- Attachment 2 - Program Description

1K. STANDARD PROVISIONS

The Standard Provisions set forth as Attachment 3 of this Cooperative Agreement consist of the following Standard

Provisions denoted by an "X", which are attached hereto and made a part of this Cooperative Agreement:

**1K.1. Mandatory Standard Provisions For U.S.,
Nongovernmental Grantees**

- (X) Allowable Costs (November 1985)
- (X) Accounting, Audit, and Records (September 1990)
- (X) Refunds (September 1990)
- (X) Revision of Grant Budget (November 1985)
- (X) Termination and Suspension (May 1986)
- (X) Disputes (November 1989)
- (X) Ineligible Countries (May 1986)
- (X) Debarment, Suspension, and Other Responsibility Matters (March 1989)
- (X) Nondiscrimination (May 1986)
- (X) U.S. Officials Not to Benefit (November 1985)
- (X) Nonliability (November 1985)
- (X) Amendment (November 1985)
- (X) Notices (November 1985)

**1K.2. Additional Standard Provisions For U.S.,
Nongovernmental Grantees**

- (X) Payment - Letter of Credit (November 1985)
- () Payment - Periodic Advance (January 1988)
- () Payment - Cost Reimbursement (November 1985)
- (X) Air Travel and Transportation (November 1985)
- (X) Ocean Shipment of Goods (May 1986)
- (X) Procurement of Goods and Services (November 1985)
- (X) AID Eligibility Rules for Goods and Services (November 1985)
- (X) Subagreements (November 1985)
- (X) Local Cost Financing (November 1988)

- (X) Patent Rights (November 1985)
- (X) Publications (November 1985)
- () Negotiated Indirect Cost Rates - Predetermined (May 1986)
- () Negotiated Indirect Cost Rates - Provisional (May 1986)
- (X) Regulations Governing Employees (November 1985)
- (X) Participant Training (May 1986)
- (X) Voluntary Population Planning (August 1986)
- (X) Protection of the Individual as a Research Subject (November 1985)
- (X) Care of Laboratory Animals (November 1985)
- () Government Furnished Excess Personal Property (November 1985)
- (X) Title To and Use of Property (Grantee Title) (November 1985)

- () Title To and Care of Property (U.S. Government Title) (November 1985)
- () Title To and Care of Property (Cooperating Country Title) (November 1985)
- (X) Cost Sharing (Matching) (November 1985)
- (X) Use of Pouch Facilities (November 1985)
- (X) Conversion of United States Dollars to Local Currency (November 1985)

1L. COST-SHARING AND OTHER NON-A.I.D. CONTRIBUTIONS

1L.1. The Recipient agrees to expend an amount not less than (a) the amount shown in the budget of this Cooperative Agreement for financing by the Recipient and/or others from non-federal funds, and (b) the amount shown in the budget of this Cooperative Agreement for financing by the Recipient and/or others from other (non-A.I.D.) federal funds (see Section 1D.).

1L.2. Direct costs to be funded by non-federal funds must constitute at least 25% of the total costs to be funded by A.I.D.

1L.3. The Standard Provision of this Cooperative Agreement entitled "Cost Sharing (Matching)" makes reference to project costs. "Project Costs" are defined in Attachment E of OMB Circular A-110 as all allowable costs (as set forth in the applicable cost principles [see the Standard Provision of this Cooperative Agreement entitled "Allowable Costs"]) incurred by a Recipient and the value of in-kind contributions made by the Recipient or third parties in accomplishing the objectives of this Cooperative Agreement during the program period. In this context, "objectives" refers to the specific objectives of the linkage (as set forth in Attachment 2 [Program Description] of this Cooperative Agreement), and not to the objectives of the University Development Linkages Project (936-5063), under which this Cooperative Agreement is funded.

1L.4. The restrictions on the use of A.I.D. funds set forth in this Cooperative Agreement do not apply to cost-sharing (matching) unless such restrictions are stated in the applicable federal cost principles.

ATTACHMENT 2

PROGRAM DESCRIPTION

The Recipient's proposal entitled "Democratic Government and Private Sector Development in Senegal" is attached hereto as the Program Description (Attachment 2) and is made a part of this Cooperative Agreement.

University Development Linkages Project

Title: "Democratic Government and Private Sector Development in Senegal"

Linked Institutions: University of Connecticut and the School of Applied Economics

Principal

Investigator: Dr. Richard Vengroff

Technical Summary

To help revive Senegal's economy and to address long-term demands for greater regional autonomy, the Government of Senegal called, in 1992, for a series of measures furthering decentralization of the economy and establishing greater autonomy for local governments. Implementing these measures calls for local governmental institutions to improve execution of existing functions and take on new ones. These include working with local businesses, collecting taxes, and apportioning revenues.

Senegal's School of Applied Economics (French acronym ENEA) is the indigenous institution most suited to carrying out the studies, providing in-service training, and extending the technical assistance required to execute the decentralization process. It is a national school that is charged with training professionals in administration and development and with conducting associated research. Since 1989, it has maintained a formal research and training relationship with the University of Connecticut to collaborate in the production of knowledge and in the delivery of state of the art training programs.

This linkage proposes a collaborative effort that would help the linkage partners address the policy analysis, research, and training needs of Senegal's decentralization program. It has two objectives: (1) to help further decentralization programs at the regional, municipal, and rural council levels; and (2) to facilitate economic decentralization and privatization. To achieve these objectives, the project will undertake the following activities:

- Conduct a field based study of the quality of decentralization at the regional, municipal, and rural council levels using the systematic methodology recently developed and tested by the partners at the national level;
- Provide training programs in decentralization, human resources management, financial management, and performance auditing for regional, municipal, and local offices;
- Conduct studies of (a) the impact of structural adjustment on women and (b) the impact of projects to support women in small and medium sized enterprises;

- Develop a micro-level agricultural data base--using data collected over the past twenty years by ENEA students during their extended field training in small villages;
- Conduct a study of agricultural market development and private sector marketing facilities;
- Improve methodology, obtain better data, and expand the data base on adult learning; and
- Conduct a five year study on adult learning in the area of business and agriculture.

The partners will manage the project using the mechanism established by their 1989 Memorandum of Agreement. Managerial responsibility will be shared by the Director of ENEA and the Dean of the Division of International Affairs at the University of Connecticut. Day-to-day administration at the University of Connecticut will be handled by the Office of International Affairs and at ENEA by the Department of Applied Research.

Sustainability

The linkage will be sustained after completion of the five year UDLP through external funding for collaborative research, revenues generated by joint fee for service training programs and consulting services, graduate tuition support and assistantships for ENEA faculty by the University of Connecticut, and logistical support provided by ENEA for University of Connecticut researchers. The relationship between the partners is already well-established and highly institutionalized.

USAID funding for the proposed UDLP cooperative agreement is \$499,555 over five years. The total non-federal matching contribution from the two institutions is \$685,303.

EXECUTIVE SUMMARY
Democratic Governance and Private Sector Development in Senegal

A Proposal for a University Development Linkage between
The University of Connecticut (UConn) and the Ecole Nationale
d'Economie Appliquée (ENEA)

A. Rationale

The proposed linkage between the University of Connecticut (UConn) and the Ecole Nationale d'Economie Appliquée (ENEA) in Dakar Senegal will build upon a strong, existing relationship between the two institutions. The main substantive concerns for this linkage are three closely related issues associated with the future development of Senegal:

- 1) **political and administrative** decentralization and the related issues of reestablishing semi-autonomous regions and municipalities and rural councils with greater control over their own destinies; public management issues;
- 2) **private sector development**, especially small scale agribusiness, regional market town development, and associated private sector management issues; and
- 3) **human resource development**, especially in the areas of Women in Development, and training programs in decentralization, research methods, management and adult learning.

These three interrelated areas are critical to the future of Senegal as one of Africa's most successful democratic governments.

The proposed linkage, focused on these three critical priority areas for Senegal, builds on the mission sponsored (1990-93), formal relationship between ENEA and UConn. In the context of the existing linkage, the groundwork has been completed in terms of collaborative research, human resource development, and institutional development, for a long term relationship which will begin applying many of the lessons learned in the on-going applied research program. In addition, to the current institutional linkage, several UConn and ENEA faculty have had long experience working together. For example, the principal investigator, Dr. Richard Vengroff, Dean of International Affairs at UConn has maintained close relations with ENEA and ENEA faculty for over a decade. One result of that relationship has been the awarding of more than a dozen advanced degrees in the U.S. to ENEA's junior faculty.

Objectives

In the area of **governance**, ENEA Director, Samba Dione and Dean Vengroff have recently completed complementary studies of government decentralization which include relevant data for implementation of the new phase of regionalization announced a year ago by President Diouf of Senegal. These studies are being used, along with earlier research conducted by Vengroff and Johnston (1987), Vengroff, Belhaj and Ndiaye (1991), Ndiaye (1992) as the basis for the design of direct training interventions to be organized at ENEA under the UDLP. This will be accomplished

through close collaboration between the faculties of UConn's Institute of Public and Urban Affairs, the Institute for Public Service International (IPSI) and the faculties of Management and of Urbanism and Regional Planning at ENEA. Efforts are targeted at improving the quality of decentralized governance in the eleven newly created regional agricultural market towns which have been elevated to the status of urban communes, and the soon to be established elected regional councils which will have broad responsibility for policy design and implementation. The two institutions have already completed preliminary planning of a series of training programs for local government officials, and elected counselors at the regional, urban and rural community levels (Communauté Rurale) which will be implemented under the UDLP. These include training in the area of management, human resource management, strategic planning, improved revenue generation, and democratic governance.

Closely related to the area of governance is the issue of human resource development and the role of women in both the polity and the economy. Dr. Lucy Creevey, Director of Women's Studies at UConn, working with a team of colleagues from ENEA just over a year ago, completed a survey of a national sample of over a thousand Senegalese women. Based on this work, she has just completed a book, The Sword and the Veil: Islam and Women in Senegal (1993). This research, the AID funded study by ENEA of the small scale private sector enterprises (1991, GIE, Groupement d'Interet Economique), the surveys of the formal and informal private sectors in Senegal conducted for AID under the direction of a UConn faculty member will serve as the basis for the design of private sector training programs oriented toward women under the UDLP.

An associated effort in the private sector is the proposed establishment of an internship program for ENEA faculty with the Connecticut Small Business Development Center, based at UConn. The Director of this program, John O'Connor, has visited Senegal in January 1993 in an effort to insure that the future internship program will provide ENEA faculty with the appropriate skills needed in support of small business training and consulting support in Senegal. An ENEA based small business development center will be designed to assist women and functionaries leaving the public service under the reform measures to enter the private sector.

The most promising areas for small enterprise development in Senegal are in the agricultural sector, especially in horticulture, small livestock and the creation of small enterprises for the provision of agricultural inputs and equipment. Important village level data compiled over twenty years by ENEA staff and students during their annual field course, is currently being coded by two ENEA faculty in collaboration with the Department of Agricultural and Resource Economics at UConn. It will serve as an important source of the micro level data which is so often lacking in the planning of small scale agriculture related businesses. Under the UDLP, these data will be analyzed

and used in support of the WID and small enterprise training program.

The management training program at ENEA, introduced in 1985 with the help of current UConn faculty, is in the process of being revised. A joint ENEA/UConn study of the impact of culture on management in both the public and private sectors is in progress. The survey has been completed in Senegal, the data have been coded and are now being analyzed. These data will serve an important function in the revision of management modules jointly designed and currently included in the regular academic and in-service components of ENEA training programs.

Adult Education Techniques and Research Methods. Communicating with local elected officials, functionaries, small farmers and the population requires improved adult learning. An important component of the UDLP linkage will work with the data base already in existence and expand its role and add new qualitative data to it designed to identify adult learning styles and techniques most appropriate for use in the training components of the project and as material for use by ENEA faculty in their teaching program.

Outcomes -

The expected outcomes of the UDLP linkage between ENEA and UConn are:

- 1) improved training programs and modules designed to contribute to the development of human resources in Senegal;
- 2) state of the art, collaborative research in the areas of governance, decentralization, women in development, small business development, management, small scale agribusiness and associated adult learning methods;
- 3) improved research and training capabilities by the ENEA faculty;
- 4) further internationalization of UConn;
- 5) increased capabilities of ENEA to respond to developmental needs in Senegal associated with its mission.

B. Benefits -

The benefits for the University of Connecticut will be continued close collaboration in the area of research, teaching, and outreach programs with colleagues in Senegal. This will include doctoral research, exchanges of faculty, increased internationalization of the campus including offerings in Wolof, contacts with the K-12 community by Senegalese students and faculty, and increasing interaction between the Senegalese and U.S. business communities.

The benefits to ENEA will include, but not be limited to, improved research capability, continued staff development of its faculty, improved capacity to respond to training and consulting needs of the country in the areas of governance, decentralization, WID, privatization, management, improved capabilities in the areas of library resources and computer labs.

C. Sustainability -

The linkage will be sustained after completion of the five year UDLP funding for the program by the joint efforts of both institutions to obtain external funding for collaborative research, from revenues generated by joint, fee for service training programs and consulting services, on-going support by UConn in the form of tuition waivers and graduate assistantships for ENEA faculty and continuing logistical support provided by ENEA for UConn faculty and graduate students. The relationship between ENEA and UConn faculty has been sustained for over a decade, alternating between periods in which external funding was and was not available. The UConn has made a permanent commitment to African Studies with the creation of the Center for Contemporary African Studies and associated degree programs, lecture series, and the summer Francophone management training program. Revenue from all of these sources will be used to insure that the relationship will be sustained in the foreseeable future.

D.1. The Ecole Nationale d'Economie Appliquée (ENEA) qualifies as a Developing Country Institution of Higher Education (DCIHE). Organized in the French tradition of the "Grands Ecoles, ENEA offers post secondary degree training which is equivalent to the U.S. bachelors degree. Admission is highly competitive and degrees are offered in the fields of planning, urban planning, rural development, management, nonformal education, sociology, demography and statistics. The School also has a Department of Applied Research which conducts development related studies of interest to the Government of Senegal and to the donor community. The ENEA is located in Senegal, which is on the list of eligible countries identified in the RFA, Appendix 16, p.2.

D.2. UConn and ENEA have maintained a formal relationship following from a memorandum of understanding between them signed in 1989. At that time graduate assistantships, tuition waivers and other support were provided by UConn in exchange for research and logistical support in the field and close collaboration on several research projects. This relationship was funded jointly by AID/Dakar, the University of Connecticut, and ENEA for a period of three years beginning in 1990. Since that time five ENEA faculty have begun advanced graduate degrees at UConn, six ENEA faculty have participated in short term workshops and specialized workshops in Connecticut, ten UConn faculty have either conducted collaborative research in Senegal or with ENEA faculty in Ct., a modern computer lab has been established at ENEA with UConn funds and associated training has taken place. The two institutions are in the planning stages of an international conference on decentralization and governance.

Section I. The Linkage

A. Rationale

A.1. What is the substantive rationale or theme of the linkage?

Although many African nations are engaged in the process of democratization, Senegal is one of the few generally considered to be successfully making the transition to a fully democratic state. The African Governance Program of the Carter Center of Emory University has developed an eight point scale for measuring phases of the transition to democracy, eight being the highest stage, consolidation of democracy (Africa Demos, 1991,1992). Senegal receives a seven on this scale, (7=legitimization stage, the highest rating received by any African country), indicating that "the legitimacy of the government as well as the constitutional democratic system is generally accepted" (Africa Demos, 1992: 11).

I While it can not be said that democracy has been fully institutionalized in Senegal, past experience as well as the recent Presidential and National Assembly Elections (1993) clearly indicate that some very important steps have been taken in that direction. Several additional steps remain before democratic governance can be said to have been institutionalized.

The Proposed Regional Reform of 1992

Partly as a result of its French colonial heritage, Senegal's political system is overly centralized. The government remains under considerable pressure for change from a variety of sources. In the face of the just completed National Assembly and presidential elections (February and May 1993, continued economic difficulties, and ongoing confrontations involving demands for greater autonomy for the Ziguinchor (Casamance) region, the most far reaching form of decentralization yet initiated was proposed by President Abdou Diouf in his independence day speech on April 4, 1992. In this surprise announcement, the President talked of serious measures designed to increase opportunities for popular participation and local initiative.

These changes he argued, represent a qualitative break with the past, a break which is designed to:

- 1) give regions more autonomy and freedom in their administrations and in the management of their own affairs;
- 2) transform regions into legally autonomous actors ("dotée de la personnalité morale");
- 3) make the regions financially independent;
- 4) establish regional assemblies elected by universal suffrage;
- 5) administer regional affairs in the areas of education, health, culture, and some infrastructure;
- 6) coordinate regional planning and economic development (Diouf, 1992).

The regional councils, which have not functioned for over twenty years, had never had anything close to the autonomy being proposed for them by the President. This step, which would create what amount to elective regional legislative authorities, was promoted as a means of seriously transforming the existing administrative system and responding to the developmental needs of the country. Several regions (Louga and Fatick for example) will be reorganized and reconfigured so as to make them "economically" viable. New municipalities were created to serve as regional market towns.

The main substantive concerns for this linkage are designed to provide enhanced capabilities for ENEA and UConn to contribute to the institutionalization of democratic governance in Senegal. The proposed linkage between the University of Connecticut (UConn) and the Ecole Nationale d'Economie Appliquée (ENEA) in Dakar Senegal will build upon a strong, existing relationship between the two institutions. Three closely related issues associated with the reinforcement and future development of democratic governance in Senegal will thus be addressed:

- 1) **political and administrative decentralization** and the related issues of reestablishing semi-autonomous regions and municipalities and rural councils with greater control over their own destinies; public management issues;
- 2) **private sector development**, especially small scale agribusiness, regional market town development, and associated private sector management issues; and
- 3) **human resource development**, especially in the areas of Women in Development, and training programs in decentralization, research methods, management and adult learning.

These three interrelated areas are critical to the future of Senegal as one of Africa's most successful democratic governments.

The proposed linkage, focused on these critical priority areas, builds on the mission sponsored (1990-93), formal relationship between ENEA and UConn. In the context of the existing linkage, the groundwork has been well prepared in terms of collaborative research, human resource development, and institutional development, for a long term relationship which will begin applying many of the lessons learned in the on-going applied research program. In addition, to the current institutional linkage, several UConn and ENEA faculty have had even longer experience working together. For example, the principal investigator, Dr. Richard Vengroff, Dean of International Affairs and professor of Political Science at UConn has maintained close collaborative relations with ENEA and ENEA faculty for over a decade.

One result of that relationship has been the awarding of more than a dozen advanced degrees in the U.S. to ENEA's junior faculty. Six ENEA faculty are currently enrolled in graduate programs at UConn which are being funded by assistantships provided by the University of Connecticut. Two ENEA faculty are completing dissertations in Political Science and Agricultural Economics, with their research being respectively on, "The Impact

of Culture on Public and Private Sector Management in Senegal", and "The Impact of Infrastructure on Agricultural Supply Response: The Case of Senegal". In addition at UConn, one recently completed an M.S. in Statistics, two are working on M.S. degrees in Educational Leadership, one in Public Administration, and one in Agricultural Economics.

The emphasis in all of the degree programs is on the development of a high level of competence in research methodology in their substantive areas. Thus, strengthening the applied research and training capacity of ENEA remains a dominant objective in the context of its key role in development in Senegal. As a result, significant research findings have already been achieved in the substantive areas of concern to this linkage. UConn's P.I. has worked closely with ENEA colleagues, including ENEA's Director, on the issue of decentralization as it effects the delivery of key services related to democratization and economic development (see paper in the Appendix). Agricultural Economists from UConn and ENEA have been coding and analyzing a longitudinal data set on agricultural inputs, production and marketing which has been collected over the last 25 years by ENEA students. ENEA bid on and received the contract for a study of "Groupement d'Interet Economique" (GIE - small scale, locally run cooperatives with access to credit) as part of a larger survey of the formal and informal private sector conducted by UConn faculty for the AID Mission. ENEA staff also collaborated with Dr. Lucy Creevey, Director of Women's Studies at UConn on a study of the impact of Islam on women in development. This soon to be published book breaks new ground in this area of concern.

In addition to applied research, UConn and ENEA have been jointly involved in a variety of training interventions. The process of privatization and structural adjustment has created the need to retrain functionaries leaving the public service for careers in the private sector and to operate their own small businesses. ENEA staff, in collaboration with UConn have designed and organized an extensive program of training for these individuals. The area of decentralization is also a field in which the two institutions have organized joint seminars both in Dakar and Connecticut.

A.2. How will this linkage further the internationalization efforts of USIHE and capacity of DCIHE?

The internationalization efforts of UConn are based on a strategic plan which makes use of our greatest faculty strengths in the area studies to link diverse groups of faculty to critical areas around the world. Given our strong Africanist faculty, maintaining a close link with a Francophone African institution is critical to our efforts to provide faculty and graduate and undergraduate students with opportunities to interact with Africans from diverse ethnic backgrounds and historic linguistic and administrative experiences. This experience adds to the research, teaching, language and cultural programs of the university. For example, as a result of the existing ties with Senegal, outstanding Senegalese scientists, scholars and artists

spend time on the UConn campus each year. In 1992-93 these include the well known author, Aminta Sow Fall, who spent the spring semester lecturing and giving public readings of her work, a Fulbright sponsored biologist from the University of Dakar (Cheikh Anta Diop University), and an English professor from Dakar. The other Senegalese on campus add a serious Francophone African dimension to the cultural life of UConn. Furthermore, our diverse language offerings have been augmented by a course in Wolof which has been introduced into the curriculum and will be taught beginning with the Fall of 1993.

ENEAs capacity to respond to the needs of Senegal in terms of policy studies, evaluations, in-service training for public officials, assistance to the private sector, as well as its ability to generate external funding will be greatly enhanced by the linkage. The increased methodological skills serve as a base from which ENEA can build its reputation further as the premier African institution addressing issues of rural development. ENEA will thereby become more capable of meeting its financial needs by adding to its ability to contract its research and training to the donor community, to obtain grants and contracts from foundations, and to provide fee for service training to the private sector and others.

The benefits for the University of Connecticut will be continued close collaboration in the area of research, teaching, and outreach programs with colleagues in Senegal. This will include doctoral research, exchanges of faculty, increased internationalization of the campus including offerings in Wolof, contacts with the K-12 community by Senegalese students and faculty, and increasing interaction between the Senegalese and U.S. business communities.

The benefits to ENEA will include, but not be limited to, improved research capability, continued staff development of its faculty, improved capacity to respond to training and consulting needs of the country in the areas of governance, decentralization, WID, privatization, management, and improved library resources and computer labs.

Both institutions will benefit from the ability to field multi-disciplinary Senegalo-American teams for research and training efforts.

A.3. How will the linkage draw on and enhance the strengths of the institutions involved?

UConn has a very strong program of African Studies and considerable number of faculty with extensive experience in Francophone Africa. These include the Dean of International Affairs, the Director of Women's Studies, and several Faculty in Agricultural Economics, the Institute of Public Service International in Hartford, Education, French, English, community health, to name just some of the key figures and departments involved in this proposal. The University is noted for its Francophone management training programs which have brought hundreds of French speaking African administrators to the campus each summer for training in project management, micro-

computers in management and evaluation techniques. We regularly send teams of trainers to Francophone countries like Senegal to conduct evaluations, applied research and to lead seminars and workshops. Library resources, data archives, graduate students from Francophone countries and an intense student interest, all give UConn a very strong capability for implementing this project.

ENEA, as the leading institution in Francophone Africa, with thirty years of intense experience conducting research and training for rural development, can build upon its broad network of graduates, its extensive data archives collected over the last 25 years, and its highly skilled faculty, most of whom have been the recipients of graduate degrees in the U.S. Because of its standing as one of Senegal's "Grands Ecoles" it provides access to research data, government records, public and private officials, and the population at large that make the research and training anticipated under this contract possible.

The combination of highly skilled, experienced senior researchers from UConn and the well trained faculty and staff of ENEA make for joint research and training teams that are at the cutting edge in every respect.

A.4. How will the linkage be sustained after the fifth year?

The linkage will be sustained after completion of the five year UDLP funding for the program by the joint efforts of both institutions to obtain external funding for collaborative research, from revenues generated by joint, fee for service training programs, and consulting services, on-going support by UConn in the form of tuition waivers and graduate assistantships for ENEA faculty, and continuing logistical support provided by ENEA for UConn faculty and graduate students. In addition, both institutions will continue to provide the resources already committed by them under this grant. That is, UConn will continue to offer graduate assistantships earmarked for young ENEA faculty and researchers, visiting professor grants, office space, visa services, library access, and some travel money for UConn and ENEA faculty. ENEA will continue to provide housing, office space, vehicles, logistical support, access to its data archives and faculty for joint efforts. The relationship between ENEA and UConn faculty has been sustained for over a decade, alternating between periods in which external funding was and was not available.

The UConn has made a permanent commitment to African Studies with the creation of the Center for Contemporary African Studies and associated degree programs, lecture series, and the summer Francophone management training program. Current revenue projections based on experience with the Francophone training programs and the strengths to be added by this UDLP linkage suggest that joint research and training efforts will enable us to generate significant funds over the long term. Revenue from all of these sources will be used to insure that the relationship will be sustained in the foreseeable future.

A.5. How will this linkage lead to broader long term sustainable linkage between the institutions involved?

By strengthening the overall applied research and training capabilities of both institutions, the groundwork will be laid for expansion of this linkage into a variety of additional areas of mutual interest which are related to the development of Senegal. The modern computer labs set up with donations of a dozen additional personal computers, and a laser printer from UConn in the past year insure that faculty from both sides will have the basic equipment needed to support their collaborative work. Already, UConn's School of Education is developing close relations with ENEA's College of Communication and Animation to enhance the ability to deliver "state of the art" adult training in literacy, educational administration, and qualitative research methods. This adds yet another dimension to the existing relationship which is based in Public Administration, Women's Studies, Agriculture and Management. With growing interest, we anticipate long term involvement by our Schools of Allied Health, Family Studies, Engineering and Medicine. Thus, new joint activities to be sustained by other sources of external funding, but stimulated by the linkage are not only anticipated, they are strongly indicated.

In sum, the expected outcomes of the UDLP linkage between ENEA and UConn are:

- 1) improved training programs and modules designed to contribute to the development of human resources in Senegal;
- 2) state of the art, collaborative research in the areas of governance, decentralization, women in development, small business development, management, small scale agribusiness, and adult learning;
- 3) improved research and training capabilities by the ENEA faculty;
- 4) further internationalization of UConn;
- 5) increased capabilities of ENEA to respond to developmental needs in Senegal associated with its development-related mission.

B. Implementation and Management

B.1. Objectives of the Linkage

In overall terms the quality of decentralization in Senegal is lower than one would hope for, but still probably higher than expected in such a poor country. In terms of decentralization, at least among Francophone countries in sub Saharan Africa, Senegal is either in first place or right near the top of the list. Even when compared to the Maghrebian States its progress seems to be considerable. For example, it does not score significantly lower on systematic measures of decentralization than does Tunisia, (Vengroff and Ben Salem, 1993) or Morocco (Vengroff and Umeh, 1993). While it is clear that these local institutions are fragile, they are making an important contribution to the development of democratic governance. Each new initiative has both shored up existing democratic practices and made it

imperative that the government take the next step toward further democratization. The role played by local government in the overall transformation of Senegal from a one party moderately authoritarian regime into a fully democratic state has been extremely important and will continue to be so in the future.

Decentralization was used as a tool by the government of Senegal to address a variety of economic, political, and social pressures. As local units of government were developed and as the central ministries engaged in a program of deconcentration of authority, significant and largely irreversible steps were taken which moved Senegal away from authoritarian rule and in the direction of democracy. It is not being argued here that decentralization created the conditions for democracy, but only that the associated reforms are among the contingencies which contributed significantly to the overall process of democratization.

Senegal has made significant progress in decentralization (Vengroff, 1993). There is unfortunately, but predictably some lag time between the creation of decentralized units of government and significant improvements in the quality of governance. This shows up in the areas of both personnel and finance. However, significant strides have been made. With the transfer of budgetary authority in the municipalities and in the rural communities to elected officials, both the accountability and responsiveness of local government have improved. The greater party competition being seen at the national level and the relative importance of the soon to be empowered regional councils should translate into greater participation, increased party competition, and more policy pluralism at the regional and local level in the future.

To the extent that a serious improvement in governance is perceived by the Senegalese population to result from decentralization, democratization of the system will become more secure. However, the critical correlate for improved governance is the state of the economy. If private sector development proceeds successfully and the economic slump brought on by the current worldwide recession is turned around, then decentralization will continue to have a positive impact on the polity. However, if the economic situation continues to decline or even remain in its current state, decentralization will only transfer responsibility and aspirations to bankrupt local governments. The resultant centripetal forces could serve to drive the Senegalese people to seek solutions in secessionist movements or in a turn to a more authoritarian model.

The principal objectives of the linkage are to address the policy analysis, research, and training needs of Senegal's decentralization program which is a critical element in its efforts to promote democratic governance. This effort has two critical components: 1) an administrative, public management/policy aspect and; 2) an economic decentralization and privatization component. Both components are fully integrated in the context of this proposal so

as to maximize the chances of success of Senegal's innovative efforts to promote democracy and economic development through a system of liberalization tied to the growth and development of well conceived regional, municipal and local entities.

These objectives can be broken down into the following sets of **sub-objectives**:

1. Assisting regional governments to develop their capacity to serve in their new leading role in the development process by:

a. conducting policy studies associated with the management of a decentralized service delivery system in education, health, economic development, infrastructure;

b. developing human resources through the development of both long term and short term in-service training programs for regional, municipal and local officials, both administrators and elected; and improved adult learning approaches;

c. developing an effective financial resource base through taxation, fees for service, privatization of regional and municipal services such as solid waste removal, road repair, serious zoning, and land use planning;

d. promoting active popular participation in all of these functions through the strengthening of local neighborhood and village associations.

2. Promoting private sector development which will lead to increased employment, economic growth, an increased tax base, and greater efficiencies in agricultural production, development of effective regional market towns, and utilization of graduates by:

a. examining the role of the private sector in providing agricultural inputs;

b. helping the newly created small municipalities develop into well managed regional agricultural market towns;

c. improving human resources by providing training programs and technical and consulting assistance through the development of a small business development Center in ENEA's College of Management and Planning;

d. assisting women to develop the skills necessary to actively participate in the formal private sector, rather than being confined to the informal sector.

B.2. Activities Designed to meet the Linkage Objectives

Each of the activities listed above in this proposal has both an applied research and a training component. Thus, at every stage there will be an ongoing dialog between research, training, policy analysis and implementation and outreach. The specific projects, both research and training, to be implemented to achieve the objectives of the project are identified and discussed in some detail below. Others, especially those for implementation during the latter part of the project, years 4 and 5, will be identified in the course of the earlier research and a mechanism is already in place to propose and approve these efforts and to develop

collaborative implementation. This will assure that the linkage is responsive not only to those needs and problems which have now been identified but to a variety of issues to be noted in the future.

a. Administrative decentralization - This aspect of the linkage project will build on efforts already begun by ENEA and UConn in the areas of both research and training. In the area of **governance**, ENEA Director, Samba Dione and Dean Vengroff have recently completed complementary studies of government decentralization which include relevant data for implementation of the new phase of regionalization announced a year ago by President Diouf of Senegal. These studies are being used, along with earlier research conducted by Vengroff and Johnston (1987), Vengroff, Belhaj and Ndiaye (1991), and Ndiaye (1992) as the basis for the design of direct training interventions to be organized at ENEA under the UDLP. This will be accomplished through close collaboration between the faculties of UConn's Institute of Public and Urban Affairs, the Institute for Public Service International (IPSI) and the faculties of Management and of Urbanism and Regional Planning at ENEA. **Efforts are targeted at improving the quality of decentralized governance in the eleven newly created regional agricultural market towns which have been elevated to the status of urban communes, and the soon to be established elected regional councils which will have broad responsibility for policy design and implementation.** The two institutions have already completed preliminary planning of a series of training programs for local government officials, and elected counselors at the regional, urban and rural community levels (Communauté Rurale) which will be implemented under the UDLP. These include training in the area of management, human resource management, strategic planning, improved revenue generation, public auditing and democratic governance.

The proposed research to be undertaken and completed under the UDLP is based on a methodology developed by the P.I in an earlier study of decentralization in Tunisia, subsequently applied to Senegal, Nigeria and Morocco. The relationship between decentralization and governance has not been adequately explored in the literature. Many past studies have failed to fully assess the impact of decentralization because of the lack of a set of independent, comparative indicators of the quality of decentralization being implemented in a given country. The working hypothesis adopted here is that decentralization, both as a process and as an end state in terms of organization and operations, is closely related to the quality of governance in developing countries. In order to provide an empirical basis for a comparative assessment, a model based on the scope, intensity and commitment to decentralization will be employed. Each of these concepts is operationalized in terms of a set of empirically measurable variables. The method will then be applied to the cases of the newly created regional Councils and their recently "devolved" authority and to the eleven newly created regional

market towns. This will make it possible to assess the quality of decentralization, to identify specific problem areas and to identify areas for further interventions in the form of training or applied research. This study, co-directed by Richard Vengroff and Samba Dione, and including several faculty from both institutions, will begin as soon as the UDLP project begins and continue throughout.

b. Gender Issues in Development - Closely related to the area of governance is the issue of **human resource development and the role of women in both the polity and the economy**. Dr. Lucy Creevey, Director of Women's Studies at UConn, working with a team of colleagues from ENEA during the past two years, completed a survey of a national sample of over a thousand Senegalese women. Based on this work, she has just completed a book, The Sword and the Veil: Islam and Women in Senegal (1993). This research, the AID funded study by ENEA of the small scale private sector enterprises (Groupement d'Interet Economique), and the surveys of the formal and informal private sectors in Senegal conducted for AID under the direction of a UConn faculty member will serve as the basis for **the design of private sector training programs oriented toward women** under the UDLP.

The new linkage should focus research on two major questions concerning women. The first of these is the impact of structural adjustment on the position of women in Senegal. This has been a major concern in many countries prompting numerous studies on the subject. Analysis of how structural adjustment has been reflected in government policy, which altered government policies most directly affect poor Senegalese women (both rural and urban) and what adaptations women have made to respond to the changing situation would be extremely important information for policy makers and in line with the interests of ENEA and its faculty.

A second and equally important line of research on women is the expansion of a UNIFEM (United Nations Fund for Women) study of the impact of projects to support women's small and medium scale enterprises. This research explores the question of how different approaches adopted in projects to support women's enterprises funded by agencies such as UNIFEM, A.T. International, Techno-Serve and the Intermediate Technology Development Group have actually affected the women involved in the project. The concern is to document first the differences in goals sought, in points and timing of intervention, in project organization and management, in resources provided and in interaction with project participants. Then, the study will explore the impacts of the different projects established on the participants, looking both at the performance of the enterprise established and/or supported through the projects, and how the projects affected the lives of the women. The concern is not only with improvements in their economic well being but also to explore other aspects which may have been affected such as their decision making power within their family and community, their view of themselves and their lives, changes in the use of their time, and their relationship

with their husband and children. So far, eight projects in eight different countries provide the base data for the study including: sericulture in India, dried coconut products in Bangladesh, ginger and pickled ginger production in Thailand, varied foods production in Peru, wool production in Guatemala, cashew nut processing in Honduras, food production in Tanzania, and sunflower oil production in Zimbabwe. Eight women's projects sponsored by a variety of agencies in Senegal could be analyzed using the same questionnaires and methodology. Where the broader initial UN data collection is taking place over three months, the E.N.E.A.-UConn study would be able to supplement questionnaires with more in depth profiles of the projects and the women participants and thus answer questions which the briefer study will be unable to do. The importance of this is clear - small and medium scale enterprise projects have been touted as one of the few successful ways of increasing women capacity to generate more income in the short run (see, for example, Maria Otero and Elisabeth Thyne, 1993; Ann Leonard, 1989; Marguerite Berger and Mayra Buvinic, 1989). This study could provide very significant information on the real impacts these projects have and on how strategy choice affect outcomes.

Associated with these projects will be various short term training courses focussing on research on women which raises questions about how research needs to be conducted for specifically women subjects, what the W.I.D. literature actually tells us about women's projects and what works and does not. In addition various general topics such as creating more sensitive and understanding colleagues for women professionals and explaining the "chilly climate" for women in private and public offices in Senegal and elsewhere could be explored.

c. Private Sector Development - An associated effort in the private sector is the proposed establishment of an internship program for ENEA faculty with the Connecticut Small Business Development Center, based at UConn. The Director of this program, John O'Connor, has visited Senegal in January 1993 in an effort to insure that the future internship program will provide ENEA faculty with the appropriate skills needed in support of small business training and consulting in Senegal. An ENEA based small business development center will be designed to assist women and functionaries leaving the public service under the reform measures to enter the private sector.

The most promising areas for small enterprise development in Senegal are in the agricultural sector, especially in horticulture, livestock (particularly small ruminants) and the creation of small enterprises for the provision of agricultural inputs and equipment. Important village level data compiled over twenty years by ENEA staff and students during their annual field course, is currently being coded by two ENEA faculty in collaboration with the Department of Agricultural and Resource Economics at UConn. It will serve as an important source of the micro level data which is so often lacking in the planning of

small scale agriculture related businesses. Under the UDLP, these data will be analyzed and used in support of the WID and small enterprise training program.

Agricultural Data Base Development

The purpose of this aspect of the linkage is to initiate a research/training program designed to generate information that can be used by policy makers, faculty members, students and research and extension services. The specific objectives are to improve the capability of ENEA to expand and maintain a data bank that was recently initiated by Professors Boris Bravo Ureta (UConn) and Abdoulaye Diop (ENEA), and to enhance the research skills of ENEA staff and students to conduct farm management and agricultural policy research.

For many years ENEA has included as part of the training of first year students an elaborate data collection effort. Data are collected at the household, village, and rural community levels. These data are used by each student to prepare a report in which an exhaustive socioeconomic analysis of the household is made. In addition, all students working in the same village prepare a village level report. These data are later used by second year students to elaborate local development plans, and occasionally, by third year students to develop their senior thesis.

As part of a program initiated in the latter part of 1992, data for the period 1982 to 1991 were codified and computerized. An important part of this project will be to continue to computerize additional data gathered by students. For this purpose, the data entry can be done by the students. This would provide them with a vehicle to formally introduce computers into their training.

Once the ENEA data are fully computerized and updated annually, several teaching, research, and extension activities will be pursued. One specific area is to add a farming systems component by having students take to the field new practices that farmers could try out. A system could be devised where experimental plots would be prepared by the farmers with the students in which the new practices would be tried along side traditional or established practices. The students could collect the data which could then be analyzed to determine the desirability of the new practices. This effort could entail the collaboration with ISRA and/or the Ecole Cadres Ruraux in Bambeye (Senegal).

Another potential use for these data is the analysis of resource management strategies at the village level. For this purpose, a module will be developed and added to the survey forms in order to collect the data that would be required for this type of analysis.

The data bank will also be the basis for short and/or long term training programs for both ENEA faculty and students. Topics that appear to be of particular relevance are farm level decision making, financial analysis, and natural resource management. An important dimension of any of these training programs would be the application of theoretical models to actual decision making using

microcomputers.

In addition, a variety of research projects that would contribute to the agricultural policy debate in Senegal could be undertaken with these data. These research projects will constitute the thesis work for students at ENEA and for ENEA faculty members pursuing graduate degrees in the United States. Research topics that can be pursued include natural resource management, farm resource allocation, productivity analysis, supply response, technology adoption, and household food consumption. A specific example of a research project is the doctoral dissertation of Mr. Abdoulaye Diop currently underway in the Department of Agricultural and Resource Economics at the University of Connecticut. Mr. Diop is using the 1982-91 data to examine the impact of agricultural infrastructure on farm output.

Agricultural Market Development in Senegal

As Senegal continues to move towards the development of private sector institutions in agriculture, an important dimension is the creation and sustainability of viable and efficient market mechanisms for agricultural products. As economic rural development takes place in a regional context, it is necessary for the role of government to shift from direct government intervention to one of facilitating the movement of products from producer to consumers and industrial buyers. In the face of market failures, the government role could also encompass ensuring the efficient functioning of middlemen activities.

Since 1984, the Senegalese government policy goal has been to sharply reduce the state's intervention in the farm sector and to increase the role of farmer organizations and the private sector. Partial progress has been accomplished in that direction; particularly in reducing the role of the government rural development agencies, realignment of price incentives to domestic cereal producers, and to privatize the distribution of farm products and inputs. Yet, significant impediments remain for attaining an efficient marketing system.

The overall objective of this component of the UDLP project is to provide information and human resource support for the efficient operation of private agricultural channels in Senegal. More specifically the objectives of this work by Professors Rigiberto Lopez, Emilio Pagoulatos and Abdourahman Thiam are:

- (1) to identify the remaining impediments to the expansion of efficient private agricultural marketing channels in Senegal;
- (2) to suggest alternative potential solutions to the removal of those impediments; and
- (3) to facilitate human resource development in the area of food marketing and policy.

In the long term, these objectives will be implemented through the training of Senegalese students at the M.S. and Ph.D. levels at the University of Connecticut. Another important component will be the continuous interaction between ENEA personnel and other interested Senegalese agencies and the University of Connecticut. In the short term, two-way visits between ENEA personnel and the University of Connecticut will be

used for training in food marketing and policy through workshops on topics mutually identified by ENEA and the University of Connecticut. In addition, priority research areas will be identified in consultation with ENEA for possible M.S. and/or Ph.D. theses and for collaborative research effort between ENEA/University of Connecticut personnel.

Culture and Management

The management training program at ENEA, introduced in 1985 with the help of current UConn faculty, is in the process of being revised. A joint ENEA/UConn study of the impact of culture on management in both the public and private sectors is in progress. The survey has been completed in Senegal, the data have been coded and are now being analyzed. These data will serve an important function in the revision of management modules jointly designed and currently included in the regular academic and in-service components of ENEA training programs.

d. Human Resource Development - Adult Education Techniques and Research Methods. Communicating with local elected officials, functionaries, small farmers and the population requires improved adult learning. An important component of the UDLP linkage will work with the data base already in existence and expand its role by adding new qualitative data to it. Under this effort coordinated by Professors Timothy Reagan, Barry Goff, Waly Diouf and Adama Sow we propose to:

- * Develop 5-year research programs to compliment national planning cycles

- * Explore use and development of computer data bases as a means of enhancing access and utility of the information gathered. ENEA already has a number of personal computers, both IBM and Macintosh. Developing data bases that will allow a variety of analyses would be one component of increasing the accessibility of the information for faculty and the government. Data bases would allow immediate access to the information and make it possible to combine and manipulate the information to identify patterns and trends.

The data bases should be developed with an eye toward both immediate needs and future analytic capacities. In particular, recent advances in geographic information systems for personal computers provide a powerful tool for communicating information to a wide variety of people.

- * Develop data analysis strategies to capitalize on the value of existing information. The value of existing information can be expanded by content coding from the student reports. The content categories will allow major themes in the years of research to be summarized. In addition, the categories can be used to help develop some of the categories to be used in guiding future data collection.

- * Develop strategies for use of the data for scholarly and planning activities. The data for scholarly activity will be more accessible as a result of the above activities. The theoretical frameworks to guide their scholarship will be developed through the faculty exchanged between the two institutions. Information

exchanges will focus on developing and exploring researchable hypotheses using current and future data. This activity will involve close coordination between UConn's School of Education and ENEA's department of Communication, Community Development, and nonformal Education.

B. 2. Management Plan

Program Management

Management of the program will be carried out using the mechanism currently in place which has been quite successful in managing the current, mission funded relationship. The communications between UConn and ENEA have been very effectively carried out during the past three and a half years with a very simple and cost effective mechanism. The program will be jointly managed by the Director of ENEA, Samba Dione and the Dean of the Division of International Affairs at the University of Connecticut, Richard Vengroff. UConn assumes full responsibility for all logistics, including travel, housing, access to research facilities, degree programs, etc. in Storrs. ENEA, for its part assumes full responsibility for the same activities in Senegal. International travel is managed from UConn but travel is only authorized upon the agreement of both parties.

The Director of ENEA and the Dean of International Affairs at UConn are in communication (at least once a month) by telephone and more frequently by Fax. Regular meetings are held between them at least twice a year, once in Storrs, Ct. and once in Dakar. The two principles meet regularly with their respective faculties to put together proposals for an annual work plan, including performance targets, scheduling of activities, and evaluation of those activities. The day to day management of the grant at UConn will be overseen by the Division of International Affairs, particularly, Mr. Mal Bochner, Director of the Office of Proposal Development, Fulbright Programs and Sponsored Programs. Day to day management at ENEA will be handled by the Director of the Department of Applied Research, Mr. Ibrahima Guaye. All aspects of management, including financial statements, travel authorizations, visas, travel advances, per diem, equipment purchases, housing, local transportation, health insurance, etc., are handled by these individuals and their respective staffs. No demands are made on the AID Mission in Dakar or on AID Washington.

A.I.D/Dakar, through the P.D.O., will be asked to participate by providing suggestions for research topics of importance to development efforts in which it is involved in Senegal. An A.I.D. representative will be invited to participate in ENEA-UConn meetings designed to prioritize research and training programs. The aim is to promote close collaboration between all partners so as to insure maximum benefits to the people of Senegal.

During the existing link between UConn and ENEA no conflicts have arisen. However, should such a conflict arise, the two PIs, who have known each other as colleagues and close friends for

over a decade will work as a board of appeals to settle any disagreements. Overall this management structure insures simplicity and cost effectiveness by not creating a large, unnecessary bureaucracy to manage project related activities.

Both UConn and ENEA recognize that cultural sensitivity to each others needs, operating procedures and interests is very important. Although virtually all participants in this project have extensive experience in Africa (for the UConn side) or Europe and the U.S. (for the Senegalese side) respectively, an orientation is essential. All faculty and/or graduate students from UConn going to Senegal under this linkage will be given a full orientation by faculty who have recently been in Senegal, and Senegalese participants in residence at UConn. The first day in-country also involves an orientation to ENEA and meetings with most of the faculty. Senegalese coming to UConn receive a similar orientation in Dakar. Upon their arrival in the U.S. they are provided with an orientation to the region, shown how to get appropriate ID cards, how to use public transport, obtain housing, etc. The offering of Wolof at UConn starting in the Fall of 1993 will also complement the orientation by giving faculty the opportunity to study Senegal's most commonly spoken language before going. Our intensive English Program (UCAELI) also serves to prepare Senegalese participants who need to perfect their English before beginning academic work or research activities.

B. 3. Gender Issues

Both the University of Connecticut and the ENEA recognize the importance of gender issues in development and have worked very hard over the life of our relationship to insure that this issue remains central to our overall efforts. In that regard, the very first project carried out under our existing relationship (1990) was directed by Dr. Lucy Creevey, Director of Women's Studies at UConn, with a team of ENEA researchers. Gender issues play a central role in the proposed linkage in both the areas of governance and privatization. In addition to Dr. Creevey, at least four female UConn faculty are slated to participate in the linkage. In addition to the proposed activities described above, ENEA is committed to recruiting female faculty who will be directly implicated in long term training and research under this linkage. In the past, two female faculty members at ENEA obtained M.S. degrees in the U.S. under the supervision of Dr. Vengroff. ENEA has a full complement of females among its students, is committed to promoting greater equality throughout the institution and the society at large, is attempting to recruit additional female faculty members, and regularly runs training programs and conducts studies targeted at the role of women in development. UConn also has a strong commitment to insuring that activities in which it is involved, both at home and abroad are fully sensitive to gender issues. We are pleased to have celebrated the "Year of the Women" at UConn during academic year 1991-92 in recognition of 100 years of women in the university.

B.4. Partner Involvement

Both partners under this agreement take the linkage very seriously, are fully committed, and have acted and will continue to act as full partners in the relationship. This proposed linkage is not one which will be consummated for the first time after UDLP funding is received. All parties are well known to each other, have interacted extensively in the past as colleagues, teachers, referees of each others papers, co-equal members of training teams, and as friends. One of the reasons that this linkage is being proposed as a bilateral relationship is that both institutions feel fully committed to a co-equal partnership, based on mutual respect and integrity. There are no junior partners in this scheme. The fact that the relationship between institutions is flourishing is indicative of the high value placed on it and the outputs of a linkage by both institutions.

B.5. Approaches to Collaboration by Other Organizations

A number of other organizations will collaborate with both UConn and ENEA in the implementation of this linkage activity. Private firms in Senegal will participate because of the training and consulting opportunities the linkage will afford to their companies' development. PVOs and NGOs will also be involved as users of the expertise which both ENEA and UConn jointly bring to a variety of development tasks, especially in the areas of training and applied research. Using a Dakar based group for this purpose will guarantee a more cost effective, high quality products and services. The same will apply to the bilateral and multilateral donor community.

In the U.S. the linkage will continue to provide Senegalese (7 individual Senegalese participated in such activities this year alone) scholars and students to the K-12 public schools for assistance with the "international" modules of their courses. In addition, although Senegal and the U.S. are not likely to become major trading partners, at least two new Connecticut owned companies have spun off the relationship already. It is expected that several more will be created during the life of the linkage. ENEA faculty, working with the Connecticut Small Business Development Center based at UConn will be having daily contact with small and medium size enterprises in the State. In addition, the Connecticut World Affairs Council will continue to work closely with UConn on expanding the cultural horizons of Senegalese participants, their American counterparts, and the public at large.

B.6. Institutionalization of Collaboration

The best indicators of institutionalization are endurance over time and the positive value attached to such a relationship by its members. The specific efforts to institutionalize this relationship are designed to link key active individuals in both institutions in an activity in which they both strive to excel and for which there is appropriate recognition. Those areas are collaborative research and teaching. By developing a solid truly collaborative research program from the start, we expect to be

able to link faculty to faculty, and faculty to graduate students who will become permanent faculty in their own right.

All thesis or dissertation work done under this grant will be conducted in Senegal on problems of direct relevance to the core issues around which this linkage is being built and to the development of Senegal. Faculty advisers will for the most part travel to Senegal to work with the graduate students, the faculty, and other scholars on problems of direct concern to them. By promoting collaborative research on long term issues we hope to cement the relationship between our two faculties, produce joint publications in refereed journals, and maintain a very positive image among our respective administrations for the linkage. For example, several co-authored articles already appear in refereed journals based on research done during the existing relationship. A book on women in Senegal, in the final stages of preparation recognizes a very significant contribution from ENEA researchers. Additional data already collected and in the process of analysis should result in a number of other such publications.

An additional area of high value to both parties is that of grantsmanship and external contracts. UConn and ENEA are preparing to work in several new areas together, including the development of a number of fee for service programs. Profits from these activities will give both institutions increased flexibility in this era of tight budgets. In sum, the investment in the relationship on the part of both institutions has already borne fruit in a way which will serve to institutionalize the relationship. The activities outlined in this proposal make a further contribution to that institutionalization by reinforcing mutually desirable collaborative activities for both faculties.

B.7. Means of Facilitating Communication Among Linkage Partners

Communications among the linkage partners will be facilitated by the use of regular telephone, Fax, and E-Mail contacts. The setting up of modern computer facilities at ENEA through the contribution of equipment by UConn has made the inexpensive E-Mail available to virtually all faculty. This will undoubtedly continue to grow and serve as an effective means of linking our faculties on a daily basis. Regular seminar presentations by faculty visiting in either direction is a mechanism which is also used quite effectively for inter-institutional contacts.

C. Monitoring and Evaluation

C.1. Plans for monitoring and Evaluating Progress Toward Completion of Planned Activities

The evaluation of progress toward the completion of planned activities under this linkage will be conducted in a series of regular steps involving both partners and their constituent communities.

a. Biannual progress reports - Every six months each of the principal investigators, Richard Vengroff for UConn and Samba Dione for ENEA will write a brief progress report identifying the

degree to which activities are occurring in a timely fashion consistent with the work plan, the activities undertaken, individuals participating, funds expended (both AID and institutional), problems encountered and the resolution or lack thereof, suggest items for discussion at the next annual conference.

b. Annual Joint review Conference - At the end of each year a joint review conference will be held, alternating between Storrs, Connecticut and Dakar, Senegal. For this conference the visiting institution will bring a team including the PI and two other faculty/staff actively involved in the substantive activities of the linkage. The visiting faculty will use this opportunity to work closely with their counterparts as part of the regular research and training activities under the project so as to make the actual trip as cost effective as possible. At this conference progress will be reviewed, the workplan examined and revised and updated as necessary, the financial status of the project reviewed and an annual report produced. The AID University Center will be invited to send a representative to this meeting when held in the U.S. and the AID mission in Dakar will be invited to send a representative when it is held in Senegal. Also participating in the Senegal meetings will be invited representatives of Senegal's Ministry of Education, Planning, Social Development, and the Interior. The Connecticut meetings will include invited representatives of the State Office of Higher Education, the UConn research foundation, and the Office of the Provost.

c. Mid Project Performance Audit - Towards the end of the Third year of the project, an independent performance audit will be requested and completed by the University of Connecticut Office of Internal Audit to insure that performance and financial objectives are being met and to make recommendations for improved monitoring and evaluation for the final years of the project.

d. External Evaluators - Two external evaluator/consultants will be hired to conduct an independent evaluation of the project during year four of the project so as to assess both progress in terms of specific objectives and toward the institutionalization and thus sustainability of the linkage beyond the life of the funded linkage.

C.2. Mechanisms to identify and solve evolving problems - The mechanisms are those identified above, particularly 1.a.the six month reports and b.the Joint annual review conference. Regular communication between the PIs will also help obviate any evolving problems.

C.3. Assessment of the Impact of the Linkage on the USIHE partner - This will be measured by a set of quantitative indicators which will be compared to the baseline year before the start of the UDLP linkage and include, but not be limited to: a) the number of linkage related publications in refereed journals, b) the number of linkage related papers presented at professional conferences c) the number of faculty involved in a and b, d) the number of new courses or modules of existing courses introduced

as a result of the linkage, e) enrollment in language courses in Wolof, f) enrollment by faculty interested in linkage participation in intensive French classes, g) the involvement by additional programs, departments, schools and colleges in Senegal related activities, h) the number of dissertations and theses by non Senegalese students done on Senegal related topics.

C.4. Assessment of the Impact of the Linkage on the DCIHE partner - This will be measured by a set of indicators, quantitative and qualitative, to be compared with the base year before the start of the UDLP funded linkage and include but not be limited to: a) increased demand by development agencies, both public and private, and regional and local governments for ENEA graduates, b) demands for participation in ENEA organized short courses and in-service workshops, c) increased requests for special workshops, d) demands for studies and consultant services to be implemented by ENEA, e) the number of applied research reports and training manuals produced and distributed, f) the number of articles authored or co-authored by ENEA faculty appearing in refereed journals.

C.5. Progress toward the Sustainability of the Institutional Linkages - The sustainability of the linkage will depend on the institutionalization of the relationship. This depends on performance in two areas highly valued by both parties, research productivity, and success in obtaining external grants and contracts, including the development of fee for service training programs and consulting services. Both sides will continue to invest their own funds in the linkage to the extent that their money is leveraged into applied research and new sources of funds. Progress toward sustainability will therefore be measured in terms of a) the number of externally funded collaborative research projects, b) the number of refereed publications resulting from these projects, c) increased training contracts and fee for service training programs, d) an overall increase in the volume of funded collaborative activities. This linkage proposal includes the basis for achieving all of these and insuring sustainability.

Section II- USIHE Institutional Characteristics and Capabilities Related to the Linkage

1. University Wide Internationalization - The University of Connecticut (UConn) is the "flagship" of Connecticut's public higher education system. It is the largest university-- public or private--in the State and one of the two largest public land-grant, research-oriented universities in New England. Its full scope of international activities undergraduate, graduate, professional, research and training are coordinated by the Division of International Affairs, which includes the Institute of Public Service International, the Francophone Management Training Program, the Latin American Management Training Program, and other programs offered throughout the world (see Table of Organization, appended). The baccalaureate degree is offered in 98 fields of study. At the graduate level, students may earn Master's degrees

in 70 areas, and may choose from among 66 specialities for the Ph.D. degree.

Official financial statements and other canvasses from 1992 (the latest available) report that, excluding the Health Center in Farmington, the University's student body totalled 24,131 statewide, including 7,724 graduate and professional school students. The institution's budget exceeded \$357 million, of which more than \$32 million went for direct costs of research an input which contributed to UConn's ranking among the nation's top thirty public universities in research.

Besides over 1,200 international students (representing 84 countries) pursuing undergraduate and graduate degrees, the University, appropriately, has a number of international programs matching its external concerns and responsibilities emanating from its Storrs, Greater Hartford and Farmington campuses. These include several long-standing area and topical studies Centers and programs (including a Center for Contemporary African Studies with complementary undergraduate and Master's degree programs in African Studies), language programs (including French, Arabic and Wolof), skills training programs (including a Francophone Management Training Program), study abroad opportunities (with opportunities for spending a junior year in Africa) and bilateral linkage initiatives including ENEA in Dakar. In all, UConn is involved in linkage type arrangements including faculty exchanges, collaborative research and study abroad programs in over fifty countries around the world.

Much of the University's increased effort in the international arena has been tangibly aided by the creation in January 1990 of the Division of International Affairs with its full-time staff under the direction of Dean Richard Vengrcff, a political scientist and Francophone Africa specialist.

2. Organization of International Programs - The Division of International Affairs is the focal point for international activities at The University of Connecticut, including:

1. Study Abroad, involving forty-two programs in thirty-five countries;

2. The Department of International Services and Programs, comprised of the International Advisory and Program Center, the University of Connecticut American English Language Institute, and the International Teaching Assistant Program;

3. Co-management of area and topical studies programs and Centers, including the Center for Latin American and Caribbean Studies, Center for European Studies, Center for Contemporary African Studies, Center for International Community Health Studies and the Programs in Middle Eastern Studies and Asian Studies;

4. International Short-Term Training and Technical Assistance Programs and Workshops, in English, French, Spanish as well as other languages, are given by the Division of International Affairs, the Institute of Public Service International and the Center for International Community Health Studies, often in collaboration with one another and in close collaboration with the University's School of Business

Administration and in conjunction with national and international public and private sector agencies.

The Institute of Public Service International (IPSI), founded in 1961, officially became a part of the Division of International Affairs in 1993. The mission of IPSI is to provide education and training to public, private and non-profit organizations and their managers from developing countries. IPSI offers courses of varying lengths at its facilities on the University of Connecticut's Greater Hartford campus, in West Hartford and in sites around the world. Among IPSI's ongoing programs are a five-month Public Management Diploma Program and thirteen eight to ten week Certificate Programs. Custom-designed training programs to meet the special requirements of clients regularly are arranged and conducted on site overseas or on campus in Connecticut.

The integration of IPSI into the Division of International Affairs, and the close working relationship between the Division of International Affairs and the University's widely-respected School of Business Administration, has maximized the University's potential for and capability in delivering short-term training programs, particularly in the areas of management and administration.

3. Institutional Commitment to Internationalization - The University's commitment to and support of international activities is evidenced by: (1) its officially issued Mission Statement; (2) Board of Trustees-approved By-Laws; (3) the internal budget-allocation given to the Division of International Affairs.

The University of Connecticut "Mission Statement" concerning international activities is as follows: "The entire University of Connecticut community must be prepared to address the crucial global issues of international peace and understanding, equitable social and economic development, the production and transfer of scientific knowledge and state of the art technology, and improvement in a competitive world market system. The University community represents an outstanding repository of research capacity, knowledge, skills, and teaching competencies in the area of international relations and international studies. In the rapidly changing global environment it is incumbent upon us to insure that this tremendously valuable resource be available to the people of Connecticut, the nation and the world. In order to insure that this university remains in the forefront of the production and dissemination of state of the art knowledge, the Division of International Affairs endeavors to enrich, facilitate and promote the international activities of faculty, students, and the educational, artistic, and business communities.

The Division of International Affairs is recognized in the University's By-Laws by the following statement: "It is the function of the Division of International Affairs: a. To facilitate the adjustment to campus of international students by providing language instruction and orientation workshops; b. To administer exchange programs involving faculty, staff, students or research materials; c. To supervise research and teaching programs that examine particular regions of the world, or foster

comparisons among countries and regions."

For FY 1992-93, the Division received an internal budget allocation of \$1,100,000 (all programs and activities including core staff salaries, but not including faculty and staff salaries in area- and topical-studies programs); the Division generated and helped generate \$4,000,000 in external support (grants, contracts, workshops, training programs, etc.) in FY 1992-93.

In September 1991, a year and a half after founding the Division of International Affairs, the Board of Trustees of The University of Connecticut further demonstrated its commitment to international activities by establishing a Center for Contemporary African Studies. The scope of the Center is broad and designed to meet the needs of both traditional academic constituencies and the wider communities which The University of Connecticut serves. The core faculty of the Center for Contemporary African Studies consists of an impressive contingent of twenty-three distinguished Africanists and is staffed by a Director on release-time with additional administrative support given by two Graduate Assistants whose scholarships are provided by the Division of International Affairs.

4. Community Outreach - The Division of International Affairs has a formal linkage arrangement with ENEA, Dakar, underwritten financially by USAID/Dakar. The University is a member of two international development assistance consortia -- New England Council on International Development (NECID) and the Consortium for Development Management (CDM); CDM, with The University of Connecticut as the lead institution, recently completed a \$365,000.00 Chad Extension Program for USAID/Labat-Anderson, Inc. The division regularly provides assistance to the K-12 community, to business, industry and the public.

Section III Developing Country Institution Characteristics and Capabilities Related to the Linkage

1. Institutional Commitment of the Developing Country Partner to this Linkage - ENEA is a national school in the tradition of France's "grands écoles." It provides professional training at the university level through its five departments, 1)Education-Communication, 2)Economic Planning and Management, 3)Statistics and Demography, 4)Regional and Urban Planning and Environmental Studies, and the 5)Department of Applied Research. The prime mission of ENEA is to "train competent professionals in development , who are able to initiate, stimulate, organize and spur economic activities, and to inform and train producers, both urban and rural, with a view to improving their technical capabilities, their environment, and their standard of living." In addition, ENEA has a research mission defined as "developing applied research methods, and initiating and coordinating research activities designed to support participatory development throughout Senegalese society." The goals of ENEA require that it link itself with international institutions so that it can collaborate in the production of knowledge and delivery of state of the art training programs.

ENEA signed a cooperative agreement with UConn in 1989 and has worked very hard to implement the basic objectives of that linkage. For that purpose it has already committed a third of its faculty to long or short term collaborative research and training activities. The top administrator, Samba Dione, has himself been an active participant in the linkage and has expressed his continuing support for it, including participation in the writing of this proposal. The institution has committed its own resources, including housing, computer labs, logistical support such as local transportation, data archives, and other library facilities, and student researcher/interviewers to the existing relationship and has pledged to continue to do so, at an even greater level in the future. Communication equipment and expenses including Fax, telephone and photocopying equipment have also been made available under the relationship. Every indication is that ENEA is fully committed to this linkage.

2. Capacity of the DCIHE to address the developmental issues which are the focus of the proposed project - ENEA, since its founding in 1961, has consistently tried to deal with the key issues of concern to this linkage, decentralization and governance, economic development, the role of women in development, agricultural policy and productivity, and non-formal education. The present circumstances of the country, including the major new government reforms, the new agricultural and industrial policies, structural adjustment, disengagement of the state and privatization, and regional decentralization, have led ENEA to revise its curricula, its research agenda, and its in-service training and short term training programs. It is already training departing functionaries and recent university graduates for their new role in the private sector, particularly with small and medium size enterprises. It is also involved in teaching local communities how to better manage their environmental resources and working with small groups of entrepreneurs (GIE) to produce economically viable small businesses.

Because of its extensive past experience in the area of rural development, its vast collection of yet to be exploited data archives, and its nationwide network of alumni, it is well positioned to collaborate with UConn as an equal partner in the exciting research and training components of this linkage. ENEA has already demonstrated its capacity in the context of the current linkage, to both its partner institution and the government and people of Senegal.

3. Correspondence of Efforts Under this Proposed Linkage with Other Development Efforts of Senegal - The efforts identified for implementation under this proposed linkage are fully consistent with and supportive of the country's development efforts. Decentralization is a critical key in President Diouf's strategic plan for the long term transformation of the country. Privatization, especially in the agricultural sector, the improvement in the delivery of adult education, and advances in the status of women as vital economic operators are all top priorities nationally. Many other organizations, especially NGOs

and PVOs are very much implicated in these issues as well. They are currently working closely with ENEA in terms of applied research, short term training and the recruitment of ENEA graduates to run their organizations and manage their projects. ENEA serves as a vital resource to them, to the Government of Senegal and to the donor community as a whole. This is further indicated by existing contracts with the Italian Government, with the German Government, with the U.N.D.P., with the Swiss, with the F.A.O., and with France, to name but a few. By emphasizing objectives of governance and privatization, this linkage clearly complements these other efforts and relationships.

4. Community Outreach Efforts of the DCIHE - ENEA is currently pursuing the development of a dense network of international relationships. This is expressed as a network of partnerships, whose participants derive from both North and South, composed of local public organizations, ministries of development in the West African Region, local communities, international development organizations, universities, and sponsors. ENEA is a member of the network of African Institutions for Training and Research for Rural Development (ARDNET/RAFDAR). Students being trained at ENEA come from private organizations, local communities, national or international organizations, or NGOs. ENEA regularly cooperates with business, industry, local producers groups, extension efforts in a variety of different disciplines and ministries, and grass roots women's groups. Community outreach in the context of rural development is to a large extent the "raison d'être" for ENEA. This impressive outreach capacity will be further enhanced by this linkage.

UDLP Obj 1 Decentral. table

THE UNIVERSITY OF CONNECTICUT AND THE ECOLE NATIONAL D'ECONOMIE APPLIQUEE (SENEGAL)					
UNIVERSITY DEVELOPMENT LINKAGES PROJECT APPLICATION					
GOAL AND PURPOSE	OBJECTIVES	ACTIVITIES	DESIRED OUTCOMES	RESOURCES REQUIRED	NEEDED INPUTS
See RFP	1. Support the efforts of Senegal to improve the quality of democratic governance by expanding the administrative and political decentralization programs in the regional and local (municipal and local rural councils) levels.	1. Conduct a field based study of the quality of decentralization at the regional, municipal and rural council levels using the newly developed systematic methodology already tested at national level.	1. Data will be collected and policy analysis papers produced on decentralized service delivery, human resource needs, the financial resource base, participation rates and opportunities.	UConn - Personnel, computer facilities, library resources. ENEA - Personnel, logistical support, computer facilities	Who: Richard Vengroff Samba Dione, staff from UConn and ENEA Where: Senegal When: Estimated 8/95 completion date. 1 grad assistantship
		2. Design, and implement training programs in decentralization, human resource management, financial management, and performance auditing for regional, municipal, and local officials in Senegal.	2. Improved performance of regional, municipal and local functionaries and elected officials, resulting in a high quality democratic governance	UConn - Personnel, training materials ENEA - Personnel, classroom, materials, computer labs, housing	Who: Vengroff, Dione, Ndiaye, Murphy, staff Where: Senegal, Dakar and several regional capitals When: One seminar/workshop per year for five years
				AID - transportation, per diem, clerical, communications	
				Estimated Cost:	
				\$	
				Estimated Cost:	
				AID \$117,822	
				Match \$196,972	

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UDLP Obj 2 Ag table

THE UNIVERSITY OF CONNECTICUT AND THE ECOLE NATIONAL D'ECONOMIE APPLIQUEE (SENEGAL)					
UNIVERSITY DEVELOPMENT LINKAGES PROJECT APPLICATION					
GOAL AND PURPOSE	OBJECTIVES	ACTIVITIES	DESIRED OUTCOMES	RESOURCES REQUIRED	NEEDED INPUTS
See RFP	2. Promoting Private Sector Development in Senegal, especially for women, and for those in small or medium sized agri-business enterprises	2.a. Develop a micro-level Agricultural data base using data collected over the past twenty years by ENEA students during their extended field training in small villages in Senegal	2.a. Once the data are coded and entered, analysis will be done of resource management strategies at the village level, farming systems analysis, assessments of the impact of national ag. policies at the farmer level, including the effects of privatization of inputs and marketing. The data base will be updated regularly and maintained as a resource for research, teaching and policy analysis.	2. a. UConn - Personnel, computer facilities, library resources, ENEA - Personnel, logistical support, computer facilities AID - transportation, research assistants, per diem, local transport, communications Estimated Cost:	Who: Boris Bravo-Ureta Abdoulaye Diop, staff and grad. student Where: Senegal When: Ongoing activity through life of project and beyond. Basic data base will be up and functional by 9/94
		2.b. Conduct a Study of Agricultural market development and private sector marketing facilities.	2.b. Studies identifying the remaining impediments to the expansion of efficient private ag. marketing channels in Senegal, alternative policy proposals to address this issue, and skilled human resources in the area of food marketing and policy.	2. b. UConn - Personnel, computer facilities, library resources, ENEA - Personnel, logistical support, computer facilities AID - transportation, research assistants, per diem, local transport, communications, graduate assistantship Estimated Cost: AID \$141,019 Match \$171,006	Who: Emilio Pagoulatos Roberto Lopez, Abdourahman Thiam staff and grad. student Where: Senegal When: Estimated 9/96 completion date

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UDLP Obj 2 Ed table

THE UNIVERSITY OF CONNECTICUT AND THE ECOLE NATIONAL D'ECONOMIE APPLIQUEE (SENEGAL)					
UNIVERSITY DEVELOPMENT LINKAGES PROJECT APPLICATION					
GOAL AND PURPOSE	OBJECTIVES	ACTIVITIES	DESIRED OUTCOMES	RESOURCES REQUIRED	NEEDED INPUTS
See RFP	2. Promoting Private Sector Development in Senegal, especially for women, and for those in small or medium sized agri-business enterprises	3.a. Developing improved data on adult learning and developing improved methodological skills and an expanded data base.	3.a. The agricultural data base will be expanded to include relevant material on adult learning which can be input into the policy process.	3. a. UConn - Personnel, computer facilities, library resources. ENEA - Personnel, logistical support, computer facilities	Who: Timothy Reagan Waly Diouf staff and grad. student Where: Senegal
		3.b. A five year study will be conducted on adult learning in the area of business and agriculture.	3.b. Methodological skills, both qualitative and quantitative, of ENEA staff will be strengthened and training of adult ed. specialists by ENEA refined.	AID transportation, research assistants, per diem, local transport, communications	When: First stage to be completed 9/94 but data entry will be on an annual basis thereafter
				3. b. UConn - Personnel, computer facilities, library resources. ENEA - Personnel, logistical support, computer facilities	Who: Barry Goff Adama Sow staff and grad. student Where: Senegal
				AID - transportation, research assistants, per diem, local transport, communications, graduate assistantship	When: Estimated 9/97 completion date
				Estimated Cost:	
				AID \$129,492	
				Match \$143,987	

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