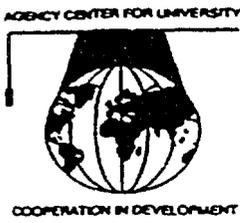


PD-ARUN-00Y



AGENCY CENTER FOR UNIVERSITY COOPERATION IN DEVELOPMENT

Bureau for Research and Development  
U.S. Agency for International Development

90821

Room 900, 1815 North Fort Myer Drive, Arlington (Rosslyn), VA  
Tel. no.: (703) 816-0292 or 0294  
Fax no. (703) 816-0266

January 6, 1993

*Handwritten signature/initials*

Mailing Address

Room 900, SA-38  
2201 C St., NW  
Washington, DC  
20523-3801

MEMORANDUM

TO: HEAD Project Design Committee  
FROM: Ralph W. Smuckler, <sup>YES. for</sup> Executive Director  
SUBJECT: HEAD Project Paper

Attached you will find a copy of the HEAD Project Paper and the Annexes. Over the past several weeks we have distributed the draft components of this document to you serially, but this is the first time you have received them in combined form. There have been seven meetings of the HEAD Project Design Committee to provide you an opportunity to comment, ask questions and suggest changes and improvements. We have appreciated your participation and thank you for your efforts on this committee and your assistance in shaping this project.

In recent meetings with the Procurement Office they have emphasized that if OYB transfers or add-ons are going to be allowed there should be reference to this in the Project Paper. They recommended that we include figures in the Project Paper that would provide a vehicle for this kind of participation should Missions choose to do this. We have included conservative projections with an explanation of our assumptions in Annex G.

If, after you have reviewed the Project Paper, you have questions, comments or need clarification please give us a call.

A copy of the issues paper for the January 13, 1993 meeting of the Operations Committee will be sent to you. We will get a copy of the issues paper to you as soon as possible, but not later than Monday.

Attachment: a/s

*Supporting the*

BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT  
AND ECONOMIC COOPERATION

1

PROJECT DATA SHEET

1. TRANSACTION CODE

A = Add  
 C = Change  
 D = Delete

Amendment Number

PD-ABW-000

DOCUMENT CODE

3

2. COUNTRY/ENTITY  
Worldwide

3. PROJECT NUMBER

036-5065

4. BUREAU/OFFICE

5. PROJECT TITLE (maximum 40 characters)

AID/R&D/UC

Higher Education and Development

6. PROJECT ASSISTANCE COMPLETION DATE (PACD)

7. ESTIMATED DATE OF OBLIGATION  
(Under 'B.' below, enter 1, 2, 3, or 4)

MM DD YY  
09 30 99

A. Initial FY 93 B. Quarter 3 C. Final FY 07

8. COSTS (\$000 OR EQUIVALENT \$1 = )

A. FUNDING SOURCE	FIRST FY 93			LIFE OF PROJECT		
	B. FX	C. L/C	D. Total	E. FX	F. L/C	G. Total
AID Appropriated Total						
(Grant)	( )	( 4,000 )	( 4,000 )	( )	( 30,500 )	( 30,500 )
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S.						
1. AID Missions					18,700	18,700
2. Universities		4,000	4,000		21,600	21,600
Host Country					4,200	4,200
Other Donor(s)						
<b>TOTALS</b>		8,000	8,000		75,000	75,000

9. SCHEDULE OF AID FUNDING (\$000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE		D. OBLIGATIONS TO DATE		E. AMOUNT APPROVED THIS ACTION		F. LIFE OF PROJECT	
		1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan	1. Grant	2. Loan
(1) ED	600	660				8,000		8,000	
(2) PSEE	600	660				9,200		9,200	
(3) ARDN	600	660				8,000		8,000	
(4) HE	600	660				5,300		5,300	
<b>TOTALS</b>						30,500		30,500	

10. SECONDARY TECHNICAL CODES (maximum 8 codes of 3 positions each)

630 650 670 625 710 720

11. SECONDARY PURPOSE CODE

700

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

A. Code INTR PART TECH XII TNG RDEV

B. Amount

13. PROJECT PURPOSE (maximum 480 characters)

To assist developing country institutions of higher education increase their role and contribution in their countries' development.

14. SCHEDULED EVALUATIONS

Interim MM YY Final MM YY  
0 7 9 5 0 7 9 8

15. SOURCE/ORIGIN OF GOODS AND SERVICES

000  941  Local  Other (Specify)

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

17. APPROVED BY

Signature

Title Rich E. Bissell, Assistant Administrator/R&D

Date Signed MM DD YY

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

MM DD YY

2



U.S. AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

**ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR OF RESEARCH AND DEVELOPMENT**

**FROM:** R&D/UC, Ralph Smuckler

**SUBJECT:** Authorization of the Higher Education and Development  
(936-5065)

**PROBLEM:** Your authorization is requested to initiate a new, centrally-funded project Higher Education and Development (HEAD) in amount of \$30,500,000 from Agriculture, Rural Development and Nutrition (ARDN) {Section 103}; Health (HE) {Section 104 (c) (1)}; Private Sector, Environment and Energy (PSEE) {Section 106}; Education (ED) {Section 105}; Child Survival (CS) {Section 104 (c)(2)}; Population (POP) {Section 104 (b)}; AIDS (DG) {Section 104}; Economic Support Fund (ESF) {Section 531}; Development Fund for Africa (DFA) {Section DFA}; Title II, Assistance for Eastern Europe, and assistance for the Newly Independent States (or comparable appropriation in the year in which assistance is provided). The initial obligation year is FY 1993, the final obligation year is 1997; the PACD is 9/30/99.

**DISCUSSION:** This project is the core program of the Center for University Cooperation in Development (UC). The Center's aim is to expand and deepen the role of developing country higher education institutions in development. U.S. higher education institutions have played an important role in development and represent an extraordinary national resource. Many of these U.S. institutions are trying deliberately to internationalize their programs. The Agency has an opportunity to forge a new, positive relationship with higher education across-the-board. The HEAD project will provide modest resources to stimulate this new relationship and the inclusion of developing countries and development issues in the internationalization process.

Networks, alliance forming activities, special studies, fellowships, training and other forms of A.I.D.-University interaction involving both developing country and U.S. higher education institutions will be used to accelerate development. HEAD will focus on activities which will contribute to national development and to A.I.D. priorities and benefit higher education institutions in the process. Funds will be allocated through grants and cooperative agreements, using peer-reviewed competitive processes and taking into full account A.I.D. mission priorities. HEAD will be centrally managed so as to impose minimum burdens on mission staff.

The goal of HEAD is to accelerate progress towards development globally and in developing countries. The project's primary purpose is to assist developing country institutions of higher education to increase their role and contribution to development. Two closely related subsidiary purposes, which will be pursued to contribute to the achievement of the primary purpose of HEAD are; 1) To expand the U.S. higher education commitment to understanding and fostering development in developing countries and 2) To expand technical and professional expertise on development at universities while broadening A.I.D.'s access to it.

### Project Data

The initial obligation year is FY 1993. It is planned that a total of \$4,000,000 of central funds will be obligated the first year. Total LOP funding is \$30,500,000. The final year of obligation is FY 1997, and the PACD is September 30, 1999. The HEAD program to be funded will be varied in activities and multi-sectoral. For this reason, a large number of accounts are recommended to be authorized.

In addition, an estimated \$21,600,000 will be contributed to this project in cost-sharing arrangements by U.S. colleges and universities, an estimated \$18,700,000 from missions through add-ons and OYB transfers and \$4,200,000 as in-kind contributions from developing country institutions. The total estimated life of project cost is \$75,000,000.

### Project Design

This project incorporates suggestions and a consensus of ideas from the six major U.S. higher Education Associations representing all U.S. public and private universities and colleges. Persons from these associations met as a Task Force during the latter half of 1991. The actual design for HEAD consisted of representatives from the AFR, ASIA, EUR, NIS, NE, LAC and R&D bureaus and FA/OP and GC. It met seven times to review various sections of the project paper and the initial and final draft. Also, representatives of USIA, NSF, Peace Corps, and the Department of Education have been made aware of the project at various professional meetings and in direct conversations to promote synergism among programs at the federal level.

### SPECIAL INTEREST IN THE PROJECT

The project has generated a large amount of interest in the U.S. university and college community. Through a series of public addresses, the membership of NASULGC, AASCU, AACC, AAU, ACE, NAICU, have been made aware of the project. These six major associations, representing all U.S. higher education institutions

have helped in the planning of the University Center and the HEAD project concept.

**REVIEW:** The issues raised at the PID review meeting, including the specific concerns of each bureau, have been addressed in a separate memorandum attached to this authorization package. The Education Coordinating Group and the Social Science Network reviewed the PID. Other R&D offices have reviewed the project paper. All have had an opportunity to comment. The concerns of the AFR, ASIA, NE and LAC members raised regarding HEAD activities focusing on mission objectives have been covered in the project paper. The project paper describes mission involvement and specifies that missions must approve project activities for their respective countries.

**CONGRESSIONAL JUSTIFICATION:** A Congressional notification was provided on page 60 of the FY 93 Congressional Presentation.

**PROCUREMENT PLAN AND BUDGET:** The project components will be implemented by Grants and Cooperative Agreements in FY 1993, the first of which will be executed in FY 93. Historically Black Colleges and Universities will be covered by a reserved portion of each year's total funds. They will, in addition, be eligible for non-reserved funds. The FY 1993 OYB has \$4,000,000 to initiate the project. The FY 1992 CP was programmed \$8,000,000.

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

Approve \_\_\_\_\_  
Disapprove \_\_\_\_\_  
Date \_\_\_\_\_

Clearances: R&D/PO: JBierke \_\_\_\_\_ Date \_\_\_\_\_  
GC: CStephenson \_\_\_\_\_ Date \_\_\_\_\_  
FA/OP: TStephens \_\_\_\_\_ Date \_\_\_\_\_

Attachments  
Project Data Sheet  
Project Authorization  
Project Paper

5

**PROJECT AUTHORIZATION**

Country/Entity:                   Worldwide

Name of Project:                 Higher Education and Development

Number of Project:               936-5065

1. Pursuant to Sections: Agriculture, Rural Development and Nutrition (ARDN) {Section 103}; Health (HE) {Section 104 (c) (1)}; Private Sector, Environment and Energy (PSEE) {Section 106} Education (ED) {Section 105}; Child Survival (CS) {Section 104 (c)(2)}; Population (POP) {Section 104 (b)}; AIDS (DG) {Section 104}; Economic Support Fund (ESF) {Section 531}; Development Fund for Africa (DFA) {Section DFA}; Title II, Assistance for Eastern Europe, and assistance for the Newly Independent States (or comparable appropriation in the year in which assistance is provided) of the Foreign Assistance Act of 1961, as amended, I hereby authorize the Higher Education and Development project involving planned obligations of not to exceed \$30,500,000 in grant funds from the accounts listed above in this paragraph, subject to the availability of funds in accordance with the A.I.D. OYB/allotment process.

The initial obligation year for this project is FY 1993, the final obligation year is FY 1997, and the PACD is 9/30/99.

In addition to the amounts authorized above, an estimated \$18,700,000 may be contributed from Missions, Regional Bureaus, and other offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF) or the Development Fund for Africa (DFA), Assistance for Eastern Europe, and assistance for the Newly Independent States as well as the accounts authorized for R&D funding under this project.

2. Project Purpose: The project's primary purpose is to assist developing country institutions of higher education to increase their role and contribution to development. Two closely related subsidiary purposes, which will be pursued to contribute to the achievement of the primary purpose of HEAD are; 1) To expand the U.S. higher education commitment to understanding and fostering development in developing countries and 2) To expand technical and professional expertise on development at universities while broadening A.I.D.'s access to it.

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

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

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

Signature: \_\_\_\_\_

Richard E. Bissell

Assistant Administrator for  
Research and Development

Date: \_\_\_\_\_

Clearances:

R&D/PO:JBierke \_\_\_\_\_ Date \_\_\_\_\_

GC:CStephenson \_\_\_\_\_ Date \_\_\_\_\_

FA/OP:TStephens \_\_\_\_\_ Date \_\_\_\_\_

**HIGHER EDUCATION AND DEVELOPMENT (HEAD)**

**PROJECT NUMBER: 936-5065**

**AGENCY CENTER FOR UNIVERSITY COOPERATION IN DEVELOPMENT**

**RESEARCH AND DEVELOPMENT BUREAU**

**AGENCY FOR INTERNATIONAL DEVELOPMENT**

January 5, 1993

## TABLE OF CONTENTS

1.	Project Data Sheet	
2.	Draft Project Authorization	
3.	Project Rationale and Description	Page 1
A.	Rationale	
	Relationship of HEAD to the new A.I.D. University Center	Page 3
B.	Description	Page 4
	B.1 Overarching Criteria	Page 5
	B.2 Administrative Arrangements	Page 7
C.	Project Elements	Page 8
	C.1 Development Action Networks	Page 9
	C.2 Small Grant Competitive Awards	Page 12
	C.2.a Faculty Service Abroad	Page 13
	C.2.b Dissertation Support Awards	Page 14
	C.2.c University Special Initiatives	Page 14
	C.3 A.I.D.-U.S. University Interaction	Page 16
	C.3.a Joint Seminars	Page 17
	C.3.b University Development Fellows	Page 18
	C.3.c Short Term Assistance	Page 22
4.	Relationships Among Project Elements	Page 23
5.	Implementation Plan	Page 25
	A. Procurement and Assistance Instruments	Page 25

B. Network Management	Page 27
C. Small Grants Management	Page 28
D. A.I.D. - University Interaction Management	Page 29
E. Gender Considerations	Page 29
F. A.I.D. Management Considerations	Page 30
6. Cost Estimate and Financial Plan	Page 32
7. Monitoring and Evaluation Plan	Page 33

Annexes:	A. Development Action Networks
	B. Symposium on Strengthening the <b>Quality</b> of Higher Education Institutions to Pursue Development ( <b>Report and Synthesis of Papers</b> )
	C. Matrix of USAID Mission Focus <b>Areas</b>
	D. Summary of Mission and Regional <b>Bureau</b> Interest in the HEAD Project
	E. Other A.I.D. and U.S. Government <b>Agency</b> Programs
	F. LOGFRAME
	G. Supportive Budget Material

## HEAD PROJECT DESIGN COMMITTEE

R&D/UC, Ralph Smuckler, Chairman	816-0291
AFR, Marion Warren/Julie Rea/ Bill Renison	647-8259
LAC, Gary Russell/Patricia Davis	647-8060
NE, John Balis	663-2487
EUR, Steve French/John Batelle	647-7219
ASIA, Kerri-Ann Jones/Ernest Khun	647-2727
NIS, MaryAnn Riegelman	647-4784
GC, Charlie Stephenson	647-6504
FA/OP, Tom Stephens/Gail Warshaw	875-1266
R&D/ED, Sam Rea/Frank Method	875-4700
R&D/PO, Garland Standrod	875-4745
R&D/AG, Alan Hurdus/Tejpal Gill/ John Malcolm	875-4049
R&D/R, John Daly	875-4444
POL/PAR, Julio Schlotthauer/ Hiram Larew/Arnold Baker	647-8768
POL/CDIE, Krishna Kumar	875-4964
R&D/OIT, Kathleen Rose	875-4088

### University Center Design Team

Ralph H. Smuckler  
C. Stuart Callison  
Jerry French  
Robert S. McClusky  
Lark P. Carter  
John G. Stovall  
E. Valerie Smith  
Gary W. Bittner

PUB\HEADCOMM

## LIST OF ACRONYMS

A.I.D.	Agency for International Development
AAAS	American Association for the Advancement of Science
BIFADEC	Board for International Food and Agricultural Development
DAN	Development Action Network
FSN	Foreign Service Nationals
HEAD	Higher Education and Development
IPA's	Intergovernmental Personnel Act
JCC	Joint Career Corps
LDC	Lesser Developed Country
OYB	Operational Year Budget
PASA	Participating Agency Servicing Agreement
PVO	Private Voluntary Organization
RASA	Resources Support Services Agreement
UC	Agency Center for Cooperation in University Development
UDFP	University Development Fellows Program
UDLP	University Development Linkages Project
USAID	United States Agency for International Development

## Higher Education and Development (HEAD)

### 3. Project Rationale and Description

#### A. Rationale

Recent research by A.I.D. and the World Bank on the factors underlying successful development have highlighted the basic importance and relative cost effectiveness of human resource investments, particularly education investments.

An educated populace is critical to economic growth. An educated populace is also vital to achieving results on major global problems and interests which are current priorities for both donors and developing country leaders, such as:

- adaptation and dissemination of technology for improving the environment and more efficiently managing resources;
- altering economic and other development associated policies;
- achieving democratization;
- expanding markets and trade capacities;
- reducing population growth;

An effective and efficient higher education sub-system, functioning within a balanced total educational system, is necessary in developing and transitional countries, to produce the professionals needed to achieve economic growth, improve basic education, health care, and the environment, and to maintain democracy and effective governance.

A.I.D. must concern itself with this need, and the contribution which U.S. higher education institutions can make to improving educational capacity in the developing world, as a means to achieving A.I.D. development priorities. For example, if an A.I.D. Mission's goal is to reduce population growth and improve health, investments in the education of women and the training of health professionals is required. Alternatively, expanding markets and trade capacities requires an educated and trained labor force. And to provide and improve sufficient lower level

education for these purposes, effective and properly directed university and teacher training institutes are needed.

Similarly, environmental problems ranging from conservation of water resources and arable land and forests can be ameliorated by technologies available from U.S. higher education research centers, transferred through local higher education training and research institutes. Many other examples could be offered, but the point is the transfer of technologies and knowledge available within U.S. higher education institutions and the development of relevant capacity within local higher education institutions can contribute significantly to virtually any goal of a USAID Mission abroad.

Unfortunately, the higher education institutions in many developing and transitional countries are unable to contribute effectively to development of their countries. In some areas, particularly Sub-Saharan Africa, South Asia and individual countries in other regions, higher education is in a crisis state. Major problems include the persistence of inappropriate national government and institutional policies on enrollments, financing, governance and Mission; an array of management difficulties; shortage of well prepared faculty, both teachers and researchers; isolation from parallel institutions in other countries and, therefore, from valuable currents of thought and research; inadequate preparation of students at lower levels of the educational system, to which ineffectiveness of the higher levels of the system contributes; overcrowded and inadequate facilities and equipment shortages; inadequate attention to gender related issues and gender access equity.

Failure to attend to these problems will inevitably retard development within the countries concerned and inhibit the results of other development investments by both the countries themselves and international donors. The multilateral development banks and other donors have recognized this and are giving increasing attention to higher education. The World Bank has commissioned a number of studies, held international meetings in various regions, and will soon issue a strong policy statement on higher education. The World Bank is also increasing its lending for higher education development and reform purposes.

This increased attention by other donors, particularly the development banks, provides an opportunity for A.I.D., through the HEAD Project, to utilize the resources of the U.S. higher education system, generally acknowledged to be among the very finest in the world, in a targeted program which can both facilitate and influence these other broader and more heavily financed donor efforts and reinforce and support the achievement of A.I.D. field Mission development priorities.

The Higher Education and Development (HEAD) project will do this by offering the necessary administrative, managerial and technical skills available within U.S. higher education, working with other A.I.D. and other donor programs when appropriate, to selectively strengthen higher education institutions in developing countries to enable them to contribute more effectively to each nation's development goals.

HEAD will encourage a variety of long term ties between U.S. universities and colleges and institutions in the developing world with joint activities targeted on agreed upon goals which are important to development and to the U.S. institutions as they internationalize. It will build on previous years of A.I.D. investments and experiences strengthening universities or parts of them in developing countries.

HEAD is not intended to replicate the large A.I.D. institution-building program such as existed in past decades. It is intended, instead, to offer cost-effective options which, if strategically applied, as a complement to other efforts, can influence and improve higher education quality and its contribution to development goals, focusing on those which advance the A.I.D. Missions strategic objectives. And it has been demonstrated that relatively small allocations such as envisioned in HEAD can influence larger investments in selected aspects of higher education relevant to development. Furthermore, by engaging U.S. higher education as a part of the process, HEAD will lead to relationships which over the longer run are intended to have a strongly beneficial effect both on institutions abroad and those in the U.S.

#### Relationship of HEAD to the new A.I.D. University Center

The HEAD Project is conceived as the core program of the Agency Center for University Cooperation in Development (UC). As such it is not the usual A.I.D. project; it is broader in activity and goals than most. The Center was created through efforts of Congress, the leadership of A.I.D. and the Board for International Food and Agricultural Development and Economic Cooperation (BIFADEC) and was announced by the Administrator in 1990. The UC was organized and began operation in October, 1991. From the outset, the UC was charged with forming a new A.I.D. partnership with the U.S. higher education community so as to bring the "extraordinary resources" of colleges and universities to bear on the development task. The HEAD proposal is an essential element of the UC strategy to form such a partnership--one which will bring an expanded variety of U.S. university and college resources to bear on development in a mode of operation which will encourage cost sharing and be sustainable over the decades ahead. It will bring higher education elements in the developing world to be more supportive of general and specific country development

goals such as those in agriculture, basic education, health, the environment, and more open economic and political systems.

The UC approach builds on the overlapping interests of both A.I.D. and U.S. higher education institutions ranging from community colleges to major research and graduate level universities, both public and private. It draws on many fields of university and college expertise, not just agriculture as encouraged by Title XII, or health, or science and technology, but on all fields of importance to the development process. HEAD enables A.I.D. to buy into an on-going array of U.S. university and college interests and experiences in the developing world and transitional countries and turn these, where mutual interest can be demonstrated, to the Agency's program benefits.

The experience of U.S. universities and colleges working in development over the past three decades makes clear that they have much to offer to the development process and to the A.I.D. program. The experience has taken the form of individual faculty members on loan or leave to work in A.I.D. or other development programs abroad, analysis and research on issues important to development, institution-based training and education programs for foreign participant trainees and A.I.D. employees, and technical assistance services under contract.

The experience also confirms that while universities and A.I.D. have different agendas, their interests do overlap in significant ways. The UC program generally and HEAD, in particular, builds on these areas of congruence. HEAD will support university activities contributing to A.I.D.'s global and country development targets. In the process, it will also serve university interests by enabling faculty to teach with more experience and more directly about the developing world and the development process. U.S. Higher education and A.I.D. both seek stronger LDC higher education institutions which can contribute to progress and be collaborators in future programs. They both value U.S. personnel with capability regarding developing areas and development--universities, for improved instruction and other elements of internationalization in their programs; A.I.D., for service in programs of technical assistance. Both A.I.D. and universities stand to gain if attention to the development process and to developing areas is more prominent and respected on U.S. university campuses. The proposed HEAD project builds in various ways on these areas of congruence in which both A.I.D. and U.S. higher education share interests.

#### B. The HEAD Project Description

The goal of the HEAD project is to accelerate the attainment of development objectives, both globally and in specific countries. Within this ultimate goal, the

primary purpose of HEAD is to expand the capability of developing country higher education institutions to perform their education, research and technology diffusion functions more effectively and to assist these institutions, A.I.D. Missions, and host country Ministries with the solution of pressing development problems.

There are two subsidiary purposes. One, by engaging U.S. universities in this process, HEAD will also encourage greater U.S. institutional and faculty involvement with developing countries and development processes as U.S. colleges and universities internationalize<sup>1</sup>. Two, HEAD will expand the pool of university expertise on development subjects and developing areas and establish better ways for A.I.D. to access this talent.

The primary purpose and the two subsidiary purposes will be achieved through a number of project elements. These elements can be grouped by purpose or by the nature of the process and function involved in each. They represent limited cost interventions compared to institution-building efforts of the earlier years. They employ the same ingredients of earlier efforts such as participant training, visiting experts, consultation for problem solving, but they are supplemented with various kinds of collaborative efforts between U.S. higher education universities and colleges and those in developing and transitional countries.

As the core program of the University Center, HEAD will provide sufficient flexibility in operation to offer a means of serving Mission needs while bridging between U.S. universities and their counterparts in the developing world in ways which will serve development.

#### B.1. Overarching Criteria Governing All Activities

There are four basic criteria crucial to insuring that the substance of the activities proposed will in fact contribute to development and democratization. They are:

---

<sup>1</sup> The term "internationalize" as used here refers to the incorporation of international related contents, materials, activities and understandings into the teaching, research and public service functions of the university to increase their relevance in an increasingly interdependent world. There has been a pronounced movement in this direction within U.S. higher education in recent years as shown by conferences and special meetings, a national survey, and statements by leaders.

- 1). Scientific Merit or Quality of the Activity Proposed as determined by peer group review.
- 2). Relevance to Development as determined by guidelines established by the University Center and by U.S.A.I.D. Missions in country.
- 3). Cost effectiveness as determined by peer group review evaluations and review of those by the U.C.
- 4). Appropriate Basic Policy Environment Criteria, as determined by the University Center and the USAID Mission.

Since these are of central importance in ensuring that each activity within HEAD contributes to its purpose, and implements its rationale, each will be discussed briefly.

Merit. the peer group review process has as its purpose the evaluation of the quality of the proposal by specialists who are knowledgeable about the type of activity in question. In the case of research and policy analysis on development problems, the short check list given peer group reviewers, for example, would include such items as "is the proposal up to date and in tune with the best that is known in the field?". In the case of a curriculum or teaching program, such as a new MBA program for example, the relevant peer group would include other directors of successful MBA programs.

Relevance to Development. The U.C. guidelines would require that the proposal be evaluated and scored in terms of its relevance to key, critical development objectives such as economic growth; political democratization; poverty reduction; food security; population growth and health problems; improvement in the policy environment for human resource development, trade, or economic activity; or technology transfer and dissemination of skills relevant to development such as engineering, business administration, and science capacities. The USAID Mission would also judge relevance and can veto HEAD activities which are not considered to be relevant to Mission priorities.

Cost/Effectiveness. The University Center funding will be for relatively small strategic activities. However, these sometimes have cost implications for the recipient nation. If there are financial leveraging requirements this can drain resources from other uses where the returns are higher and thereby slow down economic growth and development. So considering the total cost (UC, A.I.D. Mission, university and recipient nation) the cost effectiveness of each proposal will be reviewed to be sure the

activity really will contribute. A check list will be developed by the U.C. and provided to reviewers of all proposals.

Policy Environment Criteria. HEAD should not expend resources in countries where bad policies seriously inhibit their productive use. This would mitigate against support to higher education in countries where the benefits expected would be nullified by the effects of adverse policies, unless the activity itself is intended to change such policies. The University Center will develop appropriate guidelines in this area to cover specific situations.

## B.2. Administrative Arrangements

In addition to building on congruent interest areas, and to using these basic criteria governing the substance of the activities to ensure that they are in line with the projects purpose and of good quality, the University Center has established certain administrative arrangements which are intended to foster a strong A.I.D.-university partnership. These will be reflected in HEAD project operations.

- 1.) Well defined mutual interest and benefit is at the core of UC efforts. Both A.I.D. and universities must see significant gain in any UC project activity. This principle of mutual gain is essential to various aspects of UC activity. There will be joint planning, shared management, and shared funding. Shared funding means that universities will match A.I.D. funds in most UC program activities.
- 2.) To build the partnership between A.I.D. and higher education, UC processes for awarding grants and evaluating activities will reflect both A.I.D. and university needs and values. Thus this project must relate to basic campus goals of furthering the academic quality and prestige of the campus and improving the quality of instruction and the career path of the faculty. To this end publication of the results of significant studies (e.g. a solution to problems related to development) will be encouraged. Improvement in the quality of teaching through internationalization of the teaching and research experiences of faculty also will be encouraged.

Objective peer review processes will be used for small grants and related competitions. These are important to insuring quality as well as cost effectiveness and relevance to development. Jointly formed evaluation teams involving A.I.D. and university experts will be used.

- 3.) The UC, as often as possible, will turn to centers within universities, colleges or universities themselves, higher education associations and university consortia to manage and implement UC programs.
- 4.) The approved activities will be monitored by the cooperator and with the University Center exercising oversight to correct any problems early and not renew unproductive activities. It will thereby be possible to learn from successful experiences, and to build on them.

These UC administrative arrangements which apply in the HEAD project are essential to attracting universities to devote sustained attention to development. The statement of project goal, purpose and outputs which follows also fits within the objectives of the UC which is to turn higher education, both in the U.S. and in developing countries, more directly toward the development process.

### C. Project Elements

Project elements are grouped within three categories:

1. Development Action Networks
2. Small Grants Competitions
3. A.I.D. - University Interactions

Each category of activity is described separately below. The activities were selected from a wider range of possibilities on the basis of the following criteria:

1. Each element will contribute to one or more of the desired objectives. Together, they will accomplish the primary and subsidiary purposes of HEAD while keeping costs in line with existing budgetary constraints.
2. The first two and part of the third fit the UC operating format of being amenable to joint planning, joint management and joint funding. The joint funding concept in particular, narrows the range of UC choices within HEAD; but it has the advantages of encouraging long term U.S. institutional commitment and leveraging of university resources to serve the purposes of HEAD. It is also an important factor in achieving sustainable outcomes.

3. Each follows procedures which are natural to universities and to colleges, both U.S. and developing country institutions. Higher education is familiar with networking, faculty exchange, peer reviewed competition, linking with research and educational institutions, strategic planning and other activities envisaged in HEAD. This fact eases the management complexity which might otherwise characterize a project containing multiple components. Given the existing experience at universities and in government agencies with these activities, each can be more accurately budgeted and more efficiently managed.
4. Variations in precise program activities can occur each year as a reflection of the planned budget magnitude, and demand for each activity in any project year. Each can be monitored and fine tuned over the five years of the project, to serve needs of individual USAID Missions. (We have referred to this year-to-year flexibility elsewhere as "rolling design" or "rolling implementation".)
5. The HEAD Project is designed to provide flexible mechanisms to bring U.S. and host country higher education expertise more effectively to bear on identified development priorities. Therefore any activity proposed for a particular country must have prior USAID Mission approval.

**C1. CATEGORY I: DEVELOPMENT ACTION NETWORKS  
COMBINING U.S. AND DEVELOPING COUNTRY INSTITUTIONS**

A Development Action Network (DAN) is defined as a cooperatively planned, mutually beneficial and jointly supported system involving selected U.S. and developing country colleges and universities. Each DAN will address a specific, defined development need (e.g. an environmental issue, or accreditation standards for private universities, or an economic growth issue) and will seek to improve quality and enhance academic, research and service programs of the participating institutions which will be jointly addressing that need.

A DAN is a somewhat informal arrangement with just enough structure to retain focus and direction toward achieving established goals and objectives. A.I.D. support will have a three to five year life span, to attain its defined goal, but each DAN can last longer if participating institutions wish to continue. Planning for sustainability will be encouraged from the outset.

**Purpose:**

The purpose to be served through Development Action Networks is to strengthen both developing country and U.S. higher education institution participants by increasing their efficiency, productivity and the quality and marketability of their programs in ways that contribute to accelerating progress toward a selected development target. Networks will enhance the exchange of information, ideas and technologies. They will provide a vehicle for regular communication, for dividing up tasks to be completed, for arranging workshops and symposia and for addressing development needs in a productive and cost effective manner, and in ways that will complement current program strategies of Missions. Each DAN will have a specific target or outcome of value to development, but also of interest to U.S. higher education institutions. For example, a network may be formed to produce, test, and install new educational modules for business management training, or a new design for training regarding selected environmental issues.

**Operational Considerations:**

Regional Bureau and Mission input has been and will continue to be sought in the design and execution of the networks. At the same time, however, one operational objective will be to manage individual networks so as to place little management load on the involved USAIDs.

Activity to establish DANs will be separated from the management of the individual networks once established. At the outset, a cooperative agreement will be executed between A.I.D. and a non-profit organization, association or consortium of universities with superior qualifications in facilitating collaborative international development. We will seek an organization familiar with the issues of development, and capable of managing a process involving U.S. and foreign institutions of higher education and A.I.D. in identifying and establishing common ground for networks.

The organization undertaking this agreement to establish the DANs will be responsible for establishing seven to nine networks over a five year period. One network will be established in the first year, two networks in years two, three and four. Each network will be expected to include 6-10 developing country higher education entities plus a matching number of U.S. colleges or universities. Each will focus on a carefully defined development issue of importance to all network participants and the participating developing country USAID Missions. Prior USAID Mission approval is required in each country participating in a network.

As each DAN is established, a separate three year grant will be executed between A.I.D.'s University Center and the U.S. university selected as the DAN Headquarters or lead institution for that network. Sub-agreements as appropriate to individual DAN members will be the responsibility of the DAN Headquarters institution to arrange, subject to A.I.D. approval.

As each DAN is established it will demonstrate the following characteristics:

- 1.) A clearly defined development purpose as the focal point for action. DAN activities will be planned to help U.S. and developing country higher education institutions fulfill this purpose through working together on specific development objectives.
- 2.) An authoritative baseline document which underpins the agenda and strategy and identifies specific accomplishable outcomes for later use in a plan for evaluation.
- 3.) A clearly defined strategy which integrates gender equity and issues into each appropriate aspect of the DAN.
- 4.) Network members with sufficient expertise, commitment and resources to contribute effectively.
- 5.) Flexible management that provides for involvement of both U.S. and developing country participants in planning, implementation and funding the DAN.
- 6.) Efficient leadership arrangements and stable committed membership.
- 7.) Adequate resources to facilitate communication, consultation and joint action.
- 8.) An agreed upon set of jointly planned activities leading to a specific accomplishment or product which may include: regular workshops to provide opportunities to assess progress, discuss plans and issues and introduce new ideas and approaches; training; arrangements for visits and periods of residence at network institutions; collaborative research; sharing of materials.

- 9.) Joint funding as a result of important benefits to be derived by each of the participants.

### **Sustainability Considerations**

While funding from the participating institutions should help in promoting sustainability, it will be made clear that A.I.D. funding support for a DAN is limited both to a specified time and for specified outcomes. Participants will be encouraged strongly from the outset of the activities to plan for and develop means to sustain either the network activities or any results flowing from them subsequent to termination of A.I.D. support. This will be written into the specifications for DAN proposals prepared by the principal cooperator and will be included in criteria for assessing DAN progress.

### **C2. CATEGORY II: SMALL GRANT COMPETITIVE AWARDS**

Each year, a number of small grant competitions will operate and result in awards to U.S. colleges and universities to jointly support specific activities serving HEAD purposes. Competition will have the following characteristics:

- 1.) Each will follow suitable peer review processes. The U.C. will make final decisions on awards.
- 2.) Mission directors and regional bureaus will be asked to judge proposals involving activity in countries for which they have A.I.D. program responsibility.
- 3.) University funding must be indicated in all proposals. This will usually be on a full matching basis for program expenditures.
- 4.) Each U.S. institutional proposal must have clear indication of full concurrence of the cooperating institution abroad and of the USAID Mission director. Those successful in the competition will have the most evidence of such concurrence.
- 5.) Each proposal must demonstrate institutional (department level or above) commitment. Those showing broad and continuing involvement of the institutions, both U.S. and foreign, will receive extra "points" over those which are projected for only limited duration and institutional impact.

- 6.) Each proposal will address the issue of gender equity and the integration of gender issues into project implementation plans.
- 7.) Each competition will publicize the criteria to be used in judging the awards. These will be varied over the years so as to reflect needs in the field, experience of the awardees, and new opportunities which may exist. In this way, the small grants component of HEAD will be able to be responsive to A.I.D. priorities and to university interests.
- 8.) A.I.D. awards will vary in size among the competitive grant categories, but will be expected to average about \$35,000 per year per award.
- 9.) Each must be designed to show an impact on an institution or on national education management or development policies in the developing world in addition to a desired effect at the U.S. institution.
- 10.) The potential for sustaining the results or impacts anticipated from the grant will be a factor in determining awards. Awardees will be expected and will be informed in publicizing material to plan for and take steps from the outset of the award to ensure availability of financial or other resources needed to sustain the results or impacts.

Apart from these ten common characteristics each competition will serve a more specific objective and criteria for success will be spelled out accordingly. These are described as follows:

#### **C.2.a. SPECIFIC TYPES OF SMALL GRANTS**

There will be three categories of small grants competed each year, supporting 1.) Faculty Services Abroad, 2.) Dissertation support, and 3.) University Special Initiatives. The third category encompasses a number of sub-categories for which several illustrations were offered below.

- 1.) Faculty Service Abroad.

Through an annual competition grants will be awarded to U.S. institutions enabling them to loan a faculty member for up to 12 months (probably for a sabbatical year) to a developing country university with which they have a working relationship. The purpose is to provide an additional quality dimension in a priority field related to development in the university of the developing country. At the same time, it will broaden the research and teaching capabilities of the U.S. faculty member. This will be accomplished by making available to the developing country institution the teaching, research, and general faculty service of a qualified U.S. faculty member or administrator on terms agreed upon in advance between the two institutions.

#### C.2.b. Dissertation Support Awards.

Each year, competitive awards will be made to institutions to support U.S. advanced graduate students enabling them to complete their doctoral degrees based on a developing country research experience. The purpose of these competitively awarded, one year grants is to generate new knowledge and insight on specific development problems in a wide range of technical and social science fields, and to encourage new young faculty members to pursue careers related to developing countries and to development problems. These awards serve the UC purpose to expand the pool of expert talent at universities; thereby offsetting the present aging pool. As part of this competition, advanced graduate students will be encouraged to form partnerships with developing country students studying in the U.S. and working on a parallel research track and to conduct their research at an institution abroad with a relationship to the U.S. university.

#### C.3.c. University Special Initiatives.

The purpose of these competitive awards is to strengthen and expand the development-oriented component of U.S. institutional plans to internationalize aspects of their instructional, research or service programs while at the same time assisting A.I.D. Missions and others to meet their development goals. One of the reasons A.I.D. established the U.C. was to take advantage of the internationalization movement in U.S. higher education in order to forge closer ties between the development actions of A.I.D. and U.S. higher education. Experience shows that rarely would universities or faculty members on their own become directly concerned with developing countries and development activities. Yet, most would agree that a campus focus on only the developed and more affluent areas of the world would not be sufficient. And from an A.I.D. perspective, such a limited focus would place future development programs at a disadvantage, neither attractive to nor well understood by the university graduates of the next decade.

Only one of these "Special Initiatives" competitions will be operational each year. As in other small grant categories cost sharing will be expected and the grant will be made to the U.S. institution but is to be expended in cooperation with a collaborating institution abroad. The following are illustrations of the types of small grants that will be supported.

- a.) Research and Policy Analysis on Development Problems. Faculty expertise on problems of development ranging from those concerning the environment, population, democratization, water resources, or education system management to economic growth normally can be secured in cost effective ways for periods spanning two summers. This can not only be of assistance to A.I.D. Missions and governments and institutions abroad, but also to the U.S. universities and faculty members by helping them relate this domestic expertise to the same problems abroad, support graduate students (as research assistants), develop sustainable links between that faculty member's career path and the nation in question, and internalize the teaching by that faculty member within his/her home university. Each proposal will be evaluated in part on the basis of proposed activity reflecting longer term institutional ties or pointing toward such relationships.
- b.) University Initiated Development Action Plans. Grants for use over two years will be competitively awarded to support particularly innovative university designed activities to launch a longer term development activity in cooperation with an institution abroad. The purpose of this award is to support a portion of the initial costs of university-initiated and planned projects, looking towards placing them on a self-sustaining basis. Each will improve the quality of higher education related to specified development needs in a developing country situation. Each will encourage ties between individual American colleges and universities, private sector or PVO entities and a higher educational institution in the developing country. A sustainable tie can best be shown when the proposal contains clear evidence of close, joint planning.
- c.) Continuing Education for U.S. University Graduates in Developing Countries. This type of grant to a U.S. university will provide an opportunity to expand the role of U.S. university graduates in support of their home country's development in activities all of which will be in the developing country. It will be targeted to holders of degrees from American universities who have returned home and will be directed at updating their capacity to contribute directly to national development. It

will also strengthen their ties to U.S. institutions and trends in U.S. science, technology, and professional fields.

The following are some examples of the types of activities expected to be encompassed within such continuing education assistance grants:

- a. A seminar for graduates working in the private sector focused on up to date techniques of product or market development. Joint ventures or expanded business linkages between U.S. and local industries could be stimulated.
- b. Alumni working within the government or social sectors of their country could be assisted to advance educational, social or technical performance within their respective fields. For example, a specialized seminar in education could assist professionals to develop new education policies or plans, programs or curricula for introduction of technical or other innovations such as distance teaching.
- c. A seminar for hydraulic engineers could develop or up-date the water resource development or management curriculum for a local university or in the development of more appropriate water management or other environmental policies.

In effect the alumni continuing education grants will provide a catalytic vehicle for encouraging U.S. higher education institutions to remain in direct contact with overseas alumni, to assist them in up-grading and expanding their technical skills and to enhance their contribution to national development and their ties to U.S. science and technology for mutual benefit. Matching grants of up to three years duration will be made to competing U.S. universities submitting plans for developing such overseas alumni continuing education programs.

### **C.3. CATEGORY III: A.I.D.-U.S. UNIVERSITY INTERACTION**

Along with the foregoing activities with developing countries, the HEAD project will promote three forms of interactions between higher educational institutions and their faculty members on the one hand, and A.I.D. on the other. Each will promote development. Each will serve the second subsidiary purpose of HEAD, expanding A.I.D. access to university expertise. The following mechanisms will be used:

### C.3.a. Joint Seminars

#### Purpose:

The purpose to be served by Joint Seminars is to utilize more fully the resources of the U.S. higher education community in meeting A.I.D. objectives, while at the same time, contributing to university internationalization efforts. Joint Seminars, with joint participation by A.I.D. and the academic community, are means by which the expertise of faculty can be focused on a particular problem or issue of interest to A.I.D. They can also serve as an important communications vehicle where information and ideas are shared between scholars and development practitioners, validating assumptions and building confidence.

#### Operational Considerations:

Under HEAD, the UC will use a cooperating organization to plan and assemble university experts to interact with regional bureaus or A.I.D. offices on selected topics. The outcome could be a suggested strategy for solving a development problem, better understanding of new studies or findings or the key elements of a development strategy for a country or region. In planning Joint Seminars every effort will be made to include the examination of gender issues in the analysis of development problems. In selecting university participants, a special effort will be made to reach out beyond those who have worked on A.I.D. contracts.

The Bureau for Africa has expressed an interest in a seminar on development strategy and the UC has already responded by organizing a one-day meeting in which Africa Bureau staff engaged in a dialogue with university experts on a variety of issues relating to higher education's readiness to assist in African development and the interest and capability of U.S. university faculty to address African development. The university participants shared experiences not only from A.I.D. projects but also from a variety of others as well. During the project's first year, a major seminar will be organized on African development.

In later years the project will respond to other such requests and fund two additional seminars per year. Seminars would normally be held in Washington, but might also be conducted in the field to accommodate Mission staff. In each such seminar, the regional bureau will be an active participant in planning the event.

### C.3.b. University Development Fellows Program

#### Purpose:

The University Development Fellows program will enable A.I.D. offices and missions to augment their technical expertise with individual U.S. faculty members on one-to-two year assignments, thereby contributing to the subsidiary HEAD project objective of establishing better ways of accessing the talent in the U.S. higher education community. This program will also further university internationalization objectives by giving selected faculty first hand development experience. The emphasis will be on tenured faculty who will return to their home institution following completion of the assignment.

#### Discussion:

There is widespread agreement among A.I.D. professionals and outside review groups that the technical capacity of the agency to design and manage development programs is seriously eroded, threatening the ability of the agency to play its historic leadership role in the international development donor community. It is difficult to expand direct hire staff to meet increasing country and programmatic responsibilities. Management increasingly is turning to other means and non-career alternatives to provide technical expertise. The U.S. higher education community offers a vast pool of talent to help meet this need.

It is quite likely that the need for technical expertise will increase. Many countries with which A.I.D. will be involved have an expanding science and technology base and are interested in strengthening it through collaboration and sharing of specialized expertise with the U.S. . The Agency will need technical staff who are up-to-date in their fields to guide such efforts. For most persons with such aspirations, the foreign service may not be the career of choice, but intermittent assignments with A.I.D. could very well help achieve career goals.

A.I.D. technical staff needs generally are of two somewhat overlapping types: (1) **technical managers** who work on strategies, plans, project monitoring for progress and conformance with A.I.D. regulations and objectives, and carryout other administrative and management duties; and (2) **technical experts**, expected to be well versed in a scientific specialty, who work on policy, program and project design, and on technical assistance during implementation.

The technical manager function can be met best by persons with a career commitment to A.I.D. The technical expert function can be performed by persons who

spend part of their time immersed in science at a university and part of it intermittently in A.I.D., thus allowing the persons involved to keep current in their particular field and also to gain more practical experience.

Noncareer technical expertise is and has been an important source of A.I.D. manpower. This expertise, coming from Foreign Service Nationals, (FSN) and persons serving under personal service and other types of contracts, grants, mobility assignments under the Intergovernmental Personnel Act (IPAs), Joint Career Corps (JCC), Reimbursable Agency Service Agreements (RASA) and Participating Agency Service Agreements (PASA), now make up an increasingly important component of the A.I.D. work force. And special authorities and mechanisms such as Technical Assistance for Child Survival and AIDS provide additional access to specialized expertise.

Despite these several mechanisms and approaches, much of the expertise in the higher education community remains largely outside the reach of bureaus and field missions because there is no easy way to identify the best talent, match the need with available faculty and work out an arrangement that meets personnel, procurement and other A.I.D. regulations. Although a few of the programs and mechanisms cited seem to work well, most are slow, cumbersome and not well suited to ease of movement between A.I.D. and the higher education community. Furthermore the few that effectively draw on the higher education community span only a part of the wide spectrum of talent and do not fully meet A.I.D.'s technical expertise needs.

The HEAD project will offer A.I.D. field missions and Washington offices access to a more complete array of the expertise in the higher education community by building on the successful fellowship programs now operating. It will create a **University Development Fellows Program (UDFP)** which will be able to provide faculty for A.I.D. assignments.

A cooperator will be identified to organize and implement the UDFP. The cooperator will, subject to A.I.D. approval, identify and negotiate an arrangement with faculty members and their institutions for assignment to any one of a variety of development fields, place such persons in assignments in Washington or field missions and provide logistical support for them throughout the duration of the assignment. (As a byproduct of this main activity, the cooperator will also maintain information about faculty members who are interested in short-term assignments with A.I.D. from which missions can draw candidates to meet requirements for such tasks.)

The UDFP will have two goals: (1) to improve the technical content of A.I.D. programs by providing university faculty for placement in Washington or field

missions and (2) to expand the pool of international development expertise in universities by providing opportunities for periods of work on development. Placements, intended to be for one-two years, will be arranged through consultations involving the cooperator, the prospective fellow, the providing institution, the mission or office having responsibility for the program involved and the UC. Although placements will be tailored to individual circumstances, generally they will be involved in the design, implementation and evaluation of development projects and programs.

#### Operational Considerations:

The University Development Fellows Program (UDFP) will be patterned after and operated similar to three other fellows programs in A.I.D.: (1) Health and Child Survival Fellows Program (under a cooperative agreement with Johns Hopkins University), (2) Population Service Fellows Program (under a cooperative agreement with the University of Michigan) and (3) the AAAS Diplomacy Fellows program (under a grant to the American Association for the Advancement of Science).

The UDFP, in consultation with interested offices and bureaus, will select a few critical fields not now served by existing programs, such as the social sciences, business management, the environment and natural resources, education, and the food and agricultural sciences, for recruitment and placement. The UDFP will not duplicate or compete with the three existing programs, rather it will build on and coordinate closely with them, working in other fields as needed.

Like the AAAS Fellows program, the UDFP will advertise and make selections for candidates annually (probably during winter and spring months). But also like the Health and Population fellows program, the UDFP will try to respond to intermittent requests by missions for specific specialties throughout the year.

The UDFP under HEAD will have the following features and operational characteristics:

- 1) The cooperating organization will establish a national secretariat for the UDFP that will be responsible for all aspects of management and administration, for assuring that all interested higher education institutions in the U.S. have access to the program and for insuring that the most qualified, interested and available candidates are identified in selected fields. Gender equity will be given full consideration as candidates are identified and selected and a special effort will be made to seek out and encourage minorities to apply.

2) In line with one of the operating principles of the UC, the secretariat will coordinate with and fully involve the leadership of higher education institutions in the process. The intent is to insure that the best technical and scientific talent is available to support U.S. development assistance but also that the institutions' development capacity is enhanced.

3) In collaboration with FA/HRDM, AID/Washington offices and field missions will be queried annually about interest in and requests for assignment of fellows.

4) Application will be solicited annually and a peer review panel, composed of A.I.D. professionals and university scholars, will review and rate candidates within specified fields and subject matter categories. The appropriate technical offices in A.I.D. will be fully involved in the selection process to insure that the qualifications of fellows match A.I.D. needs.

5) The credentials of qualified candidates will be circulated throughout A.I.D. and interested missions or offices can select and interview applicants, if desired.

6) After a candidate is selected, the secretariat will, subject to A.I.D. approval, negotiate a sub-agreement with the home institution to place the faculty member in A.I.D. for an agreed period of time.

7) Core funding by the UC HEAD for the UDFP will cover the cost of operating the national secretariat. The receiving A.I.D. mission or office will support the fellow through an "add on", direct grant to the secretariat, or an OYB transfer.

8) It is anticipated that the UDFP will start with a few placements during the first year and, depending on the demand, could reach 20-30 or even more placements by the 4th year.

9) Fellows remain employees of their home institution, on special assignment for a fixed period of time as specified in the sub-agreement. While in the UDFP assignment they will be backstopped by the secretariat, which will work out reporting and performance evaluation procedures with the home institution and the office or mission having program responsibility.

10) Only bonafide career administrative and academic staff of colleges or universities will be eligible; the UDFP will emphasize tenured faculty. The national secretariat will, subject to A.I.D. approval, negotiate an agreement with the home

institution spelling out specifics about such matters as salaries, benefits, allowances and reimbursements for other costs and arrange all logistical support.

11) The UC, in cooperation with FA/HRDM, will be responsible for coordinating A.I.D. requests for placements, participating in key decisions with the cooperator and for overall management of the grant.

12) A key oversight instrument will be a UDFP coordinating committee drawn from the higher education community and A.I.D. This committee will work with the national secretariat on policy and operational matters. It will also commission an external review panel during the third or fourth year of operation to assess progress and recommend mid-course corrections. The cooperator will provide logistical and administrative support for the coordinating and policy committee as well as the external review panel.

13) In connection with each placement, the fellow and his/her institutional representative will be asked by the UC to consider arrangements for a dual track career that a fellow may follow. Subject to working out the arrangements, it is intended that the discussion will spell out the intent of each party, the objectives each will try to accomplish, the financial responsibility of each and the role of the sponsoring U.S. institution, in any such dual track arrangement.

14) In consultation with the coordinating committee, the national secretariat will develop a selection process for screening interested faculty members, to assure the best fit between candidate and program technical needs. The program and selection procedures will be widely disseminated in the higher education community and A.I.D. by the cooperator and the UC.

15) The national secretariat will be responsible for developing an orientation program for all fellows and insure that they are fully prepared to locate in the A.I.D. program assignment with minimal logistical impact on the A.I.D. mission or Washington office responsible for the program.

### C.3.c. Short Term Assistance

#### Purpose:

Several HEAD activities will serve the purpose of providing A.I.D. with easier access to the full range of the expertise in the U.S. higher education community for short term technical assistance.

### Discussion:

Both university representatives and A.I.D. have often complained about what they consider to be the inadequacy of mechanisms under which Missions can easily and effectively access university expertise available for short-term work. Although there are basic ordering agreements and other mechanisms for some projects there is no central point of contact through which Missions can access the most appropriate university expertise for a particular task.

By identifying a principal cooperator as an intermediary, Missions will find it easier to access a broader range of expertise than has been the case. The UC and its principal cooperator can serve as a clearing house for persons available for short-term assignments in various technical fields, providing a central point of contact. Also by creating more interactions between A.I.D. and the higher education community, HEAD will expand the pool of faculty members who are experienced in current development issues and are known by Missions.

### Operational Considerations:

Mostly as a byproduct of HEAD, the UDFP cooperator will maintain a roster of faculty members who are interested in short-term assignments from which A.I.D. offices and Missions can draw candidates to meet requirements for tasks of a short term nature. The roster will contain information about the specialized qualifications of interested faculty members and about their availability. The cooperator will establish and disseminate procedures by which AID Missions can have access to the roster, insuring that the home institution is kept "in the loop".

## 4. RELATIONSHIPS AMONG PROJECT ELEMENTS

The descriptions of the three project elements -- Development Action Networks (DAN's), Small Grants, and A.I.D.-University Interactions -- makes it clear that HEAD will include varied activities. Each will be shaped to meet Mission priority areas in specific countries. Each of the activities are pointed primarily in one direction, but parts of all three elements converge in reinforcing ways. Any one element may contribute to two, or even all three, of the project purposes. Consider each of the following examples:

- a. Network Action groups are a central element in the strategy and serve, primarily, to influence and strengthen developing country universities to

address priority development problems more effectively. At the same time, the U.S. institutions will also be enhancing their own internationalization by involving their faculty on a recurring basis with developing world institutional counterparts within the network. Development Action Networks may also indirectly build interest among U.S. faculty thereby increasing the pool of talent on development issues available at the U.S. institution and to A.I.D. Thus DANs can be seen as contributing to the primary HEAD purpose and to both subsidiary purposes.

- b. When a U.S. faculty member resides at a designated institution in the developing world through a competitively awarded grant, he/she will add to the quality of instruction and/or research at the university in selected fields related to development. The visiting faculty member will also contribute to the improvement of the institution in general, and, if requested, provide assistance to the USAID Mission. The process would also strengthen the internationalization momentum of the U.S. institution as faculty return to their home campuses. And the year spent will be part of long term institutional relationships for mutual gain.
- c. The competitive grants program in support of doctoral dissertation research would contribute to expanding the numbers of U.S. advanced students choosing to work on development problems. When coupled with a foreign student it will add to improving the quality of the research of both advanced students. It will also contribute to the international dimension and quality of the U.S. institution as a result of closer ties to the LDC institution at which the student locates, and will also help to expand the pool of talent available later to A.I.D.
- d. As a final example of the multiple benefits of most of the lines of proposed activity, U.S. institutions which organize effective continuing education opportunities for graduates of U.S. universities abroad help to improve the quality of institutions and effectiveness of development efforts. By involving U.S. faculty, they also add to the U.S. development talent pool while making it more accessible. Over the long run, such alumni programs involving both A.I.D. former participants and the much larger general alumni pool, can help to add to the value of advanced training in the U.S. Stronger alumni relations would also serve to build easier working ties for A.I.D. and other U.S. organizations, both official and unofficial, private sector and public.

## 5. IMPLEMENTATION PLAN

### A. Procurement and Assistance Instruments

The University Center for Cooperation in Development (UC) was established to utilize more fully U.S. colleges and universities in A.I.D. programs generally and in strengthening long term ties to higher education institutions in developing countries so that they can contribute more to their country's advancement. The UC was also charged with developing a new relationship with the U.S. higher education community -- one built on mutual interests, characterized by joint planning, shared costs and close collaboration.

The new relationship has been evolving over the past year as the University Center has interacted with the various other elements of A.I.D. and with the higher education community. In an important step in the process of defining the relationship, six higher education associations<sup>2</sup> whose membership includes virtually all of the institutions of higher education in the U.S., formed an Association Liaison Office to serve as a focal point for working with the UC on bringing A.I.D. and the U.S. higher education community together on matters of mutual interest. This was arranged with the full understanding and encouragement of the Presidentially-appointed Board for International Food and Agricultural Development and Economic Cooperation (BIFADEC), a statutory body charged with advising and assisting A.I.D. to use and relate better to U.S. universities.

The main basis and timeliness for this new relationship stems from a strong trend toward internationalization, a process well underway on U.S. campuses, providing a unique opportunity for A.I.D. to achieve its goals by "buying into" and helping to shape that trend and process.

In contrast with the past, when for the most part, universities were looked upon as sources from which services could be procured for rather narrow and tightly specified projects and purposes, the new relationship views U.S. colleges and

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<sup>2</sup> The six associations are: (1) American Council on Education, (2) American Association of Community Colleges, (3) American Association of State Colleges and Universities, (4) Association of American Universities, (5) National Association of Independent Colleges and Universities and (6) National Association of State Universities and Land Grant Colleges.

universities as partners with A.I.D. in development, who, with modest investment, enabling A.I.D. to tap into an on-going process, can help achieve development goals. By supporting selected internationalization activities, A.I.D. can encourage and increase the amount and nature of U.S. higher education community attention to problems of developing countries--attention that might otherwise turn to more traditional locations and activities in the developed world. This new relationship can be a more cost effective alternative for achieving A.I.D. development goals than a contract to procure services of universities, the price of which reflects their full cost. The UC, with advice of university representatives, has adopted the policy of joint planning, joint management and joint funding of its activities with universities.

The procurement instrument most appropriate for formalizing this new alliance is an "assistance instrument" because it reflects a relationship in which the principal purpose is to provide funding support for selected internationalization efforts to achieve a public purpose, namely U.S. development assistance program goals. A cooperative agreement is the preferred assistance instrument since it will allow A.I.D., through the UC, to have a substantial oversight involvement in the various activities for which it provides support.

One of the problems faced by the UC in the design of HEAD was what entity or entities in the vast higher education community are best suited as intermediaries through which the whole community could be accessed and engaged. One alternative considered was to select a separate cooperator for each of the HEAD activities. Another was to have the UC itself manage some of the activities and still another was to identify only one cooperator which could serve as an intermediary between the whole higher education community and A.I.D., and which could in turn manage all activities and make sub-grants to other entities as appropriate. An advantage for the latter is that it would entail less management burden and related personnel needs for the UC.

The preferred option is to identify a **principal cooperator** for most of the HEAD activities. One exception is that grants to individual Development Action Networks may be managed directly by the UC in years two through five if it appears costs would be significantly reduced. The final decision on whether all other activities would be included in the cooperative agreement with the **principal cooperator** will have to await actual negotiations on the agreement, but the strong preference is to utilize a single intermediary because of the higher management and cost implications of other alternatives.

The entity selected as **principal cooperator** must have standing in the higher education community as well as within A.I.D. It will have responsibilities

considerably beyond management of sub-grants. It will also serve as the main intermediary between the U.S. higher education community (including institutions and specialized associations) and, through the UC, with other elements of A.I.D. The principle cooperator must be able to work closely with U.S. higher education leadership and with the University Center, in coordinating higher education interests with those of A.I.D. Thus, the final choice of the cooperator will have to be acceptable to both the UC and the U.S. higher education community.

Although no existing organization or association is ideal either from the standpoint of the university community or A.I.D., the UC will choose the entity that can best access and work collaboratively with all higher education institutions and associations as the principal cooperator for the HEAD project. In the process it will be strengthening that entity to serve as a principal intermediary organization for expanding higher education activities in the developing world.

#### B. Network Management

The Principal Cooperator will be responsible for establishing three Development Action Networks of U.S. and developing country institutions during the initial two years and four more during the final three years. Each network will focus on one issue in developing country universities or other tertiary level institutions, involve 12 to 20 institutions (half or more drawn from the developing world), and identify specific network activities and targets.

Topics will be selected which are of sufficient interest to U.S. and developing country institutions so they will join in the network on a shared cost basis. Cost sharing by developing country participants will take into account their relative capacities. Their costs may, in some cases, be partially covered by other donor or other A.I.D. programs. Topics must also be of interest to USAID Missions and reflect their priorities. Networks will be designed so as to be manageable by the member institutions themselves.

Since specialized topics will be involved, the Principal Cooperator will be expected to work closely with appropriate higher education specialized associations and/or consortia as each network is formed.

It will be absolutely essential that each network plan have sufficient input from LDC institutional leadership so that in substance and shape, activity under the network reflects their needs and preferences, balanced by U.S. institutional perspectives and

Mission judgements. Annex A provides detail on the initial steps and procedures which will be followed in setting up each network.

### C. Small Grants Management

The Principal Cooperator will also be responsible for carrying out the small grant processes. One competition in the first year will place U.S. faculty members in selected LDC institutions to help overcome the shortage of competent faculty in a priority field of development at each institution. Awards will be made on a competitive, cost-shared basis and managed by the faculty member's U.S. university or college. The U.S. university will be expected to commit resources to the task because the U.S. professor's service while abroad would be considered a part of his/her professional growth and would serve the institution's internationalization goals by contributing to broadened curriculum, and classroom instruction with a new dimension following his/her service abroad.

The small grants Cooperator would be expected to establish three competitions in the first year, two to be conducted on an annual basis, a third on a longer cycle. Given the specialized nature of several of the small grant competitions, the UC would expect the Cooperator to work with specialized professional organizations and university consortia as well as with A.I.D. in implementing the grants program.

The small grants program to be operated and managed through the Cooperator will include:

1. Faculty competitive awards to serve in developing country institutions. (1 year duration, to be repeated annually)
2. Dissertation awards. (1 year duration, to be repeated annually)
3. University and college special initiatives competition. (generally 2 year awards, one competition annually, rotating criteria each year)

The Cooperator will follow generally accepted procedures for such awards including initial calls for proposals, review by appropriate peer group processes, including involvement of A.I.D. personnel and Missions, and grants administration by the home institution.

The first two programs listed above will be operated each year. The third program will vary from one year to another. Based on evaluation of each, the UC will vary the size and frequency of use of each competition during the five years of

HEAD. This rolling implementation pattern will provide flexibility to serve Mission priorities since the substance to be covered in any one award would be aligned in advance with needs in the country and in the Missions.

If the small grant award called for faculty time to be spent abroad, as clearly would be the case in one series of competitive grants, the relevant Mission concurrence would be required before the grant would be approved. Thus Missions would be consulted well in advance, assuring knowledge of Mission priority objectives and related subjects of interest. It is anticipated that the countries participating in HEAD project activities will include some in which there is no A.I.D. Mission. These and the inclusion of small or recently graduated countries will be cleared with appropriate regional bureaus. These countries would be accommodated by listing them on the respective "participating country" lists, an essential part of all requests for proposals. If USAID Missions choose not to participate their host country would be excluded from the list (as is the case with UDLP).

Mission buy-ins will be encouraged where appropriate. University/college shared funding, based on joint planning of each activity so as to assure mutual benefit, will characterize HEAD activities.

A particular feature of HEAD will be "rolling implementation" as applied to the small grant program, the joint seminars and to networking elements. In practice, this will mean that UC, working with the cooperator, will vary the subject matter and criteria in the third small grants program and the size of the competitive awards and criteria of all three each year based on experience, needs, and priority objectives in the participating institutions, the developing countries and the Missions. This flexibility will provide a greater ability for the UC to respond to Mission needs, to US and LDC university experience, and the results of on-going evaluations of the various activities.

#### D. A.I.D - University Interactions Management.

These activities will be managed by the cooperator or others as described in the elements section above.

#### E. Gender Considerations

Women are under represented in the student, faculty, and management populations of most developing country education systems. Investment in education of women has been established as having a very high rate of return. Therefore the HEAD Project will actively seek to promote expanded female participation in education

through the activities it supports, as described in various sections of this paper, particularly those in the network and small grants categories.

In all collaborations, particularly those in which collaborative activities lead to opportunities for addressing higher education or other education sub-sector policy and management issues, collaborators will be expected to address gender issues, and to pay particular attention to opportunities of increasing education of the females during the course of the collaboration.

To this end preference will be given in small grants awards to proposals demonstrating sensitivity to gender concerns and which will result in specific attention to such concerns during the course of the activities proposed for grant support.

#### F. A.I.D. Management Considerations

As described above, most of the three categories of project activity will be monitored and managed jointly by the UC and a principal cooperator. Within the UC these functions will be performed by existing direct hire staff supported by three IPA staff, two of whom are already on board, with the third expected in early 1993. All or a portion of time of the three IPAs will be devoted to oversight of components of the HEAD Project under supervision of a direct hire project officer. Management of the project will not require additional FTE allocations.

Requirements on other elements of A.I.D./Washington and field Missions will vary depending on their particular interests and the opportunities which emerge for HEAD to contribute to achievement of other bureau and field Mission program priorities. Where these interests and opportunities exist, requirements can be expected to consist of the following:

- occasional participation in selection and placement of University Fellows;
- occasional participation on selected grant proposal review panels;
- cable clearances by designated regional bureau staffs;
- field Mission review and cable comment on network and grant component country activities, plus response to occasional other more general communications;

- occasional meetings or interviews with University participants and HEAD project representatives during the course of project implementation and evaluation;
- participation, on a voluntary basis, on teams constituted to evaluate the project or components of it;
- selective participation in project sponsored workshops, seminars or conferences.

These involvements by other A.I.D. elements in management or implementation of the Project will be short-term, intermittent, spread across a number of offices and Missions, consistent with the normal functions and duties of the individuals involved, usually undertaken in support of goals, programs and projects of the sponsoring office or Mission, and will frequently be self-initiated. Therefore we do not anticipate they will impose undue or unmanageable burdens on the A.I.D. units or individuals involved. HEAD would welcome broader participation, but it will not be necessary.

## 6. COST ESTIMATE AND FINANCIAL PLAN

The overall HEAD Project Budget follows on the next page. This budget presents the overall \$30.5 million R&D budget for the five year project, FY 1993 being the first year, FY 1997 being the final year of obligation. The PACD is set for FY 1999, two years after the final obligations to permit the Development Action Networks to complete their work.

The R&D budget contains \$16.6 million for Networks and \$12.2 million for the Small Competitive Grants program. The Interaction component is budgeted at \$1.6 million with \$180,000 for project evaluation.

Individual networks are projected at a total three year cost of \$1,854,267 including funds for a small Headquarters Coordination unit within each network. The Principle Cooperator's (PC) costs of organizing the individual networks is reflected as a separate line item headed Network Organizing Unit.

Similarly, the Small Competitive Grants portion of the budget contains not only funds for the three categories of grants, but also funds for a Small Grants Program Unit within the PC.

The Interactions portion of the budget provides funds for the University Fellows Administrative Unit within the PC along with funds for the joint seminar series.

Four individual spreadsheets provide the supporting data for the overall budget. These are found in Annex G, "Selective Budget Material" and detail the three year cost of a single network, and the costs of the Network Organizing Unit, the Small Grants Program Unit, and the University Fellows Administrative Unit.

Obligations from R&D funds are projected at \$4 million in year one, rising to \$5.5 the second year and leveling at \$7.0 million annually in years 3, 4 and 5.

Additionally, the match of HEAD Project program components by institutions of higher education is projected at \$21.6 million. This assumes matching of the program costs of the networks, and the costs of the competitive small grants.

In anticipating Mission and/or Regional Bureau add-ons or OYB transfers, we have assumed one \$200,000 add-on from one mission to Networks 2 through 7. Concerning the Competitive Small Grants we have assumed three add-ons of \$35,000 per year in years 2-5. While we assumed an average of 20 University Fellows

annually, we have projected a more modest 10 the first year rising to 30 by year 5 at an average individual cost of \$150,000 per fellow, per year. The costs of individual fellows are assumed to be borne by the requesting A.I.D. unit. Annex G also contains a spreadsheet reflecting the calculations based on these assumptions for the five years of the project. Our concern has been to provide the latitude within the project for collaborative funding, should missions wish to do so.

Finally, Host Country in-kind contributions are projected at 20% annually of Network program and indirect costs, plus 20% of the program costs of the Small Competitive Grants. We have drawn here on the experience with the University Development Linkages Project (UDLP) where host country in-kind contributions on this order of magnitude have been a regular experience.

The result is a life of project cost of \$75 million, 41% funded by R&D, 29% by institutions of higher education, 25% by field or mission add-ons, and 6% through host country in-kind contributions.

We also intend to seek opportunities, jointly with missions and higher education institutions, to leverage financial inputs from other official donors and the private sector. These would most probably take the form of companion investments (1), in the case of other donors, in either the same or complementary higher education activities in which there is a common interest, or (2), in the case of the private sector, from which benefits may be derived. We do not consider it feasible to attempt to project potential levels of such inputs at this stage, but instead to record those which occur, through the monitoring and evaluation process, in order to guide out year decision making.



		HEAD PROJECT PROGRAM PROJECTIONS BY COMPONENTS					LOP	Overall
12/31/92		YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	TOTAL	%
		FY93	FY94	FY95	FY96	FY97		
<b>NETWORKS</b>								
Yearly/Total Costs:(*)	Sequence							
Yr 1 = 353,532	Network 1	1,335,479	518,788				1,854,267	
Yr 2 = 782,191	Network 2		795,470	825,206	233,591		1,854,267	
Yr 3 = 718,543	Network 3		795,470	843,234	215,563		1,854,267	
Total: 1,854,267	Network 4			666,409	613,024	574,835	1,854,267	
	Network 5			650,084	629,348	574,835	1,854,267	
	Network 6(**)				728,984	1,125,283	1,854,267	
	Network 7				735,515	1,118,752	1,854,267	
— Grants for Individual Networks		1,335,479	2,109,729	2,984,933	3,156,024	3,393,704	12,979,869	43%
— Network Organizing Unit		649,307	859,063	959,683	858,848	257,360	3,584,261	12%
	<b>SUB TOTAL:</b>	<b>1,984,786</b>	<b>2,968,792</b>	<b>3,944,616</b>	<b>4,014,872</b>	<b>3,651,064</b>	<b>16,564,130</b>	<b>54%</b>
<b>SMALL COMPETITIVE GRANTS</b>								
	Unit Costs							
1) Faculty Abroad (1Yr)	35,000	525,000	700,000	700,000	700,000	700,000	3,325,000	
		15	20	20	20	20	95	
2) Dissertation Grants (Each for one year)	30,000	450,000	450,000	570,000	600,000	600,000	2,670,000	
		15	15	19	20	20	89	
3) University Special Initiatives (Each for 2 years)	58,523 (40-75,000)	534,947	814,352	1,105,852	1,075,220	1,396,960	4,927,331	
		9	14	19	18	24	84	
— Small Grants Program		1,509,947	1,964,352	2,375,852	2,375,220	2,696,960	10,922,331	36%
— Small Grants Program Unit		242,494	245,044	251,289	251,029	250,395	1,240,251	4%
	<b>SUB TOTAL:</b>	<b>1,752,441</b>	<b>2,209,396</b>	<b>2,627,140</b>	<b>2,626,249</b>	<b>2,947,355</b>	<b>12,162,582</b>	<b>40%</b>
	<b># OF GRANTS:</b>	<b>39</b>	<b>49</b>	<b>58</b>	<b>58</b>	<b>64</b>	<b>268</b>	
<b>INTERACTIONS</b>								
1) University Fellows Admin Unit (Average 20 Fellows/Annually)		222,773	261,812	268,244	298,879	261,581	1,313,288	
		10	15	20	25	30	100	
2) Joint Seminars	30,000	30,000	60,000	60,000	60,000	60,000	270,000	
		1	2	2	2	2	9	
3) Short Term Reserve Conslts	10,000	10,000	0	0	0	0	10,000	
	<b>SUB TOTAL:</b>	<b>262,773</b>	<b>321,812</b>	<b>328,244</b>	<b>358,879</b>	<b>321,581</b>	<b>1,593,288</b>	<b>5%</b>
<b>EVALUATION &amp; AUDIT</b>								
		0	0	100,000	0	80,000	180,000	1%
<b>TOTAL HEAD PROJECT 936-5065:</b>		<b>4,000,000</b>	<b>5,500,000</b>	<b>7,000,000</b>	<b>7,000,000</b>	<b>7,000,000</b>	<b>30,500,000</b>	<b>100%</b>
(Ceiling)	<b>HEAD PROJECT @ 30,500 MILLION:</b>	<b>4,000,000</b>	<b>5,500,000</b>	<b>7,000,000</b>	<b>7,000,000</b>	<b>7,000,000</b>	<b>30,500,000</b>	<b>41%</b>
Projected HEI match of program components:		2,804,468	3,664,952	4,800,571	4,944,842	5,557,333	21,572,166	29%
Projected Add-ons:		1,700,000	3,075,000	3,825,000	4,775,000	5,225,000	18,700,000	25%
Projected Host Country Contributions:		515,377	729,970	952,113	979,324	1,081,649	4,258,433	6%
<b>TOTAL HEAD PROJECT + PROJECTED MATCH:</b>		<b>8,819,845</b>	<b>12,969,922</b>	<b>16,677,684</b>	<b>17,699,166</b>	<b>18,863,983</b>	<b>75,030,599</b>	<b>100%</b>

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- 1)Note (\*): Estimated total network operating costs for three years.
- 2)Note (\*\*): Netwks 6 & 7 are projected to be fully funded in Yrs 4 & 5.
- 3)Note: Networks are assumed to last three years.

46

## 7. MONITORING AND EVALUATION

Monitoring of the HEAD program will focus on whether intended project activities are proceeding according to plan. Evaluation will be undertaken to determine the effectiveness and impact of those activities. In practice, these two functions often overlap and, for that reason, are considered together.

An effective monitoring and evaluation element will contribute to the HEAD Project in two ways. First, the initial evaluation of proposals and system for early detection of design and implementation problems will help ensure the success of activities undertaken. Second, evaluations which examine the effectiveness of the major elements and of the overall project will inform A.I.D. on how modest interventions in higher education can best contribute to development.

Evaluation and monitoring activities within HEAD will occur in four phases: In Phase One, Grant and Network Review Panels will evaluate proposals submitted for funding under the project. In Phase Two, each small grant and network recipient will conduct an evaluation of their own activities, to identify needed mid-course improvements, document award activities, and assess the effectiveness of their grant/network. In Phase Three, an ongoing internal, formative evaluation will be conducted by the Cooperator to provide information for mid-course corrections. Finally, in Phase Four, a mid-term and a final external evaluation will be conducted to determine the effectiveness and contribution of the overall project. These external evaluations will be commissioned by A.I.D. and conducted by independent evaluation teams (individuals not previously involved with HEAD). Each of these phases is discussed below.

### **Phase 1: Small Grant and Development Action Network Proposal Evaluation.**

Effective assessment of the need for an activity and manner in which it is designed, staffed, and budgeted can help ensure a more rapid implementation and a higher quality collaboration. These proposal evaluations will be the responsibility of Grant and Network Review Panels. Panel configuration may vary depending on particular needs and circumstances, but will normally consist of 5 persons, one from the University Center, one from the cognizant technical or other office of A.I.D. and three outside readers. Agreement of at least four Panelists will be necessary for an award to be made. Criteria for the evaluation of small grant and network proposals include (a) the quality of the proposed activity; (b) its relevance to development; (c) cost effectiveness and potential for sustaining results of the proposed activity, and (d)

the appropriateness of the activity within the policy environment of the countries involved. Criteria are discussed in more detail later.

Responsibility for the operation of the Grant and DAN Review Panels will rest with the Cooperator with approval of the University Center.

### **Phase 2: Evaluation of Small Grant and Development Action Network Activities**

A required component of each grant proposal will be an evaluation and monitoring plan which will identify criteria of project success, potential data sources, data collection methods to be employed, procedures that will be used to document project activities (especially any mid-stream alterations to the original plan), reporting schedule, and the staff responsible for completing these activities. Grants will not be awarded until the evaluation and monitoring plan is judged acceptable by the Review Committee.

Once funded, each grant and network will conduct an internal, formative evaluation as a means of identifying areas for potential mid-course improvement. Reports will be provided to the Cooperator on a schedule to be determined during the proposal review process. While primary responsibility for acting on the recommendations rests with each grant and network team, project staff of the Cooperator will assist (as requested).

### **Phase 3: Evaluation for mid-course adjustment**

It is expected that, as activities begin, participants will recognize new opportunities and develop new insights that need to be incorporated in the ongoing activities. A formative evaluation of each grant and network activity will be conducted by the participants to review progress and determine needed modifications in design and implementation strategies. Given the rolling nature of the small grant awards, lessons learned early in the project will influence the design and operation of later grant competitions.

The formative evaluation will operate at two levels. (a) Each grant recipient will have initial responsibility for monitoring the activities, relationships, and expenditures of their grant. These evaluations will be submitted to the Cooperator on a schedule to be specified in each grant or network award. (b) The Cooperator will have an evaluation specialist with primary responsibility for the ongoing monitoring and evaluation of project activities. The cooperator evaluation specialist will analyze the individual grant and network reports and, in addition will conduct site visits to grant

and network projects. Site visits will be used for interviews with stakeholder groups, documentation and verification of grant and network activities, and collection of other data, as needed. From the perspective of the grant recipient, this tier of review might look like external evaluation. However, from the perspective of the University Center, it is seen as internal, formative evaluation of the entire program on the part of the Cooperator.

The Cooperator Project Evaluation staff, working with other project managers, will also have primary responsibility for documenting project activities. Too often, those wishing to replicate successful projects are thwarted by nonexistent or incomplete descriptions of what really occurred. They are left unsure of what action to undertake to gain the same ends. Documenting the HEAD project poses a particular challenge, since it is a multi-activity, multi-site project involving different treatments at each site, each operating within the context of multiple interest groups. A crucial aspect of the evaluation, then, is to document the actual operation of each grant and network, the changes that were made along the way, the reasons for those changes, what they were intended to accomplish, how they really operated, and the results and impacts they appeared to have. Only with this information can the eventual impacts of the grants and networks be accurately understood and interpreted. Data for this documentation will be provided by the evaluation reports submitted by each awardee, field reports of project managers, and the site visits of the cooperator's project evaluator.

#### **Phase 4: Impact Evaluation of the Project**

The impact of the three main project components, separately and overall, will be assessed through two external evaluations, one conducted in year Three and the other conducted at the end of the project. While the mid-term evaluation is expected to contribute to mid-course improvements, the final evaluation is summative in nature. Its goal is less to inform project decision making, more to inform future planning for ways to encourage development and strengthen collaboration between AID and U.S. and developing country higher education institutions. In general, the emphasis in this type of evaluation should be to identify what is successful, particularly in terms of impacts and sustainable results.

One objective of HEAD is to identify successful models that can be repeated in other locations perhaps in other content area. Only by looking across a range of activities within each project component can informed generalizations be made. Since A.I.D is the primary client of this evaluation, it will be commissioned and funded separately by the University Center.

## Evaluation Criteria

Meaningful evaluation requires clear criteria, standards, and indicators. Criteria refer to the aspects of a project on which it is to be judged. For example, student achievement is a criterion of most instructional programs. Standards refer to how much of the valued criterion is enough--for example, how much a student needs to learn for that instructional program to have been judged successful. Indicators are the measures used to collect data about the activity or program. For example, a final exam is an indicator of student achievement in a course.

Criteria selection in the evaluation of the HEAD project will require particular care, since HEAD will operate as a multi-site project involving different treatments at each site. Some criteria, such as cost-effectiveness, will be appropriate for use across all grants/networks. However, some grant/networks will require criteria specific to their activities. For example, the criteria of an effective water conservation project are quite different from those of an effective small business development project.

Criteria: Figure 1 presents an illustrative list of criteria that might be used in each of the four types of evaluation activities described above (grant/network selection, evaluations conducted by recipients, formative evaluation by Cooperating Institution, and two external evaluations).

Seven criteria applicable to the initial review of grant and network proposals include: (a) clarity of design; (b) quality of activity; (c) relevance to development; (d) reasonableness of budget; (e) cost effectiveness; (f) capacity of recipient to manage activity; (g) quality of personnel involved; and (h) compatibility with policy environment of the countries involved.

As part of each application, applicants will identify what they regard as appropriate criteria (given the nature of their collaborative activity) for use in later evaluation of their actual field work. The evaluation specialist for the Cooperator will work with each grant/network team to ensure the appropriateness of those criteria and their data collection methods.

Based on a review of the funded proposals, the evaluation specialist for the Cooperator will develop protocols to guide their formative evaluation of project activities. The criteria will include the extent that original objectives are being achieved, the extent that teams are addressing unanticipated problems and opportunities, and the quality of the working relationships that have been developed among the collaborating partners and between those partners and other groups within the country.

## Data Sources

- Initial proposal review will draw on data provided in the proposals, proposal reviews by the relevant USAID Missions and the experience and expertise of the Proposal Review Panel.
- Evaluations conducted by grant/network recipients will employ interviews, document reviews, and other survey techniques, as appropriate. It is anticipated that each team will maintain records that document their activities, expenditures, and impacts.
- Site visits to selected project activities will be carried out as part of the formative evaluation conducted by the Cooperator. During these visits, interviews will be conducted with key project, USAID and local government staff, and with other persons in positions to have informed judgements about the operation and impact of the activity. Additionally, quantitative data from local information systems and documents will be reviewed and collected, as relevant.
- The external evaluations will rely heavily on a review of documents provided by each team and by the Cooperator and supplemented by evaluation team interviews of key personnel in selected countries and participating higher education institutions.

## Staffing

The Cooperator will provide the services of a senior evaluation specialist and 15 person months of specialized evaluation assistance. These short-term consultants will provide specialists in technical areas pertinent to the activities being evaluated.

The Cooperator Evaluation Specialist will develop the evaluation procedures to be used by the Review Panels, serve as a member of the Review Panels, assist grant/network applicants in developing and implementing their evaluation plans, conduct the on-going formative evaluation (including the site visits associated with that evaluation), assist with preparation of the annual reports provided by the Cooperator to the UC, and supervise the work of the Evaluation Secretary. He/she will also serve as part of the senior project staff of the Cooperator and assist in overall project administration.

## Schedule of Evaluation Activities

The nature of the evaluation activities is expected to shift over the life of the project, as described below:

months 1-6	design and implementation of specific proposal evaluation procedures
months 3-48	conduct of Panel Review process
months 12-48	conduct of individual grant and network evaluations summary of grant and network evaluations conduct of project-based formative evaluation (including site visit)
months 36-38	conduct of mid-term evaluation
months 58-60	conduct of final evaluation

## Reporting

- The evaluation reports of individual grants and networks will be submitted on a schedule developed as part of each proposal review and tailored to the particular activities being undertaken. These reports will be summarized at least once each year by the Cooperator. This summary will be incorporated in the annual report submitted by the Cooperator to the University Center.
- The Project Evaluation Specialist will prepare a series of Action Memos highlighting issues and findings from the ongoing formative evaluation activities conducted across the grants and networks. These will be circulated to relevant personnel, with the intent of encouraging rapid response to the issues raised.
- Once a year, a summary of the types of issues identified and actions taken as a result of the formative evaluation activities will be summarized in a separate written report submitted by the Cooperator to the University Center.
- A mid-term and final evaluation report will be prepared by the respective external evaluation teams and submitted to the University Center within 90 days of the start of each study.

### **Working Relationships between the UC, the Cooperator and the Higher Education Community**

To ensure full involvement in the awards process, one University Center staff member will serve on each Review Panel. As grant/network activities are fielded, project evaluation staff will work closely with University Center staff to ensure that the evaluation activities of the project serve the information needs of the University Center. All project evaluation reports will be submitted to the Director of the University Center.

Requests to Mission staff for logistical support will be kept to a minimum. It is anticipated that most local arrangements can be made by collaborating groups within each grant/network. However, A.I.D. Missions will participate in evaluation activities in two ways. (1) Selected Mission staff will be interviewed as part of internal and external evaluation studies. (2) Appropriate Mission staff will receive copies of the evaluation reports prepared by the grants/networks operating in their country, by the Cooperator, and by the external evaluation teams. Additionally, special information needs of the Missions involved in HEAD project work will be addressed by project participants as appropriate.

It is essential that the larger higher education community in both the U.S. and developing countries be involved in this project. To this end, leading educators from both the U.S. and other participating universities will be involved as members of the Review Panels, as external evaluation consultants, and as members of the external evaluation teams.

#### **Dissemination**

HEAD project reports will be shared with other elements of A.I.D., the donor community and within both the U.S. and developing country higher education communities in the expectation of demonstrating how modest investments of the sort contemplated under HEAD can both increase higher education's contribution to development and the performance of higher education institutions.

Descriptions of project activities and results of the formative and external impact evaluations will be shared through UC and Cooperator publications and articles in higher education association newsletters and professional journals. Developing country and U.S. higher education participants and UC and cooperator staff will

participate in appropriate professional and academic conferences to describe the activities and their impacts on developing country and U.S. higher institutions and on development in the countries involved.

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Figure 1: Illustrative Criteria and Data Sources by Type of Evaluation

Type of Activity	Evaluative Criteria	Data Sources	Who is Responsible
<b>Small Grants Competition</b>			
Initial selection of grant recipients	relevance to development needs of country centrality of topic within AID's country priorities support of participating higher education institutions clarity of design quality of personnel involved recipient's capacity to manage grant reasonableness of budget cost effectiveness supportiveness of larger policy environment	data provided in applicant's proposal USAID Mission review of proposal professional judgement of review panel interviews with applicant	Cooperator Review Panel with assistance from Univ Center
Implementation issues	adherence to original plan documentation of rationale for changes quality of working relationships among participants appropriateness of budget identification of previously unanticipated problems	grant recipient evaluation report Cooperator staff interviews in field Cooperator staff interviews with U.S. participants Mailed questionnaires, as appropriate Expenditure review	Cooperator's staff Grant recipient's staff
Effectiveness of Small Grant Competition	attainment of original objectives unanticipated impacts cost relative to outputs evidence of durable changes evidence of sustainability beyond life of project formulation of other collaborative activities among participating groups (ripple effect)	review of grant recipient reports stakeholder interviews in field site visits to project activities review of empirical data in topic area of grant (e.g., impacts on environment, health, population; utilization rates, etc., where appropriate)	Univ Center/AID (external eval team) with assistance from Cooperator
Overall effectiveness of Small Grant Competition	attainment of original objectives unanticipated impacts cost relative to outputs evidence of durable changes sustainability of collaborative activities	review of grant recipient reports stakeholder interviews in field site visits to project activities review of empirical data in topic area of grant (e.g., impacts on environment, health, population; utilization rates, etc., where appropriate)	Univ Center/AID (external eval team) with assistance from Cooperator

Type of Activity	Evaluative Criteria	Data Sources	Who is Responsible
<b>Development Action Networks</b>			
Network selection	relevance to development needs of country centrality of topic within AID's country priorities support of participating higher education institutions clarity of design quality of personnel involved recipient's capacity to manage grant reasonableness of budget cost effectiveness supportiveness of larger policy environment	data provided in applicant's proposal USAID Mission review of proposal professional judgement of review panel interviews with applicant	Cooperator Review panel with assistance from Univ Center
Implementation issues	adherence to original plan documentation of rationale for changes quality of working relationships among participants appropriateness of budget identification of previously unanticipated problems	network recipient evaluation report cooperator staff interview in field cooperator staff interviews with U.S. participants Questionnaires and services as appropriate expenditures reviews	Cooperator's staff Grant recipient's staff
Effectiveness of Network Component	attainment of original objectives unanticipated impacts cost relative to outputs evidence of durable changes	review of grant recipient reports stakeholder interviews in field site visits to project activities review of empirical data in topic area of network (e.g., impacts on environment, health, population; utilization rates, etc., where appropriate)	Univ Center/AID (external eval team) with assistance from Cooperator
Overall effectiveness of Networks	attainment of original objectives unanticipated impacts cost relative to outputs evidence of durable changes	review of grant recipient reports stakeholder interviews in field site visits to project activities review of empirical data in topic area of network (e.g., impacts on environment, health, population; utilization rates, etc., where appropriate)	Univ Center/AID (external eval team) with assistance from Cooperator

Type of Activity	Evaluative Criteria	Data Sources	Who is Responsible
<b>A.I.D.-U.S. University Interactions</b>			
University personnel on long-term ( $\geq 1$ yr) assignment to A.I.D.	quality of working relationships substantive contribution to addressing a development issue longer term impacts of experience on home university review of work completed by university person	interviews with relevant A.I.D. staff interview with participant	Cooperator Univ Center A.I.D. office in U.S.A.I.D. mission Director
A.I.D. personnel on assignment to a University	quality of working relationships extent of participation in university activities student meetings of instruction faculty assessment of benefits	interviewers in selected universities administrators, and students interviews review	Cooperator Univ Center
Short term consulting of Univ personnel for A.I.D.	quality of working relationship substantive contribution of work ability to meet schedules	participant assessments written work completed as part of assignment	Cooperator Univ Center
Seminar/Resources by University Personnel for A.I.D.	perceived relevance of material & ideas presented quality of interpersonal relationships impact on subsequent work of A.I.D. personnel	participant assessment of seminar review of materials and instructional outline delayed surveys of participants	Cooperator Univ Center
Dissertation Support	rate of dissertation completion quality of research impact of research on development	assessment by dissertation committee independent panel of readers	Cooperator Univ Center with help from Dissertation Committee Chair

## ANNEX A

### DEVELOPMENT ACTION NETWORKS

This Annex is intended to supplement the material found on pages 9 to 12 of the Higher Education and Development Project Paper (HEAD) related to Development Action Networks (DAN).

The world in which we live is filled with a multitude of interactive systems that often are referred to as "networks" (satellite, television and radio, E-Mail, international faculty and student exchange, interpersonal and interinstitutional). These networks are, in general, the product of those who design, develop and implement them. They usually address a societal, institutional or personal need in mutually beneficial ways. Members of these networks generally have regular communication and support one another on matters related to achieving network goals and objectives.

As part of the HEAD project, Development Action Networks will focus primary attention on strengthening developing country Higher Education Institutions (HEIs) in ways that will contribute to development. Electronic communication systems will not be the focus of these DANs, but participating HEIs will be using INTERNET and/or other associated electronic networks as tools to assist in fulfilling their goals and purposes.

#### Structure of Networks:

Networks have no generic structural model. Each will have its own unique structure that will provide sufficient organization to focus efforts on defined goals and objectives and facilitate necessary financial and administrative tasks. However, administrative structure will be kept to the minimum that will allow each network to function effectively. The following are common elements that may be found in alternative University Center Development Action Networks:

- DAN Headquarters Institution (Cooperative Agreement/Grant)
- Network Coordinator (Director or Principal Investigator)
- A Variable Number of Participating HEIs (Sub-Agreements/Grants or other management agreements with the DAN Headquarters)
- A Steering Committee with Administrative Representation from Each Member HEI
- A Founding Document (Memorandum of Understanding)  
Goals  
Purposes  
Objectives  
Administrative Structure

- Financial Arrangement Clearly Defining the Amount and Source of Resources with a Budget
  - Including the Institutional Match
  - Procedures for Financial Accountability
  - Procedures for Program Accountability
  - An Implementation Plan
- A Plan for Periodic Evaluation and Sufficient Flexibility to Modify Activity Based on These Evaluations

Steps in Forming a Series of Development Action Networks

1. Literature Review on Networking
2. Define parameters for the Development Action Networks.
  - Jointly planned
  - Mutually beneficial
  - Jointly supported through cost sharing
3. Identify critical developing country higher education and related needs that can be effectively addressed by Development Action Networks.
  - Brainstorming sessions including representatives from U.S. and developing country higher education, AID Regional Bureaus, Mission Directors and UC staff
  - Explore the identified Mission focus areas
4. Communicate with Mission personnel to determine which Missions would be receptive to HEAD project network activity and which of the identified needs are appropriate in those countries.
5. After appropriate consultation identify DAN topics/locations that address identified needs, have country missions' interest, are compatible with AID and UC goals and objectives, and are amenable through a DAN.
6. Evaluate these topics/locations based on the following criteria:
  - Need or demand for product or service
  - Sustainability (if sustainability is needed)
  - Compatibility with AID and UC goals and objectives
  - Interest on the part of country mission
  - Interest on the part of developing country higher education institutions
  - Interest on the part of U.S. higher education institutions
  - Cost effectiveness of investment

7. Select four candidate subjects for the first Development Action Network (DAN) to be implemented.
8. Execute an agreement between UC and a cooperating organization to plan, initiate and establish DAN #1 in the first year, and to plan and initiate two additional DANs in years 2, 3 and 4, for a total of 7. After establishing DAN #1 the process will be evaluated and needed modifications made. It is anticipated that in years 2, 3 and 4 the subsequent DANs will be established under grants administered by the University Center.
9. The Principal Cooperator will select the topic/locations for each of the additional DANs as appropriate for years 2, 3, and 4, using the criteria noted in Step 6 above.
10. The general cooperative agreement will include guidance for the steps to be taken in planning and initiating each DAN:
  - a. Review the literature specifically on the subjects/locations selected.
  - b. Develop a methodology for identifying higher education institutions with expertise and commitment to participate in each of these networks.
  - c. Develop a methodology for selecting the HEIs that will be a part of the chosen networks.
  - d. Select the DAN Headquarters institution for each network being implemented.
  - e. Develop a founding document for each network being established describing agreed upon goals and objectives, the scheme for coordination of the network, how financial arrangements would be handled, matching expectations and commitments, evaluation criteria and procedures etc.
  - f. Facilitate the execution of an agreement/grant UC to the Dan Headquarters institution for each DAN.

#### Matrix for Establishing DANs

A "Matrix For Establishing Development Action Networks" is located on the following two pages. This Matrix shows the steps to be taken as described above along with designating who is responsible and when each step is to be accomplished.

## MATRIX FOR ESTABLISHMENT OF DEVELOPMENT ACTION NETWORKS

<u>STEPS</u>	<u>RESPONSIBILITY</u>	<u>WHEN ESTABLISHED</u>
1. Literature Review on Networking	University Center	Before PID & PP
2. Define Parameters of DAN's	University Center	During preparation of PID & PP
3. Identify LDC HEI needs	University Center	During preparation of PID & PP
	Principal Cooperator DAN Members	Continuously Throughout LOP
4. Communication with missions for receptivity and interest	University Center Principal Cooperator	During Preparation of PID & PP During Planning and in participation initiation
5. Identify alternative DAN topics/locations	University Center	During PID & PP
6. Evaluation of topics/location	University Center	During PID & PP
7. Select four candidate subjects for first DAN	University Center	During Preparation of PP
8. Execute Cooperative Agreement - with General Cooperative Agreement Entity including establishment of DAN #1	University Center and Principal Cooperator	Immediately after approval of PP Year 1

9.	Select topics/locations DANs 2-7	Principal Cooperator	DAN #2&3 - Year 2 DAN #4&5 - Year 3 DAN #6&7 - Year 4
10.	Execute Grants to DAN #2 through #7	University Center & DAN Coordinating Entities	DAN #4&5 - Year 3 DAN #6&7 - Year 4
10a.	Literature Review on specific topic/location	Principal Cooperator	DAN #1 - Year 1 DAN #2&3 - Year 2 DAN #4&5 - Year 3 DAN #6&7 - Year 4
10b.	Methodology for Identification of prospective participants	Principal Cooperator	Year 1 with possible modification in subsequent years
10c.	Methodology for selection of DAN participants	Principal Cooperator	Year 1 with possible modification in subsequent years
10d.	Select DAN Participants	Principal Cooperator	DAN #1 - Year 1 DAN #2&3 - Year 2 DAN #4&5 - Year 3 DAN #6&7 - Year 4
10e.	Develop founding document	Principal Cooperator	DAN #1 - Year 1 DAN #2&3 - Year 2 DAN #4&5 - Year 3 DAN #6&7 - Year 4
10f.	Facilitate the Execution of Grants to DAN #2-7	Principal Coordinator	DAN #2&3 - Year 2 DAN #4&5 - Year 3 DAN #6&7 - Year 4

2

### Topics Selected as Candidates for the First DAN

After consultation with Missions, Regional Bureaus, U.S. and Developing Country universities and UC staff the following four Development Action Network topics have been identified as candidates for the first DAN to be established. The Principal Cooperator will establish one of these four DANs in year 1. In most cases the DANs will be regional, but a world-wide DAN may be appropriate with some topics. They are:

- a. The building of better business management education programs to address the challenges of a global economy, including curricular concerns, use of new case studies in the classroom, special short courses and the role of on-the-job-training.
- b. Natural resource management focusing on sustainable forestry management including tenure security, biodiversity protection, privatization and deregulation, and forest management planning.
- c. Teacher training and improved preparation of instructional staff for various levels of schooling - basic and primary, secondary and technical, including development of alternative models for teacher education.
- d. Water resources management focusing on more efficient use of the very limited amount of water available in developing countries such as those of the Near East, including systems of management for reusing water, water storage and delivery systems and environmentally sound water management systems.

### Example of a Development Action Network

The following description of a Development Action Network is presented to give an example of how a DAN might be presented and some detail on the actual process that might be followed in planning, initiating and establishing it, activities that might be undertaken and closure of AID support. Please keep in mind that this is an example and does not indicate that such a DAN would necessarily be established.

**BUSINESS MANAGEMENT EDUCATION AND RESEARCH NETWORK (for Africa, Eastern Europe or other region)**

**Goal:**

To strengthen the capacity of higher education institutions (HEI) in Africa (or another region) and the U.S. to deal with business management education and related research programs in order that private sector activity can be encouraged and improved.

**Purpose:**

To develop improved curriculum models and related activities for the cooperating HEIs, to test aspects of the curricular models and other activities, to have them accepted and implemented at participating HEIs and to lay the groundwork for future cooperation.

**Initiative and Outcome Examples:**

1. To strengthen and enhance business management undergraduate education capacity in the selected LDC universities by developing and implementing improved curriculum modules and by exchanging, modifying, adapting or developing texts, workbooks and training aids that address current economic and marketing systems in a market driven economy and global society.
2. To develop business management education and research capabilities of developing country graduate students through specific developmental experiences that are relevant to the needs of their universities, government ministries or other agencies and the private sector, i.e. on-the-job training, internships or cooperative education opportunities.
3. To initiate a program of symposia and seminars which will be planned and offered by network universities at regional sites in Africa (or other region) and the U.S., in ways that will significantly improve access to graduate students, professors, ministry officials and private sector participants. This program will focus on business management and analytical capacity related to development.
4. To strengthen the capacity of the network universities for dealing with development studies generally and African (or other region) business management educational development studies specifically.
5. To provide the organizational means whereby the network universities will collaborate in the identification of high priority business management and research agendas which deserve the attention of professors and graduate students involved in joint studies of development in the targeted region.

CA

6. To initiate a comprehensive plan for collaboration in business management and education research that will include the use of technologies such as satellite transmission and other electronic communication systems to enhance the conduct of cooperative research and education activities and to accelerate dissemination and adoption of improved business management practices and procedures.

7. To establish and support a program that provides for the exchange of scholars among the DAN member institutions.

8. To provide for sustainability, if sustainability is needed, through project activities that are "locally" relevant, and require commitment and involvement by each participating HEI.

### Operational Considerations:

#### I. Network Creation: Initial Step - A Cooperative Agreement

As the HEAD project is implemented the initial step will be to select a Principal Cooperator for planning and initiating the Development Action Networks and Small Grants Programs as described in the Project Paper. For this example of a DAN it is assumed that the entity that will receive this cooperative agreement has been selected. This entity (Principal Cooperator) will establish a Network Review Panel with membership invited from AID, the appropriate professional associations, higher education associations and the University Center. For this example it is assumed that the topic/location recommended by the Network Review Panel for the establishment of the first DAN is the Business Management Education and Research Network (BMERN) for Africa (or other region) based on responses received from Missions, Regional Bureaus, U.S. and developing country HEIs and associations, and UC staff. The Principal Cooperator will then solicit from U.S. institutions or HEI associations (*i.e.* American Assembly of Collegiate Schools of Business) and developing country institutions or HEI associations, a list of prospective HEIs with expertise and interest in participation in this DAN. This solicitation will include a description of the proposed DAN, the matching requirements and other pertinent information on the project.

#### II. The Formative Stage: The First Meeting

After reviewing the list of U.S. and developing country HEIs recommended for possible inclusion in this DAN the Network Review Panel will recommend that the Principal Cooperator invite selected HEIs from both the U.S. and developing countries, to send representatives (approximately 40) to discuss the problems to be addressed and to identify special tasks that could be undertaken that are amenable through this DAN (examples are

included under "Initiative and Outcome Examples" above). The HEI representatives would also be able to explore these opportunities and further assess their level of interest and commitment.

### III. The Second Meeting

After the initial meeting the Network Review Panel, using the agreed upon selection criteria, will finalize a short list of 15-20 potential U.S. and developing country HEI participants in this DAN. Representatives selected by each of these HEIs will be invited to meet (approximately 20) as soon as practical to plan activities, deal with policy, administrative and organizational matters and further assess commitment and ability to participate. These representatives would also address the issues and content to be recommended for inclusion in the DAN founding document (MOU).

The final selection of institutions to be included in DAN #1, the Business Management Education and Research Network (BMERN) will be made by the Principal Cooperator based on recommendations of the Network Review Committee.

### IV. Establishing the Development Action Network

DAN #1 will be established under a sub-agreement from the Principal Cooperator to one of the U.S. member institutions that will be designated as the DAN Headquarters. (The sub-agreement would be used to form DAN #1, and DANs #2-7 will be established with grants from the University Center directly to the respective DAN Headquarters institution.) The network will be comprised of 6 to 10 U.S. institutions and approximately the same number of African (or other region) institutions. The number of institutions in a network is left flexible. The DAN Headquarters will appoint a person to serve as Network Coordinator and provide appropriate clerical support. The DAN Headquarters will serve as fiscal agent and accept responsibility for on-going oversight of the work of network member HEIs and for regular internal evaluation of activities and outcomes.

DAN member universities will relate to the DAN Headquarters through sub-grants or other administrative mechanisms as agreed upon in the founding document (MOU). All HEIs in the network must have expressed strong interest, and made a commitment to inter-institutional collaboration as a means of addressing the complex problems of business management education and research which prevail in the designated region and in the U.S.

### V. DAN Operation: First Meeting of DAN Steering Committee

A Steering Committee will be established composed of representatives of each of the participating member HEIs. This committee will meet (approximately 20 individuals) as soon as

possible after the sub-agreement with the DAN Headquarters has been finalized to refine the plan of work and the operational procedures and policies . Future meetings of the Steering Committee would be scheduled at the same time as network activity meetings.

Funds made available from AID to support activities of the BMERN will be allocated on a matching basis to the participating universities through the DAN Headquarters. The structure must remain flexible to be responsive to special needs of network members and other donors and potential donors. AID funding on DAN activities will cover mainly essential travel and related costs. Developing country institutions may only be able to provide very limited matching resources such as office space or other in-kind support.

## VI. DAN Activities

Proposals from network members for specific activities and projects will be reviewed by the Steering Committee, and their recommendations would be communicated to the DAN Headquarters. Resources will be allocated, using cost effective mechanisms, through the DAN Headquarters to network members to conduct approved network projects and activities and for limited local administrative costs. Procedures for accountability required by AID/UC and the HEIs involved will be reviewed to assure that all participants are informed and in agreement with these required procedures.

It is anticipated that a number of activities will be implemented and accomplished throughout the three year life of this project. The activities undertaken could include: training seminars; visitors-in-residence; joint research projects; special studies; exchange of curricular, text or training aid materials; and visiting lectures. All of these would point toward accomplishing the targeted product.

The DANs will be evaluated on the schedule outlined in the Monitoring and Evaluation section of the Project Paper. The evaluation will give primary consideration to the products of the DAN and only secondary consideration to the process followed.

## VII. DAN Closure

At the end of three years, funding support from AID for this DAN will terminate. Continuation of the network will be the prerogative of the member institutions. It would be desirable for networks that are successful and truly mutually beneficial to be sustained through the efforts and support of the participating institutions and where possible from other donors. Some networks will have completed their tasks and be expected to terminate at the end of three years.

Other Possible Development Action Networks For Future Years:

1. A network to strengthen analytical and management capability in developing country higher education institutions.
2. A network including developing country and U.S. higher education institutions to reinforce democratic reforms and encourage market oriented economic growth.
3. A network on educational systems technology, including distance learning, in higher education.
4. A network focusing on business administration education for a global economy.
5. A network addressing higher education institution management including strategic planning, financial management, personnel management and facility planning and management.
6. A network of developing country and U.S. HEIs addressing commercialization and technology transfer of small scale agricultural biotechnology. (Existing network in Asia - Appropriate Technology International (ATI)).
7. A network focusing on health management higher education programs with special emphasis on systems of delivery and finance of health care in developing countries.
8. A network addressing strategic planning and management of developing country and U.S. community colleges and two year technical programs.
9. A network focused on the role of developing country and U.S. higher education and research institutions in research on environmental issues, i.e. pollution, global warming, deforestation, natural resource management.
10. A network concentrating efforts on the role of higher education institutions in teacher training programs and curriculum development for primary and secondary schools.
11. A network focusing on agroforestry and natural resource management education and research in humid tropic regions.
12. A network to strengthen the relationship between Latin America and Caribbean (or other region) higher education and research institutions and the private sector to improve the compatibility between the content of educational and research programs and the kinds of expertise needed for

development.

13. A network to identify key development problems and constraints to development in specific developing countries, and to assist in formulation of policy reforms that reduce or remove constraints and provide incentives for development.

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## ANNEX B

# SYMPOSIUM ON STRENGTHENING THE QUALITY OF HIGHER EDUCATION INSTITUTIONS TO PURSUE DEVELOPMENT

## SYNTHESIS OF PRESENTATIONS AND DISCUSSIONS

David Chapman and Victor Cieutat

These proceedings summarize a symposium that examined ways higher education institutions in developing and newly independent nations can be strengthened to better prepare them to address national development problems. Higher education plays a significant role in development with regard to transferring technology, market-related returns, non-monetary private benefits, and public social goods or externalities. Of importance is the establishment of an education system in which higher education needs are balanced with those of primary and secondary education. Papers, panel discussions, and comments of symposium participants identified the present time as one offering compelling opportunities for U.S. higher education institutions to cooperate with A.I.D. in helping partner institutions abroad to improve their quality and thereby take a more active and educationally responsive role in shaping the growth of their nations.

This synthesis of symposium outcomes identifies four calls for action. These are to: (1) relate to whole institutions, (2) pursue policy dialogues to reexamine the role of higher education, (3) strengthen the planning and administration of educational institutions, and (4) expand their funding base. Several guidelines emerged from the presentations and discussions; namely that the renewed partnership between higher education and A.I.D. should emphasize greater collaboration in planning and implementing programs of mutual benefit, leveraged deployment of limited resources, and the expansion and use of a reserve corps of U.S. faculty and administrators for technical assistance and advice on development in countries about which they are knowledgeable.

### I. A TIME OF OPPORTUNITY

This is a propitious time for U.S. institutions of higher education to assist their sister institutions in the developing and newly independent nations. New cooperative ventures in Africa are now possible with the end of the Cold War, which for the last 30 years dominated U.S. policy and drove a wedge between the U.S. academic community and U.S. interests in Africa. An A.I.D. officer with the Bureau for Latin America spoke of the importance of education for supporting two goals in that region, toward which some progress already is being made -- broad based economic

growth and the establishment of democratic societies. Other participants cited the desperate need for assistance among the Eastern European universities, covering a wide range of areas. Considerable attention was given to African universities and the vast opportunities for U.S. institutions to be of assistance.

One of the papers presented cites the decreasing contact between A.I.D. and educational institutions over the past several years, and the importance of reversing this trend. The author emphasizes the importance of such contact for long-range planning, and the desirability of joint identification, implementation, and evaluation of technical assistance projects. An A.I.D. officer in the Bureau for Africa indicated no current substantial A.I.D. involvement with higher education in the region, but encouraged U.S. universities to be proactive in participating with A.I.D. and potential recipient countries to identify areas of possible assistance.

Participants agreed that assistance from U.S. higher education institutions should reflect those areas where their institutional skills and resources are the strongest. The areas thought to represent their strongest potential for contributions are: (1) professional education, particularly in applied areas such as business administration, agriculture, health, engineering, private sector development, and education; (2) technology transfer; (3) the use of merit-based systems of student selection and advancement; and (4) university management supported by program evaluation, credit systems, accrediting procedures, and alternative financing schemes, (5) diversification of the higher education system, as with community colleges; and (6) mutually beneficial liaison with the public and the private sectors.

These opportunities for assistance promise rewards for recipient institutions as well as U.S. higher education institutions. Highlighted were benefits in terms of the internationalization of U.S. colleges and universities, a goal becoming more prominent in U.S. higher education. One speaker emphasized that the most benefits can be expected from contacts with African higher education institutions, as this region now has the lowest coverage among international courses in the U.S. as reported in a recent study. Thus, efforts to assist African higher education will produce long-term benefits also for American faculty, students, and staff by internationalizing our institutions.

## II. CALLS FOR ACTION

The symposium reflected a consensus on important areas for partnership among higher education institutions. These include policy dialogue regarding the roles and diversification of the higher education system and the mission, structure, management, and funding of institutions.

## **A. FOCUS ON INSTITUTIONS**

The importance of an institutional focus was stressed throughout the symposium's papers, panels, and discussions. The central point was captured in the comments of a participant from A.I.D.'s Center for Development Information and Evaluation, who summarized a review of 23 A.I.D.-sponsored agricultural projects worldwide. He stated that the projects strengthened Agriculture disciplines within the host universities, but tended to neglect the overall university and the infrastructure necessary to ensure the effectiveness of individual departments. This earlier work, he emphasized, failed to recognize that a strong university is more than the sum of its parts. As a result, most of the universities have little "institutional empowerment," do not have a political constituency because they have not adequately demonstrated their utility, and lack institutional diversity. He emphasized that universities of developing and newly independent countries need more exposure to other models of universities, links within advanced developing countries and industrialized countries in addition to the U.S., and graduate research for their students studying abroad that is more relevant to the needs of their home countries.

## **B. PURSUE POLICY DIALOGUE**

World Bank studies underscore the need for assistance with policy reform among African higher education institutions. The importance of focusing interventions on higher education policies also was emphasized by an A.I.D. participant, as being one way to leverage foreign aid within an environment where development funds are expected to continue their decrease of recent years. Policy on the public and private financing of education deserves special focus.

One symposium paper advocates rethinking the role of universities in Africa. The writer argues that, since these universities were essentially modeled after European and U.S. four-year colleges and graduate programs, they offer a truncated range of instructional program options with respect to development related needs. Africa has few community colleges, junior colleges, or technical colleges to meet the broad range of educational needs of developing nations. He advocates applying the decades of our experience and expertise to revitalization of higher education in Africa.

Another area of possible policy assistance relates to the influence of democratization on university governance. African universities over the past decade have experienced economic and political difficulties which have seriously eroded the autonomy and independence of many of them. Since the question of participation and democratization in university governance has been a major issue in the U.S., a small amount of funding could provide substantial assistance to African universities as they rethink their governance structure by making the experiences available to them.

### C. REEXAMINE ADMINISTRATION AND STRUCTURE

Symposium participants agreed that calls for action to benefit higher education should focus on developing institutional planning and management expertise, strengthening instruction and supervision, and rethinking institutional structure.

One of the symposium's papers emphasizes that the current crisis in African education has renewed an interest in the study of university administration by individual African universities, by organizations such as the Association of African Universities, and by international donors. The author states that a major need of African higher education is access to the experience of other countries with system reform and the implementation of policy changes. He advocates collaboration between U.S. and African administrators and faculty leaders so that such experiences can be shared. In addition, he notes that African colleges would benefit from access to U.S. management and leadership training. Another participant also noted that the skills of institutional administrators and financial managers would be improved through on-the-job training placements in U.S. private institutions.

The importance of strengthening instruction and supervision, to accommodate expanded enrollments and the increased number of students who work while attending school, was cited by the presenter from the World Bank. He stressed the importance of coordinating improvements in instructional facilities with those in curricula and student assessment. Since high repetition and high failure rates are partly caused by poor preparation in core academic fields, more emphasis should be placed on strengthening instruction in subjects such as mathematics and the basic sciences. He also recommended that U.S. academic staff reexamine their skepticism about the external examinations used by many African universities as a means of instructional program quality control. He endorses external examinations as an important component of institutional self-study, and regards them as essential to program improvement. These examinations can be an important tool for monitoring the quality of academic programs, identifying the needs of academic units, and supporting the long-term planning essential to strengthening institutions.

One of the papers emphasizes the need for rethinking university structure. The author indicates that no other nation in the world has as much specialized expertise in higher education as the U.S., placing this nation in a unique position to help in this domain. He emphasizes that the ability to identify and access this experience, and apply it to revitalizing higher education in Africa, can be a rich opportunity for African higher education. Areas of special need are financial management, issues of privatization (including the question of creating private colleges and universities in Africa), and means to improve cost recovery through tuition and student fees.

Another needed improvement is in coordination of programs of degree granting and diploma granting institutions, especially in the fields of agriculture, education, and engineering. Continuing education programs are also needed to address the educational needs of a wider population as well as serving as profit centers to produce significant additional institutional income.

The structure and curricula of community colleges can meet many needs that are not addressed by more traditional colleges and universities. A participant from a community college described instructional programs that college has assisted in Latin America. In Honduras and the Dominican Republic a key element of the assistance was the design of instructional programs to meet specific private sector needs.

Also mentioned were degree programs divided between a U.S. institution and a partner institution in a developing country. Such arrangements capture the instructional benefits of both institutions, encourage an array of institutional linkages, and significantly reduce program costs for overseas students who might otherwise take all their training abroad.

One participant emphasized the importance of graduate education in applied scientific fields, a problem for most African universities which were established for undergraduate training.

#### **D. EXPAND FUNDING**

Although higher education funding will continue to come largely from government sources, especially in Africa, it will become increasingly necessary for higher education to develop supplementary sources of financial support as the level of government funding is reduced. A symposium paper emphasizes the extensive experience that U.S. colleges and universities have with strategies for fund raising. The author says that the staffs of most African universities do not know how to prepare proposals for donor funding or applications for grants, nor is there a tradition of marketing university services to the public and private sectors. The funding problem also was addressed by a participant, who advocated providing assistance with the establishment of philanthropic trusts and foundations to access private funding sources.

### **III. GUIDELINES**

Several guidelines emerged to focus activities for strengthening higher education institutions to support development. These include identification of opportunities not dependent on massive infusions of funds, the active participation

of U.S. universities in identifying and initiating focal points of interventions, and the improved effectiveness and efficiency of more traditional assistance activities.

A participant from the Bureau for Latin America noted that there now are more opportunities for U.S. intervention in the region in the traditionally sensitive area of education. He reminded participants of the Bureau's continuing emphasis on basic education, but acknowledged that there are opportunities for higher education activities, particularly in the area of policy analysis on an individual country basis. Because of limited funding, he emphasized the importance of encouraging the participation of other donors in these activities.

U.S. universities should take an activist role in identifying and initiating activities in Africa, according to a participant from the Bureau for Africa. He emphasized that the requests would have to be initiated from within Africa and would have to fall within A.I.D.'s priorities in order to qualify for funding.

Other guidelines suggested measures to improve the ways some activities have been implemented in the past. Regarding the placements of foreign students in U.S. institutions, for example, a university participant said that such training has lacked adequate quality control. He stated that many students were placed at institutions having no strength in their areas of study.

Interventions should be examined carefully to avoid unintended side effects, such as designing teacher education programs that give teachers skills that push them toward higher paying jobs outside the teaching corps. Also, the sustainability of a program's benefits beyond the termination of funding requires a strong local support base for the activity.

Finally, the socio-cultural environment of interventions must be studied carefully with respect to the adoption, acceptance, and sustainability of changes. For example, some argue that procedures for the cross-institutional transfer of students would be facilitated by the introduction of a U.S.-style credit and semester system, but such changes could conflict with widely-shared British traditions about the nature of higher education.

#### **IV. MECHANISMS FOR RESPONSE**

The calls for action throughout the symposium were in terms of specific outcomes to strengthen higher education, but often presented in the context of mechanisms for implementation. These fell into three general categories: mechanisms to coordinate the response of higher education networks to development problems, mechanisms to leverage resources to obtain impact from limited funding,

and the use of a reserve corps of experienced academic personnel to help inform development policy and provide technical expertise.

**A. COORDINATED RESPONSE**

A participant from A.I.D.'s Office of Education summarized suggestions from many other attendees in recommending a clearinghouse to support objectives of the University Center. He identified three functions as central to the mission of the proposed clearinghouse: reconciliation of a strategic approach with a market (supply and demand) approach to selecting development targets; facilitating information flow to inform U.S. universities about the priorities of USAID Missions, and to inform developing country and newly independent country institutions about the kinds of assistance available in the U.S; and helping ensure that evaluations and lessons learned are applied to project planning, by making higher education and development literature centrally available for U.S. institutions less familiar with it. Such a clearinghouse could help moderate the traffic of the many U.S. visitors to higher education institutions abroad, and assist in brokering the negotiations among these institutions, A.I.D., and potential collaborating U.S. institutions. A possible locus for such a clearinghouse might be the existing U.S. higher education associations...

One of the papers suggests that the information hub aspect of a clearinghouse could also be used to promote a more active intellectual dialogue among U.S. higher education scholars and their African counterparts. This would lessen the isolation experienced by the African scholars, as they do not have easy to the many national, regional, and international professional meetings so readily available to their counterparts in the U.S. The paper suggests that more U.S. professional associations could invite African scholars to participate in their meetings, and that other avenues could be explored to increase dialogue among African and U.S. scholars, such as student and teacher exchanges, workshops, computer linkages, and televised two-way conferences.

A network of professional associations could help mediate faculty exchanges as a way to establish mutually beneficial linkages among U.S. and developing country and educational institutions. It could emphasize placing students at institutions with the appropriate strengths and with facilities and capabilities for assisting foreign students.

A symposium paper highlights the demand for highly trained specialists in Africa -- a need that is increasing with the present economic crisis throughout the continent. The author underscores a desperate need for advanced training for

African faculty, administrators, and staff. A higher education association could help address this need by brokering potential trainees with appropriate U.S. training sites, and monitoring their progress.

This same paper identifies a potential clearinghouse role in promoting linkages between African and U.S. universities by brokering linkage requests from interested institutions and providing information about opportunities, procedures, requirements, and costs. The author points out that many such linkages already have been established very successfully in a variety of areas including joint research, faculty exchange, academic programs, faculty development, and outreach. One participant emphasized that there has been a surprising number of long-term institutional collaborations in Africa despite limited resources.

#### B. LEVERAGED RESOURCES THROUGH NETWORKS AND SMALL GRANTS

The relatively limited funding expected to be available initially in A.I.D. for improving higher education dictates a focus on policy initiatives to ensure a highly leveraged impact from these resources. Policy areas cited by symposium participants include university governance and structure, government-university relations, and higher educational financing. Examples of subject areas mentioned include business management training, professional training and instructional development for basic education, and communications technology. Consortia of U.S. and developing country universities could be formed to address these areas of need.

Another delivery means that can leverage resources is the use of the small grant mode -- with carefully selected placement and targeting a little money can go a long way. One of the university participants emphasized that more could be accomplished by the use of a large number of small incentive grants rather than just a few large ones.

One of the papers identifies several low-cost and high-impact means of assistance. The author mentions collaborative academic programs with institutions in developing countries. Such programs might include small incentive grants for dissertation research in areas relevant to development. He also recommends the use of students from developing countries as graduate teaching assistants, which also could be facilitated by small grants.

Small grants can facilitate the joint research projects between U.S. and collaborating scholars suggested in one of the papers. U.S. institutions have much to offer such collaboration in terms of research facilities, libraries, and high-tech equipment. Collaborating universities have much to offer in terms of critical problem areas, research sites and interested faculty and staff.

The same paper cites a lag in modern information technology systems in African universities, and this is another area where small grants could effectively address a serious problem. Small grants could be used to sponsor assistance in the form of workshops to bring faculty and staff up-to-date on the latest literature, technology, and instructional materials in this domain.

### C. RESERVE CORPS

A former university president and participant from the World Bank emphasized that the U.S. has a large pool of retired higher education administrators and researchers that could be drawn upon to assist educational institutions in developing and newly independent countries. Many of these individuals would be willing to participate in a program to deliver such assistance, and might even do so on a voluntary basis as has been done by some academics and administrators at some of the U.S. historically black colleges and universities.

In addition, A.I.D. could benefit from better access to new and mid-career faculty who have development expertise in various parts of the world. Mechanisms should be sought to enable greater cross-fertilization of expertise between the higher education community and A.I.D.

#### Post Script to ANNEX B

This ANNEX includes only Part A of the proceedings of this symposium and the list of the participants which starts on next page. The entire proceedings can be provided upon request from either the University Center of the Association Liaison Office to the A.I.D. Center for University Cooperation in Development.

**ASSOCIATION LIAISON OFFICE**  
**TO A.I.D. CENTER FOR UNIVERSITY COOPERATION IN DEVELOPMENT**

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**SYMPOSIUM ON STRENGTHENING HIGHER EDUCATION INSTITUTIONS  
TO ADDRESS DEVELOPMENT PROBLEMS  
IN DEVELOPING AND NEWLY INDEPENDENT COUNTRIES**

**LIST OF PARTICIPANTS**

October 1-2, 1992  
8:30 a.m. - 4:30 p.m.  
Omni Georgetown Hotel  
2121 P Street, NW

**CAMPUS EXPERTS**

Dr. Ronald E. Bell  
President  
Shoreline Community College  
1610 Greenwood Avenue North  
Seattle, WA 98133  
tel: 206-546-4551  
fax: 206-546-4599

Dr. Gloria Braxton  
Director  
Center for International  
Development Programs  
Southern University System  
Box 10596  
Baton Rouge, LA 70813  
tel: 504-771-2008  
fax: 504-771-4242

Dr. David Chapman  
Director  
Evaluation Consortium at Albany  
314 Education  
State University of New York  
1400 Washington Avenue  
Albany, NY 12222  
tel: 518-442-5017  
fax: 518-442-4953

**Dr. Daniel S. Fogel**  
Director  
Special Programs, Europe  
University of Pittsburgh  
Katz Graduate School of Business  
320 Mervis Hall  
Pittsburgh, PA 15260  
tel: 412-648-1642  
fax: 412-648-1683

**Dr. Fred Hayward**  
ACE Consultant  
318 N. Hillside Terrace  
Madison, WI 53705  
tel: 608-238-9826  
fax: 608-238-1952

**Dr. Daniel Levy**  
Professor  
Educational Policy  
and Latin American Studies  
State University of New York  
at Albany  
11 Maple Avenue  
Delmar, NY 12054  
tel: 518-442-5177  
fax: 518-442-4953

**Dr. Edna McBreen**  
Director  
Office of International Programs  
2112 Agricultural Services Building  
West Virginia University  
Morgantown, WV 26506  
tel: 304-293-6955  
fax: 304-293-6957

**Dr. Walter McMahon**  
Professor of Economics  
University of Illinois  
Commerce Building (West)  
1206 S. Sixth Street, Rm 431  
Champaign, IL 61820  
tel: 217-333-4579  
fax: 217-244-6678

**Dr. Paul McQuay**  
**Executive Director and**  
**Vice President**  
**Business and Community Services**  
**Delaware County Community College**  
**1254 Tanager Lane**  
**West Chester, PA 19382**  
**tel: 215-359-5126**  
**215-359-5288**  
**fax: 215-359-7384**

**Dr. Ambrosio Ortega**  
**Vice President**  
**Albuquerque Technical**  
**Vocational Institute**  
**525 Buena Vista, SE**  
**Albuquerque, NM 87106**  
**tel: 505-224-3321**  
**fax: 505-224-4556**

**Dr. Hugh Popenoe**  
**International Program Director**  
**Institute of Food**  
**and Agricultural Sciences**  
**University of Florida**  
**Gainesville, FL 32611**  
**tel: 904-392-1965**  
**fax: 904-392-7127**

**Dr. John Ryan**  
**President Emeritus**  
**Indiana University**  
**Bryan Hall 200**  
**Bloomington, IN 47405**  
**Tel: 812-855-4613**  
**AID contact tel: 202-647-4630**

**Dr. Wesley Snyder**  
**Director**  
**Center for Higher Education and**  
**International Programs**  
**College of Education**  
**Ohio University**  
**Athens, OH 45701**  
**tel: 614-593-4445**  
**fax: 614-593-0659**

**Dr. David Wiley**  
Director, African Studies Center  
Michigan State University  
East Lansing, MI 48824  
tel: 517-353-1700  
fax: 517-353-7254

**FROM THE WORLD BANK**

**Dr. Thomas Eisemon**  
Education and Employment Division  
Population and Human Resources Dept.  
The World Bank  
1818 H St., NW  
Washington, DC 20433  
tel: 202-473-3423

**FROM THE ASSOCIATIONS**

**Dr. Joan Claffey**  
Director, Association Liaison Office  
to A.I.D. University Center  
One Dupont Circle, NW, Suite 700  
Washington, DC 20036-1192  
tel: 202-857-1827  
fax: 202-296-5819

**Dr. Madeleine Green**  
Vice President, International Initiatives  
American Council on Education  
One Dupont Circle, NW, Suite 800  
Washington, DC 20036-1192  
tel: 202-939-9420  
fax: 202-833-4760

**Ms. Virginia Hammell**  
Assistant Director  
Federal Relations - International Affairs  
National Association of State Colleges  
and Land-Grant Universities  
One Dupont Circle, NW, Suite 710  
Washington, DC 20036-1192  
tel: 202-778-0821  
fax: 202-296-6456

**Mr. Jerry Jones**  
Senior Coordinator  
for International Programs  
American Association of  
State Colleges and Universities

**Dr. Yuki Tokuyama**  
American Association of Community Colleges  
One Dupont Circle, NW, Suite 410  
Washington, DC 20036-2292  
tel: 202-728-0200  
fax: 202-833-2467

**FROM THE AGENCY FOR INTERNATIONAL DEVELOPMENT**

**Mr. John Balis**  
Chief  
Production and Investment Division  
Bureau for Near East  
tel: 202-663-2487

**Dr. Richard Bissell**  
Assistant Administrator  
Bureau for Research and Development

**Mr. Gary Bittner**  
Deputy Chief  
Program Development  
Center for University Cooperation  
in Development  
tel: 703-816-0269

**Dr. C. Stuart Callison**  
Deputy Executive Director  
University Center  
SA-38, Rm 900  
Agency for International Development  
Washington, DC 20523-3801  
tel 703-816-0294  
fax 703-816-0266

**Dr. Lark Carter**  
Visiting University Scientist  
Center for University Cooperation  
in Development  
tel: 703-816-0262

84

**Mr. Ken Ellis**  
Deputy Director  
Office of Development Resources  
Bureau for Latin America and  
the Caribbean

**Mr. Jerry French**  
Consultant  
Center for University Cooperation in  
Development

**Dr. Gary Hansen**  
Center for Development Information  
and Evaluation  
tel: 703-875-4853

**Mr. Wales H. Madden, Jr.**  
Chairman  
Board for International Food  
and Agricultural Development  
and Economic Development

**Mr. Robert McClusky**  
Office of the Director  
Center for University Cooperation in  
Development

**Mr. Ron Raphael**  
Office of International Training  
Bureau for Research and Development

**Dr. Sam Rea**  
Director  
Office of Education  
Bureau for Research and Development  
tel: 703-875-4700

**Mr. William Renison**  
Labor Economist  
Health and Human Services Division  
Office and Analysis, Research and Technical Support  
tel: 703-235-4439

**Dr. Valerie Smith**  
Visiting University Scientist  
Center for University Cooperation  
in Development

85

**Dr. Ralph H. Smuckler**  
Deputy Assistant Administrator, R&D  
Executive Director University Center  
SA-38, Rm 900  
Agency for International Development  
Washington, DC 20523-3801  
tel 703-816-0291  
fax 703-816-0266

**Mr. Garland Standrod**  
Program Office  
Bureau for Research and Development  
tel 703-875-4745

**Dr. John Stovall**  
Visiting University Scientist  
Center for University Cooperation  
in Development  
tel: 703-816-0292

**Dr. Marion Warren**  
Chief  
Health & Human Resources Division  
Office of Analysis, Research & Technical Support  
Bureau for Africa  
tel: 202-647-6036  
fax: 202-647-2993

**Mr. Leo Garza**  
Office of Education and Resources  
Bureau for Latin America and  
Caribbean

**Mr. John Jessup**  
Office of Education and Resources  
Bureau for Latin America and  
the Caribbean

**PROCEEDINGS EDITOR**

**Dr. Victor Cieutat**  
1220 Raymond Avenue  
McLean, VA 22101  
tel: 703-847-6075

Final - November 3, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
AFR	Benin <sup>11</sup>										
AFR	Burundi	16.0	16.0	16.0	11.1	12.0	11.7	1	Increase earnings from goods produced by households country-wide.	Projects focused on ameliorating the policy, fiscal and human resource environment needed to develop the private sector.	Economic Growth
AFR	Burundi				2.5	3.7	3.0	2	Increase contraceptive prevalence rate	Focused on improving the capacity to deliver health care services and commodities.	Health Services
AFR	Burundi				2.4	0.3	1.3	3	Other projects		
AFR	Cameroon	20.0	20.0	20.0	6.0	9.9	7.6	1	Increased role and efficiency of private sector	Focused on liberalizing and privatizing selected commodities and services.	Economic Growth
AFR	Cameroon				12.7	8.7	10.9	2	Increased provision of public services in agricultural research and higher agricultural education and health.	This objective is addressed through the following projects: 1) Cereals Research and Extension; 2) Agricultural Education II; 3) Maternal Child Health; and 4) Natural Resources Management.	Human Resource Development
AFR	Cameroon				1.3	1.4	1.5	3	All other projects		
AFR	CCWA Small Country Program	4.4	4.4	4.4	2.5	2.5	2.5	1	Health (Central Afr. Rep.)	Focused on supporting Diarrheal disease control, oral rehydration therapy, HIV/AIDS, Immunization and Health Systems Development.	Health Services
AFR	CCWA Small Country Program				0.6	0.6	0.6	2	Wildlife Conservation (Congo)	Supporting Conservation of Northern Forests in the Congo.	Natural Resource Management
AFR	CCWA Small Country Program				0.3	0.3	---	3	Agriculture (Sao Tome)	Focused on providing support for Food Crops Production and Marketing.	Economic Growth

<sup>11</sup> No data given on program focus summary

<sup>12</sup> USAID phasing out under the Pressler Amendment

## MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
AFR	CCWA Small Country Program				0.5	0.5	0.3	4	Microenterprise Development (Sierra Leone)	Providing training for the development of small enterprises.	Human Resource Development
AFR	CCWA Small Country Program				0.5	0.5	1.0	5	Other Projects		
AFR	Guinea Bissau	5.5	5.5	5.5	5.5	5.5	5.5	1	Private Sector Trade and Investment Increased in critical sub-sectors through improved governance	Include the production processing and marketing of rice, cashews, fruits, vegetables, forest and fisheries products and services to support same.	Economic Growth
AFR	Kenya	17.3	17.3	17.3	6.8	7.6	8.1	1	Increase contraceptive use	Objective supported by the following projects: 1) Family Planning Services; 2) Private Sector Family Planning; and 3) Contraceptive Social Marketing Projects.	Health Services
AFR	Kenya				3.5	3.6	3.0	2	Increase Agricultural Productivity and Farm Incomes	This objective addressed by the National Agricultural Research Project, Kenya Market Development Project and the Institutional Development for Agricultural Training Project.	Economic Growth
AFR	Kenya				3.6	2.9	3.6	3	Increase Private Enterprise Development	Two major projects are involved: 1) Private Enterprise Development; and 2) Kenya Export Development Support Project.	Economic Growth
AFR	Kenya				3.4	3.2	2.6	4	Other Activities		
AFR	Lesotho	8.1	7.3	7.3	1.4	2.3	4.3	1	Sustain/improve output of selected agricultural sub-sectors	Projects supported: 1) Agricultural Production and Institutional support; 2) Agricultural Enterprise Initiatives; 3) Small Scale Agricultural Production; and 4) Community Natural Resource Management.	Economic Growth

11 No data given on program focus summary

12 USAID phasing out under the Pressler Amendment

## MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
AFR	Lesotho				6.4	4.4	2.8	2	Primary Education	Improve quality and efficiency of primary education.	Education
AFR	Lesotho				0.3	0.6	0.2	3	Other		
AFR	Mali	30.0	30.0	30.0	9.0	9.2	9.1	1	Encourage Private Initiatives	Activities supported geared towards promoting private sector participation and a more efficient use of public funds.	Economic Growth
AFR	Mali				12.3	12.4	12.3	2	Increase Incomes	Focused on increasing incomes through increased agricultural production, exports, job opportunities, and investment credit.	Economic Growth
AFR	Mali				8.4	8.1	8.3	3	Improve Health and Education	Objectives to be realized by reducing infant mortality rate, expanding delivery of basic health services and improving literacy throughout the country.	Health Services
AFR	Mali				0.3	0.3	0.3	4	Other		
AFR	Namibia	10.2	10.2	9.2	6.6	6.6	5.6	1	Education	Education assistance focused in 2 areas - basic education reform and adult non-formal education. Training for "Leadership and Skills" is another project supported.	Education
AFR	Namibia				3.0	3.0	3.0	2	Natural Resource Management	Primarily focused on one major project in "Living in a Finite Environment".	Natural Resource Management
AFR	Namibia				0.4	0.4	0.4	3	Democracy Governance	Focused on human rights, democracy and governance.	Democracy Initiatives
AFR	Namibia				0.2	0.2	0.2	4	Other Projects		
AFR	REDSO/WA and Cote d'Ivoire	6.3	6.3	7.2	2.5	3.4	3.3	1	Economic Structural Adjustment Reform Program	Project activities supported include Balance of Payment, increased revenue generation and improved governance.	Economic Growth


 11 No data given on program focus summary  
 12 USAID phasing out under the Pressler Amendment

## MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
AFR	REDSO/WA and Cote d'Ivoire				3.8	2.9	3.9	2	Family Planning and Preventative Health Care Training	Major focus is on a "Health and Family Planning" project. Other projects supporting this objective are a contraceptive procurement and a "Rural Development Skills" project.	Health Services
AFR	Senegal	31.0	31.0	20.0	7.2	8.9	10.7	1	Decreased Family Size	Focusing activities on both the contraceptive prevalence rate and the knowledge of contraceptive methods. Both issues addressed in the "Senegal Child Survival and Family Planning Project".	Family Planning
AFR	Senegal				2.2	4.0	2.2	2	Increased Crop Productivity in areas of Reliable Rainfall	Activities directed at improving soil productivity and promoting use of technologies and cultural practices such as water management, erosion control, crop rotation, etc.	Agricultural Development
AFR	Senegal				14.0	13.0	2.0	3	Increased value of Tree Production	Focused on expansion and improved management of trees. Also broader issues of resource tenure and forest management will be addressed.	Agricultural Development
AFR	Senegal				6.0	2.0	2.0	4	Increased liberalization of the Market	Focused on increased liberalization of the market for agricultural and natural resource based products, such as rice and groundnuts.	Economic Growth
AFR	Senegal				1.6	3.1	3.1	5	Other Projects		
AFR	Swaziland	7.0	6.8	6.8	1.2	1.4	2.0	1	Increased Contraceptive Prevalence	Projects supporting this objective are: 1) Family Planning, Maternal and Child Health; and 2) Family Health Services.	Health Services

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## MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
AFR	Swaziland				3.1	1.6	2.8	2	Increased Management of and Participation in National Development	Focused on the following projects: 1) Educational Policy, Management and Technology; 2) Swaziland Training and Institutional Development; and 3) Management for Economic Growth.	Human Resource Development
AFR	Swaziland				2.7	3.8	2.0	3	Expand Swazi-owned Small Business Sector	Main focus is on Business Management Extension Program for Small Businesses. Also emphasis on Commercial Agricultural Products and Marketing.	Economic Growth
ASIA	ASEAN	3.5	3.5	3.5	2.0	2.0	2.0	1	Trade and investment promotion	Promoting trade and private investment beneficial to ASEAN development and to ASEAN and U.S. private sectors.	Economic Growth
ASIA	ASEAN				1.5	1.5	1.5	2	Natural resource use and industrial management	Promoting economically and environmentally sound natural resource use and industrial management.	Natural Resource Management
ASIA	Bangladesh	141.8	137.4	137.4	27.8	37.9	38.7	1	Private sector investment in agricultural production, processing and marketing	Major projects supported include: 1) Rural Electrification; 2) Integrated Food for Development; 3) Agribusiness and Technological Development; and 4) PL480 Title II.	Economic Growth
ASIA	Bangladesh				27.0	27.0	27.0	2	Access to efficient family planning and health services	Focused on supporting Family Health and Planning Services and Nutrition Surveillance.	Family Planning and Health Services
ASIA	Bangladesh				11.0	5.5	4.7	3	Non-agricultural private sector investment	Major projects supported are: 1) Industrial Promotion; 2) Private Rural Initiatives; 3) Women's Enterprise Develop; and 4) Financial Sector Reform.	Economic Growth

11 No data given on program focus summary

12 USAID phasing out under the Pressler Amendment

## MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
ASIA	Bangladesh				76.0	67.0	67.0	4	Voice and choice in local and national government.	Focused on the following areas: Judicial Reform, Elections, Independent Press and Parliamentary support.	Democratic Initiatives
ASIA	India	154.9	139.2	142.7	38.6	21.9	21.6	1	Improved financial and regulatory environment	Activities supported are: 1) Technical Assistance and Support; 2) Housing Finance System and Expansion; 3) Financial Institutions Reform and Expansion; and 4) PL480 Title II.	Economic Growth
ASIA	India				23.0	19.6	20.4	2	Increased productivity of Indian enterprises	Projects supported include: 1) Program for acceleration of Comm. Energy Res.; 2) Energy Management Consultation and Training; 3) Agric. Comm. and Enterprise; 4) Restructuring of Trade and Enterprises; and 5) PL480 Title II.	Economic Growth
ASIA	India				2.0	2.5	2.0	4	Other Activities		
ASIA	Indonesia	55.6	55.6	55.6	22.3	28.6	24.5	1	Strengthening market competitiveness	Includes both international and domestic markets	Economic Growth
ASIA	Indonesia	55.6	55.6	55.6	20.9	18.0	19.2	2	Sustainable relationship between population and environment	Sustaining a viable relationship between population growth and environmental quality.	Natural Resource Management
ASIA	Indonesia	55.6	55.6	55.6	12.4	9.0	11.9	3	Developing human capacity	Developing human capacity through a more participatory society (PVO, education, training, health and food aid)	Human Resource Development
ASIA	Nepal	17.5	17.9	18.4	11.7	11.8	14.5	1	Increased contribution of the Private Sector to income growth	Focused on supporting projects dealing with sustainable income and rural enterprises, redressing public/private sector balance, economic liberalization and PVO co-financing.	Economic Growth

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# MATRIX OF USAID MISSION FOCUS AREAS

Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
ASIA	Nepal				1.2	2.6	3.1	2	Increased use of family planning, child survival and malaria control services	Projects supported include Child Survival, Family Planning services, Development Training and PVO Co-financing.	Health Services
ASIA	Nepal				3.5	2.6	0.6	3	Increased pluralism and democratic values and processes.	Focused on the following activities: redressing public/private sector balance, development training, democratization and PVO Co-financing.	Democratic Initiatives
ASIA	Nepal				1.1	0.9	0.2	4	Other Projects		
ASIA	Pakistan 12	45.7	75.5	75.2	-	-	-	1	Promote policy and institutional framework that stimulates private sector growth and productivity	Supporting projects that deal with private investment expansion, management of agricultural research and technology and Shelter Resource Mobilization.	Economic Growth
ASIA	Pakistan 12	45.7	75.5	75.2	-	-	-	2	Reduce constraints to equitable participation in development	Promote educational and area development for Northwest Frontier, Tribal Areas, Balochistan and special development	Economic Growth
ASIA	Pakistan 12	45.7	75.5	75.2	-	-	-	3	Promote smaller and healthier families	Includes social marketing, population welfare, child survival and Malaria control	Health Services
ASIA	Pakistan 12	45.7	75.5	75.2	-	-	-	4	Increase sustainable production of natural resource base	Focus on forestry, imitation rural electrification and energy planning	Natural Resource Management
ASIA	RDO/South Pacific	17.8	21.9	21.9	13.7	17.7	17.7	1	Increase export of hi-value products	Exports in fisheries, agriculture, eco-industries in U.S. trade and investment markets	Economic Growth

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Updated September 24, 1992

REG	COUNTRY	TOTAL PROGRAM (MIL\$)			OBJECTIVE AMT (MIL\$)			FOCUS AREAS BY OBJECTIVE			
		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
ASIA	RDO/South Pacific	17.8	21.9	21.9	1.8	2.3	2.3	2	Improved family health	Focused on family planning, child and maternal survival and AIDS HIV	Health Services
ASIA	RDO/South Pacific	17.8	21.9	21.9	2.3	2.0	2.0	3	Conservation of vital ecosystems and natural resources	Through development of environmentally protected businesses and sustainable management regimes	Natural Resource Conservation
ASIA	Sri Lanka	68.5	68.5	74.0	24.0	18.0	26.6	1	Sound investment and business performance	Projects supporting objective: 1) Tech. Initiatives and Policy for Private Sector; 2) Housing Investment Guarantees; 3) Capital Support; and 4) PL480 Title III.	Economic Growth
ASIA	Sri Lanka				25.7	30.7	26.6	2	Diversification and commercialization of agriculture	Major support provided by PL480 Title III project - which supports policy reform and implementation. Other supporting projects are Agro. Enterprises and the Mahaweli Enterprise Development.	Economic Growth
ASIA	Sri Lanka				14.6	15.4	16.6	3	Environmental and natural resources	Focused on supporting 2 projects: 1) Natural Resource and Environmental Policy; 2) Irrigation Systems Management.	Natural Resource Management
ASIA	Sri Lanka				4.2	4.4	4.2	4	Democracy	Focused on Policy reform, with support coming from PL480 - Title III project.	Democracy Initiatives
ASIA	Thailand	6.0	6.0	6.0	1.4	1.4	1.4	1	Human capital and technology	Upgrade quality of labor force skills and technology capacity required to sustain Thailand's economic and social development.	Economic Growth
ASIA	Thailand				4.2	4.2	4.2	2	Management of the environment and natural resources	Develop sustainable solutions for the management of the environment, while fostering economic development.	Natural Resource Management


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Updated September 24, 1992

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
ASIA	Thailand				0.4	0.4	0.4	3	HIV/AIDS Infection	Slowing the spread of HIV/AIDS infection by supporting Thailand capacity to implement solutions to cope with the epidemic.	Health Services
LAC	Belize	6.4	5.4	3.7	3.2	2.6	1.6	1	Improved Use of Terrestrial Natural Resources	Focused on two major project activities: 1) Natural resource management and protection; and 2) Tourism management.	Natural Resource Management
LAC	Belize				0.7	0.5	0.5	2	Improved Government Fiscal Resources	Major support provided from Development Training Scholarships	Economic Growth
LAC	Belize				2.5	2.3	1.6	3	Other Projects		
LAC	Bolivia	152.6	152.6	85.5	123.2	123.2	58.8	1	Alternative Development	Goal of objective is to diminish participation in production, trafficking and abuse of narcotics. Focused on supporting agricultural and micro enterprise development projects.	Economic Growth
LAC	Bolivia				8.7	7.3	6.4	2	Trade and Investment	Focused on the following activities: 1) Export Promotion; 2) Management Training for Development; and 3) Rural Financial Services.	Economic Growth
LAC	Bolivia				4.0	4.2	4.3	3	Strengthening Democracy	Administration of Justice and the Bolivian Peace Scholarship Program are the 2 flagship projects in this Objective.	Democratic Initiatives
LAC	Bolivia				9.7	10.2	9.0	4	Family Health	Traditional focus area was in Child Survival, but current programs include reproductive health, AIDS prevention and Community Care Development.	Health Services

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Updated September 24, 1992

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	Bolivia				3.0	4.0	5.5	5	Environment	Sustainable Forestry Management and Environmental Awareness are the 2 major projects under this objective.	Natural Resources Management
LAC	Bolivia				4.0	3.7	1.5	6	Other Projects		
LAC	Brazil 11										
LAC	Caribbean Regional	24.4	24.4	24.4	7.4	7.0	7.1	1	Capability to ensure sound utilization of the natural resource base	Mainly focused on supporting Environmental Coastal Management in the E. Caribbean region. Projects dealing with Policies and Planning in the Agriculture and Environment Sectors are also supported.	Natural Resource Management
LAC	Caribbean Regional				9.7	10.4	9.9	2	Broadened Diversified Trade	Major projects supported include: 1) Private Sector Development; 2) Small Enterprise Development; 3) Structural Reform; 4) Caribbean Policy Reform; and 5) West Indies Tropical Produce.	Economic Growth
LAC	Caribbean Regional				3.2	2.7	3.1	3	Social dislocation mitigated	Focused on supporting a variety of projects that address the mitigation of social disruptions, which could result from the region's implementation of certain economic policy reforms.	Human Resource Development
LAC	Caribbean Regional				4.1	4.3	4.3	4	Other Projects		
LAC	Costa Rica	8.0	8.0	8.0	4.0	3.8	3.5	1	Improved business climate	Encourage economic policies that promote investment, productive employment and diversification.	Economic Growth
LAC	Costa Rica				1.2	1.3	1.1	2	Streamlined responsive and efficient government	Focused on providing support and training in Public Policy for Government personnel.	Natural Resource Management

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Updated September 24, 1992

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	Costa Rica				0.8	1.0	1.4	3	Improved long-term environmental natural resource management	Encourage preservation and sustainable use of the natural resource base.	Natural Resource Management
LAC	Costa Rica				2.0	1.9	2.0	4	Other projects		
LAC	Dominican Republic	27.1	27.1	27.1	10.9	10.3	11.6	1	Increased and diversified external trade	Mission will pursue 3 major avenues in support of objective: a) market oriented economic policy; b) export production by D.R. firms; and c) reliable competitively-priced electrical energy	Economic Growth
LAC	Dominican Republic	27.1	27.1	27.1	11.0	7.7	7.1	2	Increased socio-economic participation of lower income groups	Activities focussed in special areas where there are ongoing D.R. initiatives to raise educational and health status of lower income groups	Human Resource Development
LAC	Dominican Republic	27.1	27.1	27.1	4.2	7.4	6.6	3	Increased availability of water needed for economic development	Focus on key natural resource problems which constrain the availability of adequate water supply to sustain economic development	Natural Resource Management
LAC	Dominican Republic	27.1	27.1	27.1	1.0	1.7	1.8	4	Participatory democratic reform	Help strengthen and expand citizen participation in promoting democratic reforms	Democratic Initiatives
LAC	Ecuador	27.7	23.4	23.8	16.9	12.8	13.8	1	Trade and Investment	Increased trade and employment in non-traditional exports	Economic Growth
LAC	Ecuador	27.7	23.4	23.8	1.6	2.3	2.5	2	Small Farm Management	Increased agricultural income with emphasis on small and medium sized farms	Agricultural Development

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	Ecuador	27.7	23.4	23.8	4.8	3.9	4.1	3	Miscellaneous program areas	Increased use, effectiveness and sustainability of family planning and health services	Health Services and Family Planning
LAC	Ecuador	27.7	23.4	23.8	3.6	3.1	2.4	4	Strengthen democratic institutions	Supporting efforts of selected democratic institutions to be none-responsive to the needs of society	Democratic Initiatives
LAC	Ecuador	27.7	23.4	23.8	0.8	1.3	1.0	5	Sustainable uses of biological resources	Reduce loss of biodiversity and accelerate transition from resource mining to resource management	Natural Resources Management
LAC	El Salvador	55.0	55.0	50.0	11.5	0	0	1	Assist in the transition from war to peace.	Includes Public services Improvement, Catholic Relief Health Systems Support, Rural Election, National Reconstruction and Basic Education.	Democratic Initiatives
LAC	El Salvador				22.0	26.0	15.9	2	Increased Equitable Economic Growth	Includes Small- and Micro-enterprise program, Water Management, IESC, Agricultural Reform and Free Zone Development.	Economic Growth
LAC	El Salvador				11.5	11.0	9.0	3	Democratic Institutions and Practices	Includes Judicial Reform, Occupational Safety, Strengthening Democratic Process, CLASP II Municipal Development and Integrated Financial Development.	Democratic Initiatives
LAC	El Salvador				4.0	10.0	18.8	4	Healthier and better educated El Salvadorans	Includes strengthening rehabilitation services, Rural Development, Family Health Services and Maternal Child Health.	Health Services
LAC	El Salvador				6.0	8.0	6.3	5	Improved Environment and Natural Resource Management	Includes PAIDF Environmental PVOs and Environmental Natural Resources Protection.	Natural Resource Management

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	Guatemala	34.0	30.0	20.0	3.6	2.9	0.3	1	Increased private investment and trade	The major project involved under this objective involves implementation of a "Small Farmer Coffee Production" program.	Agricultural Development
LAC	Guatemala				12.0	10.1	7.7	2	Smaller and healthier families	Focused on increasing contraceptive prevalence, reducing infant mortality, and providing better water and sanitation services for highland areas.	Health Services
LAC	Guatemala				4.6	4.6	4.6	3	Improved basic education	Focused on strengthening basic education for children.	Education
LAC	Guatemala				3.8	1.7	7.2	4	Sustainable use of natural resources	Focused on improved environment and Natural Resource Management, particularly for Maya areas.	Natural Resource Management
LAC	Guatemala				9.0	10.2	0.2	5	Sustained exercise of inalienable rights	Projects supported under this objective include "Judicial Sector Reform," "Democratic Institutions" and the "Guatemala Peace Scholarship".	Democratic Initiatives
LAC	Guatemala				1.0	0.5	---	6	Other Projects		
LAC	Honduras				5.0	5.0	5.0	3	More efficient management and use of natural resources	Activities supported include forestry development, land use productivity enhancement and National Environment Trust Fund.	Natural Resource Management
LAC	Honduras				9.5	7.2	5.9	4	Healthier and better educated Hondurans	Projects supported related to improving health services and primary education efficiency.	Human Resource Development
LAC	Honduras				2.5	3.8	8.5	5	More responsive democratic institutions and processes	Supporting Municipal Development, Honduras Peace Scholarship program and Strengthening Accountability Systems.	Democratic Initiatives

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	Honduras				0.2	0.5	0.2	6	Other projects		
LAC	Honduras	31.6	31.6	31.6	14.4	15.1	12.0	1&2	Increased investment, production and export trade	Focused on: 1) Increased agricultural investment, production and exports; 2) Increased private investment, production and trade.	Economic Growth
LAC	Nicaragua	194.4	194.5	192.0	68.0	78.0	78.7	1	Increased investment	Focused on projects supporting economic stability, Private Sector support and economic recovery.	Economic Growth
LAC	Nicaragua				85.3	84.8	86.3	2	Increased competitiveness diversification and participation	Projects supported include Private Sector Recapitalization, Economic Policy Analysis, Development Training, Food for Development and PVO Co-financing.	Natural Resource Management
LAC	Nicaragua				12.0	3.0	1.2	3	Increased use of environmentally sound practices	Major area of support is critical policy reforms related to Natural Resource Management. PVO Co-financing is another activity supported under this objective.	Natural Resource Management
LAC	Nicaragua				12.5	10.5	10.0	4	Greater consensus on democratic values	Strengthening Democratic/Municipal institutions, Public Sector Financial Management, Legal/Judicial Reform and development training are project activities supported under this objective.	Democratic Initiatives
LAC	Nicaragua				5.5	6.0	6.0	5	Improved basic education	Focused on improving basic education training for children.	Human Resources Development
LAC	Nicaragua				9.4	10.5	8.3	6	Improved Maternal/Child Health	Focused on expanded immunization program, family planning expansions and decentralized health services.	Health Services
LAC	Nicaragua				1.7	1.7	1.5	7	Other project activities		

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LAC	Panama	8.4	8.4	10.0	2.4	0.9	2.0	1	Strengthened competent civilian Government Institutions	Focused on the following project: - Financial Management and Economic Policy Reforms and Improved Administration of Justice.	Democratic Initiatives	
LAC	Panama				2.2	3.3	3.0	2	Increased Pluralism and public support for Democratic values and processes	Focused on supporting Democratic Initiatives, Improved Election Administration and Human Resource Development activities.	Democratic Initiatives	
LAC	Panama				0.3	0.2	1.5	3	Increased and diversified exports	Major activity supported is trade and investment promotion.	Economic Growth	
LAC	Panama				2.5	2.5	2.0	4	Preservation of natural resources	This objective is primarily focused on a Forest Management project.	Natural Resource Management	
LAC	Panama				0.5	1.0	1.0	5	Adoption of an apolitical strategy for Canal Management	Involved in non-sectoral Economic Policy Reform.	Economic Growth	
LAC	Panama				0.5	0.5	0.5	6	Other Projects			
LAC	ROCAP	15.1	15.1	15.1	4.0	4.9	5.3	1	A more open regional economy	Focused on projects which will: 1) Promote investment, productive employment and diversification; 2) Stimulate a vigorous private sector; 3) Encourage increased opportunities for the disadvantages; and 4) Foster regional integration.	Economic Growth	
LAC	ROCAP				7.1	6.5	4.0	2	Environmentally sound and efficient practices in natural resource management.	Under this objective ROCAP supports a number of research programs at the Tropical Agricultural Research/Training Center (CATIE), in the area of Natural Resource Management.	Natural Resource Management	

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		93	94	95	93	94	95	No.	OBJECTIVE	DESCRIPTION	CATEGORY
LAC	ROCAP				1.8	2.0	5.1	3	More effective and democratic local governance	Strengthening public participation in the Democratic process and the development of stable Democratic societies in Central America.	Democratic Initiatives
LAC	ROCAP				2.2	1.7	0.7	4	Other project activities		
NE	Egypt	815.0	815.0	815.0	220.0	210.0	155.0	1	Increased economic stability and market pricing	Focused on cash transfers and technical assistance for Policy Reforms and Public Finance Administration.	Economic Growth
NE	Egypt				214.0	219.5	218.0	2	Increased private investment and trade	Major focus is on providing credit for Private Enterprises. Other activities supported include - Investment Promotion, Small and Micro-Enterprises and Export Enterprise Development.	Economic Growth
NE	Egypt				98.0	65.0	105.0	3	Increased agricultural production, productivity and incomes	Providing credit for Agricultural Production and support for Agricultural Policy Reform and Agricultural Technology Improvement are the major focus areas.	Economic Growth
NE	Egypt				10.0	15.0	15.0	4	Improved Family Planning and Population Control	Increased level and effective use of modern contraceptive methods.	Family Planning
NE	Egypt				22.9	33.0	30.0	5	Improved maternal and child health	Programs supported include Child Survival, Cost Recovery for Health and Schistosomiasis Research.	Health Services
NE	Egypt				206.1	217.5	230.0	6	Increased access and efficiency of public utilities in Urban areas	Support targeted on the Power Sector, Telecommunications and Water and Sewerage development for the urban areas.	Natural Resource Management

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NE	Egypt				12.0	22.0	17.0	7	Protection of freshwater and air resources	Improved environmental policy and planning and research and development for the environment.	Natural Resources Management
NE	Egypt				5.0	10.0	10.0	8	Democracy	Focused on providing support for the Judiciary and Strengthening governance.	Democratic Initiatives
NE	Egypt				27.0	23.0	35.0	9	Other projects		
NE	Jordan	28.5	28.0	28.0	17.5	16.1	17.4	1	Foreign Exchange	To increase foreign exchange earnings through Agribusiness, Light Industry, tourism and other services.	Economic Growth
NE	Jordan				9.0	7.9	5.6	2	Water Sector	Focused on water improvements and conservation.	Natural Resource Management
NE	Jordan				2.0	4.0	5.0	3	Population Sector	Major areas supported include marketing of birth spacing and post partum projects.	Family Planning
NE	Morocco	45.7	75.5	75.2	10.2	18.7	8.7	1	Increase competitiveness of Moroccan firms	Assist Moroccan firms especially in export markets	Economic Growth
NE	Morocco	45.7	75.5	75.2	8.7	2.7	10.4	2	Expanded base of small and medium enterprise	In addition to assisting medium and small scale industry, focus on micro enterprise development	Economic Growth
NE	Morocco	45.7	75.5	75.2	16.2	12.1	13.1	3	Improved health of children under 5 and child-bearing age women	Increase delivery and use of affordable and quality family planning and child survival services in the privatization	Health Services
NE	Morocco	45.7	75.5	75.2	11.1	42.00	43.00	4	Increase housing and services for low-income families	Increase the availability of low-income housing and services in the urban areas	Economic Growth

V1 No data given on program focus summary  
V2 USAID phasing out under the Pressler Amendment

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NE	Yemen	3.0	3.0	3.0	2.2	2.25	3.0	1	Responsive systems and practices in Health, Family Planning, Women's and Development institutions	Three areas stressed: 1) Mother-Child Health/Family care; 2) Women in Development; and 3) Selected Management Training.	Health Services
NE	Yemen				0.8	0.75	0	2	Other project activities		

11 No data given on program focus summary

12 USAID phasing out under the Pressler Amendment

## **ANNEX D: SUMMARY OF GEOGRAPHIC BUREAU AND MISSION INTEREST**

This summary is based primarily on cable and "E" mail responses to the HEAD PID cable and to the subsequent cable on the networks element of the project.

### **AFRICA**

Seven missions in Africa (South Africa, Mozambique, Namibia, Gambia, Swaziland, Mali and REDSO/WA) have expressed strong interest in the HEAD project or elements of it. The following functional areas were identified as of greatest interest for the networking element of the project by these Missions and also by Senegal, which expressed low interest:

- Analysis of Development Issues and Strategies from Political and Economic Perspectives
- Natural Resource Management, Forestry and other Environmental Concerns
- Business Management Training
- Improving Basic Education, particularly through improved technology and teacher training

Africa Bureau leadership has expressed strong interest in utilizing the HEAD Project to strengthen its access to and the involvement of U.S. higher education African expertise in development policy and strategy analysis and other technical support capacities. As noted in the PP some steps have already been taken to respond to this interest.

### **ASIA**

The Thai Mission has expressed strong interest and sees the HEAD Project as very complementary to its program. The Thai Mission supplied information on its favorable experience using a UDLP lingage grant to leverage a much larger Thai higher education investment and has identified future possible avenues of interaction, which HEAD could support, between U.S. and Thai higher education institutions, in support of Mission/Thai government development priorities.

The Philippine Mission has expressed interest in networking between Philipinne and U.S. higher education institutions in the environmental amd natural resource management fields and in developing links with historically black colleges and universities.

The Pakistan Mission is interested in using HEAD to continue support to an agricultural university in the Northwest Frontier Province, if/when legislative restrictions on assistance to Pakistan are lifted.

The Sri Lanka Mission has identified an agricultural post graduate institute which it has previously assisted and which it would like to see participate in HEAD activities with the objective of strengthening the institute's capacity in seven areas of direct interest to current GSL and Mission agricultural development strategic objectives. The Mission also identified two Mission program activities which could support a collaborative effort.

#### LATIN AMERICA

The Regional Office for Central America and Panama (ROCAP), the Regional Development Office for the Caribbean and the Honduras, Ecuador, and Bolivia Missions expressed interest in the HEAD Project as a means of improving the capacity and development contribution of various higher education institutions in their country/region. However all noted that due to funding limitations and earmark constraints the involvements proposed would have to depend on core funding and not buy-ins from the field.

#### NEAR EAST

The Morocco, Tunis and Yemen Missions have expressed interest in the HEAD project. Morocco is interested in support of on-going linkages with agricultural institutions, Tunis in business management training and Yemen in building public policy and management service capability at the University of Sanaa.

Near East Bureau leadership has expressed interest in using the HEAD Project as a vehicle for increasing the contribution of higher education institutions in the region to its five strategic objectives, particularly objective five (more efficient use and improved quality of water resources).

#### MISSION BUY-IN/OYB TRANSFERS

We do not expect substantial mission funding for HEAD project activities before the second year of the project at the earliest, for two basic reasons. First, the character of the project, both in form and function, is unfamiliar to field missions. It will take considerably more interaction between the UC and field missions than has been possible during project design to acquaint them sufficiently with the opportunities the project presents for directing additional resources in support of their objectives.

Second, it seems clear that currently very constrained field program budgets, (both in size and due to earmarks) will necessitate two or more years advance planning for Missions to be able to make a significant buy-in to a new central project. Even a nominal resource commitment from missions in the short term will require circumstances, such as described in the Sri Lanka case above, where the mission has on-going activities which have sufficient comparability to permit a mission financial input. It should also be recognized that mission, or other donor, co-financing or complementary financing of collaborative efforts in association with HEAD activities can be accomplished without a direct buy-in or add-on to the HEAD Project.

## ANNEX E: Activities Related to HEAD in other Government Agencies and in A.I.D.

### A. A.I.D.

A review of various A.I.D. data bases identified approximately fifty current projects involving contracts or grants with U.S. higher education institutions. Twenty eight of these are university linkage grants awarded under the University Center's UDL Project.

According to Procurement Office data which is less comprehensive and includes data only thru FY 1991 there were:

- a. Only twelve non-UDLP grants or contracts to U.S. higher education institutions presently active, according to the duration dates shown:
- b. Only three of these could be clearly identified as involving work with indigenous higher education institutions.
- c. The other nine involve either delivery of technical services to a USAID for project development purposes or delivery of technical services to a recipient country government entity as a part of project implementation. Thus they are quite different in character and purpose from HEAD activities.

There appears to be only one comparable regional project - the Asia Bureau APEC Partnerships for Education Project (APEC-PEP), which is an outgrowth of the broader Asia-Pacific Economic cooperation (APEC) initiative, an effort of the ASEAN and several interested developed countries to strengthen and enhance economic ties in the Asia-Pacific region, especially in areas needed for private sector led growth, such as engineering, science, business and management. It is being implemented through interagency transfers to the Department of Education, USIA and the NSF and may subsequently involve other grants and cooperative agreements. It has three components: (1) institutional educational partnerships in the above mentioned subject areas; (2) promotion of private sector internships and outreach programs; (3) expansion of private sector training programs in U.S. and ASEAN countries.

Only the first of these three components is similar to HEAD and the activity in APEC-PEP is limited both geographically and by subject area, whereas HEAD is world-wide and subject areas will be determined according to host country - USAID development priorities. Thus the area of potential duplication between HEAD and APEC-PEP is limited and can be easily avoided by routine coordination between Asia/TR and the UC.

The HEAD project design has benefitted from experience gained to date in implementation of APEC-PEP. Coordination arrangements have been established to ensure continued mutual experience sharing and to avoid duplication of effort between the two projects.

The Egypt Mission has had a university linkages project since 1980. This project was originally set up to allow Egyptian universities to engage in joint applied research with U.S. Universities on Egyptian development problems. Both direct problem-solving and institution building activities were to be eligible for funding through a competitive grants process administered by the foreign relations Coordinating Unit of the Supreme council of Universities (SCU). According to a 1983 project evaluation summary, joint research by U.S. and Egyptian universities proved financially infeasible and U.S. university personnel have instead played a consultant role. More recent documentation on this project is being obtained to take advantage of the experience gained.

From the foregoing it seems clear there is little likelihood of overlap or duplication between the kinds of activities contemplated under HEAD and other A.I.D. projects. At the present time A.I.D. involvement with and use of U.S. higher education in support of development is extremely limited, as is the interaction between A.I.D. and indigenous higher educational institutions.

## B. OTHER GOVERNMENT AGENCIES

Although there are many U.S. government agency activities which work in one way or another with colleges and universities, our review indicates that there are none which have the same purposes as those addressed by the A.I.D. Center for University Cooperation in Development. Many use the same or parallel processes in dealing with universities, but they do so to accomplish different goals. Brief descriptions by Agency follow.

### 1. National Science Foundation (NSF)

The vast majority of university relations are connected with grants for research or establishment of research centers or facilities. The small portion of NSF resource devoted to international contracts have as their purpose the strengthening of U.S. science. Although there are indications that the thrust will be modified during the next few years, current funding is provided for basic research in the science and engineering areas. Opportunities for individual and institutional international research exist, and during past years there have been bilateral agreements. Some of the NSF funded projects organize joint seminars which focus upon specific issues, and funding for individual scientists to engage in collaborative research activities, however the discipline areas are limited and with rare exception topical areas are not international development related.

### 2. Environmental Protection Agency (EPA)

The EPA has as its mission the expansion of the knowledge base in environmental sciences and engineering, thus EPA research grants are focused

in areas relating to environmental issues. These grants do provide some opportunities for intercountry collaboration, but usually with other industrialized countries.

3. U.S. Department of Agriculture (USDA)

The Higher Education Programs office within the U.S. Department of Agriculture supports three grant programs for universities which can include international involvement. These are the National Needs Graduate Fellowship Grants, Institution Challenge Grants and the 1890 Institution Capacity Building Grants. The fellowship grants program provides 2 or 3 year stipends (\$10 - 17,000 annually) to stimulate the development of scientists and professionals in U.S. agriculture need areas. The two institutional grant programs include some degree of matching and range from \$50-\$350,000 for up to three years. These programs are targeted to curriculum design and materials development, faculty preparation and enhancement, foster partnerships among other colleges, universities and industry and stimulate non-federal support for higher education.

4. Peace Corps

Peace Corps has an international master's degree program with a number of U.S. universities. Peace Corps has recently developed, on a pilot basis, a program that takes graduates of a two-year community college programs in key areas, provides them with specialized Peace Corps training and links them with four year degree granting institutions willing to offer academic credit for Peace Corps training and experience. The PC volunteer programs generate competent and experienced young people who are available later for A.I.D. service.

5. The U.S. Information Agency (USIA)

The Fulbright program. This long-standing, respected program of exchanges which originated shortly after World War II operates through annual awards and a bi-national, three stage selection process which results in sending faculty members in one program, and graduate students in another, to study, teach or conduct research at foreign institutions including those in developing countries. In direct discussions with the U.S. Fulbright Commission, with USIA officials, and with the executive director of the Council on International exchange of Scholars (CIES) which manages the senior (faculty) exchanges, it has become clear that the HEAD small grant activity differs significantly from the Fulbright program in several respects:

- 1.) HEAD support for faculty abroad is related to a development

purpose; Fulbright is far more wide-ranging, frequently based in the humanities rather than in applied fields. Its purpose relates to expanding international and cross-cultural understanding.

- 2.) HEAD awards are to be tied to institutional relations and linkage building; Fulbright awards are individually oriented with institutional commitment marginal, at most.
- 3.) Fulbright awards go through a lengthy, two year selection process; HEAD grants which place a faculty member in a developing country institution will be awarded on a simpler process, covering less than one year. (The application may however, be based on years of prior exploration.)

In 1982 the University Affiliations Program was established by USIA to encourage partnership between domestic and foreign institutions of higher education. It is designed to offer universities the opportunity to form partnerships to serve a wide range of needs.

#### 6. U.S. Department of Education

Under the Center for International Education (CIE) in the USDE several programs exist which permit scholars and domestic institutions of higher education to increase their level of awareness and expertise in international studies. The Doctoral dissertation Research Abroad program encourages fulltime research abroad in modern language or area studies. The Faculty Abroad program offers opportunities for scholars to engage in research and enhance language skills by physically being in a foreign country. The Group Projects Abroad and the Seminars Abroad Program permit members (students, faculty, administrators) of education institutions and/or components within those institutions to study and engage in research abroad. The effect of the last three programs mentioned is often the development of international curriculum and/or the infusion of the research findings into the regular academic programs. In all of the CIE program the emphasis is upon the development of domestic resources and expertise. The CIE does provide services to visiting educators which facilitate their stay in the United States and encourage interactions among international and domestic scholars. With rare exception, the CIE effort does not focus on international development or strengthening institutions abroad.

Title VI (Higher Education Act) awards to graduate students encompass dissertation level study in the U.S. or in a foreign setting. These Foreign Language and Area Study fellowships (FLAS) are mainly awarded to institutions which have graduate level National Resource Centers which are also funded under Title VI. Many of the FLAS awards, coupled frequently with funding for international travel from other sources, result in language and area specialists for university level teaching and other positions requiring advanced level experts.

Only rarely do the Title VI programs produce persons who define their career lines along a development track. Most go into humanities and social science departments to teach although in recent years there has been an attempt to encourage use of FLAS grants in more applied fields. The basic purpose of the Title VI Program is to produce university specialists for teaching the next generation about a foreign area, only marginally about development.

During the planning of HEAD, contacts were pursued with U.S. agencies which have similar programs operating with U.S. universities and in developing countries. HEAD does not duplicate any of these programs, but lessons can be learned from them. UC experience with the Universities Development Linkages Project (UDLP) has also been highly instructive.

One lesson derived from UC reviews of the Fulbright program and the USIA University Affiliations program, plus experience with UDLP, is that it is viable to rely on the university and college to design proposals. The U.C. need not prescribe and specify precisely what is to be done by the U.S. university. Instead, it can specify criteria for each competition and leave to the university applicant the range of exploration and detail which is needed to successfully compete. This reliance on university initiative to do what is needed to compete has been well tested and will be a cost-effective means of proceeding.

The dissertation level awards in HEAD will not be unique since several foundations have small, but somewhat parallel programs. The need, however, particularly in development related fields, continues to be great. This is verified by the decline in numbers of U.S. directors and staff members appointed by the International Agricultural Research Centers.

In 1990, Congress allocated funds within the national security and intelligence accounts to a Trust Fund to grant support for U.S. students and faculty to study languages and foreign cultures. This Fund, known as the Boren trust (after its originator, Senator Boren) has not yet started to operate since the initial \$150 million took long to be transferred to the Trust and the governing board has not yet been formally appointed. Current plans for the trust do not suggest overlap with HEAD grants. In fact, the Trust officers have approached the UC to explore ways to cooperate closely for mutual gain. The

112

Trust is to be administered within the Department of Defense.

The numerous activities effecting and supporting international interests of U.S. higher education, have increased as U.S. colleges and universities strive to internationalize. They are all different than the HEAD and none has the development orientation of HEAD. Furthermore, HEAD's purpose is not shared with any of them. To assure coordination, mainly the adequate exchange of program information, the Association Liaison Office to A.I.D.'s University Center plans to periodically bring together the leaders of these diverse programs in different government agencies.

Project name : HEAD PROJECT - LOGFRAME  
 Est. Completion :  
 Date of Revision :  
 Design Team : UNIVERSITY CENTER (R&D Bureau)

Narrative Summary (NS)	Measureable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
<p>Goal:</p> <p>1 To accelerate progress toward development, globally and in developing countries.</p>	<p>1.1 Selected development objectives will be identified globally and in each participating country, and appropriate indicators monitored and analyzed to track progress.</p>	<p>1.1 Analysis of records at the national level. UN &amp; donor reports.</p>	<p>(Goal to Supergoal)</p> <p>1 That IHE are recognized as capable of making contributions to education of individuals in skills related to the development of the country.</p>
<p>Purpose:</p> <p>1 To assist developing country institutions of higher education and research sustain quality and contribute more effectively to their nations' development.</p> <p>2 SUBSIDIARY PURPOSES --</p> <p>To broaden &amp; enhance the U.S. higher education international capacity &amp; commitment to understanding &amp; fostering development in developing countries, and</p> <p>3 To expand &amp; share U.S. higher education &amp; A.I.D. expertise in a new partnership for development.</p>	<p>1.1 PURPOSE EOPS: Higher education &amp; research institutions in selected developing countries more effectively contributing talent and future leaders and, in addition, addressing societal development problems through research &amp; analytical focus.</p> <p>2.1 SUBSIDIARY PURPOSES -- (EOPS) --</p> <p>(A) Larger numbers &amp; more diverse components of U.S. IHE contributing to development activities &amp; bringing to their students &amp; communities a broader understanding about developing countries &amp; development.</p> <p>(B) U.S. IHE contribution more of their own resources to development activities.</p> <p>3.1 (A) A.I.D. &amp; U.S. IHE develop a better mechanism to access &amp; share personnel.</p> <p>(B) A.I.D. &amp; U.S. IHE actively cooperating to serve mutual objectives in developing countries.</p>	<p>1.1 Evaluation reports and trends of developing country IHE &amp; research.</p> <p>Developing country plans, strategies, and evaluations.</p> <p>2.1 International sessions of U.S. Higher Education Association meetings.</p> <p>USIHE annual reports, audits, evaluations.</p> <p>3.1 Procurement records, A.I.D. evaluations.</p> <p>CDIE evaluation reports.</p>	<p>(Purpose to Goal)</p> <p>1 That IHEs can provide or mobilize sufficient national resources - physical, financial and human.</p> <p>2 The internationalization trend continues within the USIHE community.</p> <p>3 Continued opportunities are available for students &amp; professors to study &amp; work abroad. USIHE policies recognize international experience.</p>
<p>Outputs:</p> <p>1 Developing country higher education &amp; research programs will more actively &amp; effectively serve host country domestic development needs.</p>	<p>1.1 Academic &amp;/or research programs that more effectively serve domestic development needs will be established in ten (10) developing countries.</p>	<p>1.1 Developing country plans, strategies &amp; evaluations, donor reports &amp; assessments.</p>	<p>(Output to Purpose)</p> <p>1 (A) Legal, political, social &amp; economic circumstances permit independent role.</p> <p>(B) Host ctry IHE has the leadership &amp; capacity to establish independent role.</p>

Narrative Summary (NS)	Measureable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
2 Development Action Networks (DANS) of U.S. & developing country universities will be established to address widely recognized & shared problems.	2.1 Seven DANS addressing selected development problem areas will be cooperating in multiple development projects.	2.1 DAN annual reports. Stakeholder interviews. DAN site visit reports. Evaluations.	2 Networks can accomplish specific tasks in 3 years, or independently find the resources to carry tasks to completion over longer periods of time.
3 Cooperation on development issues among U.S. & developing country higher education institutions will be enhanced, such as making continuing educational opportunities available to developing country alumni of American universities.	3.1 U.S. IHE will be cooperating with developing countries IHE in eighty-four (84) development projects.	3.1 University reports. Internal & external evaluations.	3 Collaboration by U.S. and host ctry IHE in networks will increase interaction on mutual development issues. Continuing ed opportunities will be used by host ctry alumni of American universities, & will support enhanced development roles.
4 Curricula, research & service related programs at developing country & U.S. universities will reflect increasing international emphasis.	4.1 Development-related curricula, research & service programs will be established or improved through placing 95 faculty abroad over the life of the project.	4.1 Faculty & departmental reports, plus external evaluations.	4 It will be advantageous to participating IHE to reflect their experiences in international development in their curricula, research & service.
5 U.S. faculty & students will be more knowledgeable about developing countries & their problems.	5.1 Participating U.S. institution attention to developing country issues and problems will result in 89 dissertations presented at professional meetings, plus articles and books, dissertation research topics, seminars held and faculty and student participation in development related research & analysis.	5.1 University records, professional journal publications, popular international articles, newsletters, and external evaluations.	5 Participation by U.S. faculty & students in development activity will (a) lead to an increased number of career commitments to "development", (b) sharpen the accuracy and realism of current & future research and teaching, (c) increase the substantive relationships between the countries, including marketing and investment opportunities.
6 A.I.D. will be able to access a larger pool of better qualified experts to meet future needs.	6.1 A.I.D. activities & projects involving 85 university faculty & administrators will expand the number of visiting speakers, consultants & resource people from universities, jointly sponsored seminars & workshops & jointly authored papers & journal articles with university faculty & administrators.	6.1 A.I.D. and university records -- including the number of UC Fellows, the number and extent of participation in seminars, and the increased reliance on U.S. IHE for input in the planning and execution of A.I.D. projects.	6 Universities can assume expanded role in working with A.I.D. (a) analyzing development needs & opportunities, (b) assessing alternative strategic opportunities, (c) providing qualified personnel, & (d) assessing consequences of programs.
Activities: 1.1 Seven networks between 6-8 U.S. & 6-8 host ctry IHE to strength development capacity by focusing on specific host ctry priority	Inputs/Resources: 1.1 Seven DANS over a five year period. Total cost: \$16,564,130. Each DAN is estimated at an individual cost over three years of \$1,854,267.	1.1 Monitoring by R&D/UC staff, Principle Cooperator, & Network HQers entity plus outside audits and financial reviews, as	(Activity to Output) 1 Funds proposed are sufficient when the program components of the network costs are matched by U.S. IHEs to enable sustainable progress to be



## ANNEX G

### SELECTIVE BUDGET MATERIAL

Attached are the individual budget spreadsheets which feed into the overall Head Project budget summary contained in the body of the project paper. There are four individual supporting spreadsheets, as follows:

- #1. The Single Network Three Year Cost Projection, and budgets for --
- #2. the Network Organizing Unit;
- #3. the Small Grants Program Unit; and
- #4. the Fellows Administrative Unit.

This Annex also contains a fifth spreadsheet which presents the projected Mission and Regional Bureau add-ons and/or OYB transfers to the HEAD Project. The assumptions upon which these projections are based are also contained in this spreadsheet.

In preparing the four budget spreadsheets, we have assumed:

1. That there will be a Principle Cooperator working under a cooperative agreement. A.I.D. will be supporting the program of that cooperator which will include funding for aspects of the Network, Small Grant and Fellows components of the HEAD project.
2. That there will be an administrative unit for each of the components, each unit reporting to the Principle Cooperator.
3. That there will be seven networks established over the course of the project. A network is projected at a total cost of \$1,854,267 over three years, with the first year cost estimated at \$353,532, the second year at \$782,191, the third year at \$718,543. The cost for a headquarters unit to facilitate and coordinate each individual network is included in the projected per network cost.
4. That the Principle Cooperator will not only facilitate the establishment of the first network, but will also receive the funding for that network, and have the authority under the cooperative agreement for funding, monitoring and evaluating that network through a sub-grant to the lead entity within that network.

5. That the budget for the Network Administration Unit within the Principle Cooperator has the bulk of the resources for conducting the evaluation functions described in the evaluation section of the project paper. Additionally, however, a) each network budget has \$60,000 for evaluation in the second year, and b) there is \$100,000 for a mid-term evaluation and \$80,000 for a final evaluation as part of the project budget. The latter come on line in the third and fifth years of the project.
6. That the funds contained in the budget will be obligated during the first five years of the project, though the project completion date will be FY 97. The latter allows for the completion of the work of the last of the networks which will receive their initial funding in September of the fourth year. The last two networks will be fully funded in the fourth and fifth years of the project. The first network will be fully funded in the first two years of the project; this permits a gradual launching of the small grants program.
7. That participating higher education institutions (HEI) will match the program component costs of each network, the small grants and the joint seminars and cover the indirect costs associated with the headquarters of each network. Regarding the latter, it is assumed that the indirect costs of the network headquarters will be matched by the participating universities.
8. That host countries will contribute, in-kind or otherwise, 20% of the cost of the program components of a network.
9. Merit salary increases of 3% have been added in years three and five to the salary calculations in the Network Organizing Unit, the Small Grants Program Unit and the Fellows Administrative Unit.
10. Fringe benefits have been consistently estimated at 22%, indirect costs at 25% with the exception noted in Point 7 above.
11. Inflation has been anticipated beginning in the second year in each of the four supporting spread sheets.
12. Travel cost projects are on the conservative side. Factor costs have been used reflecting the fall 1992 direct market cost of airline tickets as opposed to the cost of tickets at the contracted government rate.
13. In the computing arena, we have used as factor costs for PCs \$1,500 each with lazer printers at \$1,000. Combination modem/faxes are projected at \$300 including software.

Attachments: a/s

SINGLE NETWORK THREE YEAR COST PROJECTIONS  
 FILE:93-97R3.WK1 (EA550)

	FACTOR COSTS	PM	STARTUP YEAR 1	YEAR 2	YEAR 3	TOTAL OVER 3 YEARS
1. Salaries & Wages @ HQ Institution						
1 FT (Yr 1) .70 (Yr 2) Network Coordinator	65,000	36	65,000	45,500	45,500	156,000
1 FT Secretary	25,000	36	25,000	25,000	25,000	75,000
2. Benefits @22% Salaries	22%		19,800	15,510	15,510	50,820
3. SUBTOTAL: Salaries & Fring Benefits			109,800	86,010	86,010	281,820
4. Nonexpendable Equipment						
--Communications (Yr 1=\$5,000)*	5,000		5,000	0	0	5,000
5. Travel						
--Domestic(6RT*750;PD 15Dys*150)	6,750		6,750	6,750	6,750	20,250
--Int'l(3RT*5600;PD 30Dys*175)	22,050		22,050	22,050	22,050	66,150
6. SUBTOTAL: Direct Costs (#3,#4 &#5)			143,600	114,810	114,810	373,220
7. Indirect Costs:	0		0	0	0	0
8. Mtg to Finalize Work Plan (20 Members)						
--Domestic travel:1RT @\$750/Av*10	7,500		7,500	0	0	7,500
--Domestic:PD \$150*4Dys*10	6,000		6,000	0	0	6,000
--Int'l:1RT @\$5,500/Av*10	55,000		55,000	0	0	55,000
--Int'l:PD \$175*6Dys*10	10,500		10,500	0	0	10,500
9. Visits among 20 Network Institutions						
--1RT @\$5,500*20	110,000		110,000			110,000
--PD 4Dys*175*20	14,000		14,000			14,000
10. Two 4 Day Network Mtgs/Yrly *18						
-- Domestic travel @ \$750/Average*9*2	750			13,500	13,500	27,000
-- Domestic PD \$150x4=\$600*9*2	150			10,800	10,800	21,600
-- Int'l travel @ \$5,500/Av*9*2	5,500			99,000	99,000	198,000
-- Int'l PD \$175x6=\$1050*9*2	175			18,900	18,900	37,800
11. Training Seminars 2/Yrly 5daysx18						
-- Domestic travel @ \$750/Average*9*2	750			13,500	13,500	27,000
-- Domestic PD \$150x6Dysx9*2	150			16,200	16,200	32,400
-- Int'l travel @ \$5,500/Av*9*2	5,500			99,000	99,000	198,000
-- Int'l PD \$175x7Dysx9*2	175			22,050	22,050	44,100
-- Miscel	5,000			5,000	5,000	10,000
12. Visitors-in-Residence: 10/Yrly @\$2,500	2,500	240		25,000	25,000	50,000
13. Activities (Joint Research, Special Studies, Materials Exchange)	200,000			200,000	200,000	400,000
14. Visiting Lecturers: 12/Yrly RT only.	3,300	24		39,600	39,600	79,200
15. Evaluation and Audit	60,000	6		60,000		60,000
SUBTOTAL:		342	346,600	737,360	677,360	1,761,320
16. Contingency (2%)	0.02		6,932	14,747	13,547	35,226
17. Inflation (4%)	0.04		0	30,084	27,636	57,721
AID TOTAL:			353,532	782,191	718,543	1,854,267
Seven Network LOP Total:	12,979,869					
18. HEI Match Pgm Components & Indirect	84.1%		238,900	651,253	591,253	1,481,405
19. Host Instituions (In-Kind) 20%			47,780	130,251	118,251	296,281
GRAND TOTAL :			640,212	1,563,694	1,428,046	3,631,953

\* Note: For communications facilities as deemed appropriate by network members. Assumes Fax & Modem cost \$250, \$50 for software; \$100 for six ink cartridges. Assume network members have computers.

119

PRINCIPLE COOPERATOR --  
THE NETWORK ORGANIZING UNIT

	FACTOR COSTS	Total PM	STARTUP YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	LOP TOTAL
<b>1. Salaries &amp; Wages</b>								
.375 FTE Overall Pjt Administrator	28,125	20	28,125	28,125	28,969	28,969	29,838	144,025
1 FTE Network Planner/Coordinator	65,000	48	65,000	65,000	66,950	66,950	0	263,900
1 FTE Network Facilitator	38,900	48	38,900	38,900	40,067	40,067	0	157,934
1 FTE Senior Evaluation Specialist	60,000	60	60,000	60,000	61,800	61,800	61,800	305,400
1 FTE Network Secretary	25,000	60	25,000	25,000	25,750	25,750	26,523	128,023
1/2 FTE Evaluation Secretary	12,000	30	12,000	12,000	12,360	12,360	12,731	61,451
<b>2. Fringe Benefits @22% of Salaries</b>	50,386		50,386	50,386	51,897	51,897	28,796	233,361
<b>2A. Evaluation Consultants 3pm @ \$15,000 ea: includes stipend travel and per diem</b>	15,000	9	10,000	0	20,000	5,000	10,000	45,000
<b>3. SUBTOTAL: Salaries &amp; Benefits</b>			289,411	279,411	307,793	292,793	169,687	1,339,094
<b>4. Office Support</b>								
--Telephones;Fax	3,000		3,000	3,000	3,000	3,000	3,000	15,000
--Computer(s)	6,000		6,000	1,000	500	500	500	8,500
--Materials and Supplies	1,700		1,700	1,700	1,700	1,700	1,700	8,500
<b>5A. Network Staff Travel</b>								
--Domestic(6RT @ 750;PD 15Dys*150)	6,750		6,750	6,750	6,750	4,500	2,250	27,000
--Int'l(3RT*5,600;PD 30Dys*175)	22,050		22,050	22,050	22,050	14,700	7,350	88,200
<b>5B. Evaluation Staff Travel</b>								
--Domestic(5RT @ 750;PD 40Dys*150)	9,750		9,750	9,750	9,750	4,500	2,250	36,000
--Int'l(2RT*5,000;PD 40Dys*175)	17,000		17,000	17,000	17,000	14,700	7,350	73,050
<b>6. SUBTOTAL: Direct Costs(\$ thru 5)</b>			355,661	340,661	368,543	336,393	194,087	1,595,344
<b>7. Indirect Costs</b>	0.25		88,915	85,165	92,136	84,098	48,522	398,836
<b>8. Initial 4 Dy Expression Interest &amp; Planning Mtg focused on pre-selected set of topic(s):</b>								
			[One Network]	[Two Networks]	[Two Networks]	[Two Networks]	[No Netwk Starts]	
-- Domestic travel @ \$750/Average*20	750		15,000	30,000	30,000	30,000	0	105,000
-- Domestic PD \$150x4=\$600*20	150		12,000	24,000	24,000	24,000	0	84,000
-- Int'l travel @ \$4,000/Av*20	4,000		80,000	160,000	160,000	160,000	0	560,000
-- Int'l PD \$175x6=\$1050*20	175		21,000	42,000	42,000	42,000	0	147,000
<b>9. Planning Mtg to Develop Founding Network Agreement: 4Dys; 20 Reps</b>								
-- Domestic travel @ \$750/Average*10	750		7,500	15,000	15,000	15,000	0	52,500
-- Domestic PD \$150x4=\$600*10	150		6,000	12,000	12,000	12,000	0	42,000
-- Int'l travel @ \$4,000/Av*10	4,000		40,000	80,000	80,000	80,000	0	280,000
-- Int'l PD \$175x6=\$1050*10	175		10,500	21,000	21,000	21,000	0	73,500
<b>10. Evaluation and Audit</b>	60,000	6	0	0	60,000	0	0	60,000
<b>SUBTOTAL:</b>		281	636,576	809,826	904,679	804,491	242,609	3,398,180
<b>11. Contingency (2%)</b>	0.02		12,732	16,197	18,094	16,090	4,852	67,964
+ 4% Inflation:	0.04		0	33,041	36,911	32,823	9,898	112,673
<b>GRAND TOTAL:</b>			649,307	859,063	959,683	853,404	257,360	3,578,817
Seven Networks TOTAL LOP:		7						3,578,817

PRINCIPLE COOPERATOR ---  
SMALL GRANTS PROGRAM UNIT

	UNIT COSTS	PM	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	LOP TOTAL
<b>1. Salaries &amp; Wages (+3% performance)</b>								
.375 FTE Overall Pjt Admintor	28,125	30	28,125	28,125	28,969	28,969	29,838	144,025
1 FTE Grants Coordinator	65,000	60	65,000	65,000	66,950	66,950	68,959	332,859
1 FTE Grants Officer	38,900	60	38,900	38,900	40,067	40,067	41,269	199,203
1 FTE Secretary	25,000	60	25,000	25,000	25,750	25,750	26,523	128,023
<b>2. Fringe Benefits @22% of Salaries</b>			34,546	34,546	35,582	35,582	36,649	176,904
<b>3. SUBTOTAL: Salaries &amp; Benefits</b>			163,446	163,446	168,349	168,349	173,399	836,988
<b>4. Nonexpendable Equipment</b>								
--Phones(LD,Local,Equipment)	1,000		1,000	1,000	1,000	1,000	1,000	5,000
--PCs & Communications	6,000		6,000	500	400	200	200	7,300
--Materials & Supplies	1,400		1,400	1,400	1,400	1,400	1,400	7,000
<b>5. Travel</b>								
--Domestic (6RT@750; PD 15Dys* 150)	6,750		6,750	6,750	6,750	6,750	5,063	32,063
--Int'l(2RT*5,600; PD 24Dys* 175)	15,400		15,400	15,400	15,400	15,400	11,550	73,150
<b>6. SUBTOTAL: Direct Costs (Items 3 through 6)</b>			193,996	188,496	193,299	193,099	192,612	961,501
<b>7. Indirect Costs:</b>			25%	48,499	47,124	48,325	48,275	240,375
<b>8. Inflation @ 4%</b>					9,425	9,665	9,631	38,375
<b>9. Total:</b>			242,494	245,044	251,289	251,029	250,395	1,240,251

Notes: 1. A 3% factor for performance increases in salaries is included in years 3 & 5.

2. Assume 3 PCs w 1 Lazer Printer & Modem/fax (\$300 w software) in Yr 1; remainder fees, support \* software. PCs @ 1500 Ea; Printer @ 1000.

3. Travel drops by 25% in final year.

PRINCIPLE COOPERATOR --

FELLOWS ADMINISTRATIVE UNIT

	UNIT COST	PM	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	LOP TOTAL
<b>1. Salaries &amp; Wages (+3% performance)</b>								
.25 FTE Overall Pjt Admintor	18,750	20	18,750	25,000	25,562	19,313	19,892	108,517
1 FTE Fellows Coordinator	65,000	57	48,750	65,000	66,950	66,950	68,959	316,609
1 .75 FTE Asst Coordinator	29,175	45	29,175	29,175	30,050	30,050	30,952	149,402
1 FTE Secretary	25,000	57	18,750	25,000	25,750	25,750	26,523	121,773
<b>2. Fringe Benefits @22% of Salaries</b>			25,394	31,718	32,629	31,254	32,191	153,186
<b>3. SUBTOTAL: Salaries &amp; Benefits</b>			<b>140,819</b>	<b>175,893</b>	<b>180,942</b>	<b>173,317</b>	<b>178,516</b>	<b>849,486</b>
<b>4. Nonexpendable Equipment</b>								
--Phones (LD, Local, Equipment)	1,000		1,000	1,000	1,000	1,000	1,000	5,000
--PCs & Communications*	4,500		4,500	300	200	200	200	5,400
--Materials & Supplies	1,200		1,200	1,200	1,200	1,200	1,200	6,000
<b>5. Travel-Staff</b>								
--Domestic (6RT@750; PD 15Dys*150)	6,750		6,750	6,750	6,750	6,750	4,050	31,050
--Yr 1: Int'l(2RT*5,600; PD 24Dys*175)	15,400		15,400	0	0	0	0	15,400
--Y 2-4: Int'l(1RT*5,600; PD 12Dys*175)	7,700		0	7,700	7,700	7,700	7,700	30,800
<b>6. Travel: Peer Review Panel</b>								
--1 Panel annually/3 people for 6 days. (3RT*750+3*150PD*6Dys)	4950		4950	4950	4950	4950	4950	24,750
<b>7. Travel- Coordinating Cmte</b> (One mtg per year- 4 people)	3,600		3,600	3,600	3,600	3,600	3,600	18,000
--Domestic (4RT@750; PD 4Dys*150)								
<b>8. External Review Panel (Evaluators)</b>								
Yr 4=20Dys Consultg * 3 *1.65*\$210.00/daily rate	20,790		0	0	0	20,790	0	20,790
<b>9. Travel-External Evaluators</b> (Yr 4 - One mtg - 3 people)								
--Domestic (3RT@750; PD 3Dys*150)	2,700		0	0	0	2,700	0	2,700
--Int'l(1RT*5,600; PD 12Dys*175)	7,700		0	0	0	7,700	0	7,700
<b>10. SUBTOTAL: Direct Costs (Items 3-9)</b>			<b>178,219</b>	<b>201,393</b>	<b>206,342</b>	<b>229,907</b>	<b>201,216</b>	<b>1,017,076</b>
<b>11. Indirect Costs:</b>	25%		44,555	50,348	51,585	57,477	50,304	254,269
<b>12. Inflation @ 4%</b>			0	10,070	10,317	11,495	10,061	41,943
<b>13. Total:</b>		<b>179</b>	<b>222,773</b>	<b>261,812</b>	<b>268,244</b>	<b>298,879</b>	<b>261,581</b>	<b>1,313,288</b>

NOTES:

1. A 3% factor for performance increases in salaries is included in years 3 & 5.
2. Assume 2 DOS PCs w 1 Lazer Printer & Modem/Fax (\$300 w software) in Yr 1; remainder fees, support & software. PCs @ 1500 Ea; Printer @ 1000.
3. Coordinator and secretary expected to be on board for 3/4s of the first year.
4. Final year of travel = 60% of original domestic level.

FILE:93-97R3.WK1(GA500)

122

Working Assumptions re Mission and Regional Add-ons to HEAD Program  
Based on Conservative Estimates of Interest over LOP

DRAFT

	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	LOP
	FY93	FY94	FY95	FY96	FY97	TOTAL
<b>I. DEVELOPMENT ACTION NETWORKS</b>						
Assumption: One \$200,000 add-on from one mission to Networks 2-7, that is 2 \$200,000 add-ons in years 2-4 of project	0	400,000	400,000	400,000	0	1,200,000
<b>II. SMALL GRANT PROGRAM</b>						
Assumption: Three add-ons per year in years 2-5 averaging \$35,000 each	0	105,000	105,000	105,000	105,000	420,000
<b>III. INTERACTIONS</b>						
Assumption: There will be an average of 20 fellows per year @ an average cost of \$150,000 per fellow. The cost of each fellow will be met through add-ons.	1,500,000 10	2,250,000 15	3,000,000 20	3,750,000 25	4,500,000 30	15,000,000 100
<b>CONTINGENCY: (***)</b>	200,000	320,000	420,000	520,000	620,000	2,080,000
<b>TOTAL:</b>	<b>1,700,000</b>	<b>3,075,000</b>	<b>3,925,000</b>	<b>4,775,000</b>	<b>5,225,000</b>	<b>18,700,000</b>

(\*) The following missions have responded positively to requests for indications of potential interest: Gambia, Guinea, Mali, Mozambique, Namibia, Swaziland, REDSOWA, Thailand & Shri Lanka. In addition South Africa has expressed strong interest.

(\*\*) The following missions have indicated some potential interest. These are Morocco, Tunisia, Yemen in the Near East, the Philippines and Pakistan in Asia, & ROCAP (the Regional Office for the Caribbean), Honduras, Ecuador and Bolivia in LA.

(\*\*\*) To provide added flexibility in being able to respond to add-on or OYB Transfer requests, should missions or regional bureaus so desire.

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