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Midterm Evaluation

of the

**Access to Land and Other Natural Resources Project
(ACCESS II)
(Project Number 963-5453)**

at the

**Land Tenure Center
University of Wisconsin-Madison**

Prepared for the U.S. Agency for International Development

By

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PREFACE

The report is organized into six sections entitled: Executive Summary; Introduction; Research and Technical Assistance; Institutional and Management Considerations; Financial Review; and Future Directions. There are three appendices: a list of Persons Contacted, the Scope of Work and the Barrows Report. That report was written by the committee at the University of Wisconsin convened to complete an internal study of the Land Tenure Center and its relationship to the College of Agriculture and Life Sciences. The Table of Contents will direct the reader to specific topics outlined in the scope of the evaluation.

The evaluation team consisted the four members as follows:

- (1) Team Leader and Institutional Specialist. John B. Richey, a principal with Management Development Technologies, Limited, Washington, DC, was the team leader and was responsible for ensuring the completion of the report and for the overall management of the evaluation. He was also responsible for leading the institutional and administrative component of the evaluation. This team member has background and experience in conducting institutional evaluations in University settings. He has a proven track record management of institutions of higher education and extensive experience in the evaluation of international development programs with considerable knowledge about alternative arrangements used by universities to generate research support. He has extensive field experience with similar work in Central America, Africa, the Middle East and South Asia.
- (2) Senior Tenure Specialist. Pauline E. Peters, an Anthropologist and an Institute Associate with the Harvard Institute for International Development, Cambridge, Massachusetts, was responsible for assessing the overall project inputs and outputs and advising on the substantive direction of the second half of the project. She paid particular attention to the "land markets" and "institutional dimensions of tenure change" themes. She has extensive background and knowledge in resource tenure issues. She has extensive field and research experience in Africa.
- (3) Natural Resource Tenure Specialist. Nancy Diamond, a Natural Resources Sociologist and an American Association for the Advancement of Science Fellow from RD/EID/RAD, Roslyn, Virginia, was responsible for specifically assessing the project theme area dealing with natural resources. She helped assess the overall substantive direction of the project. Her field experience has been in Africa.
- (4) Financial Review Specialist. Charles Christen, an Independent Certified Public Accountant, Fairfax, Virginia, was the financial review specialist. He was responsible for the

preparation of a distinct and separate chapter of the evaluation report on financial procedures. The specialist has extensive experience in financial control mechanisms and accounting procedures and complete mastery of A.I.D. procedures and evaluation systems.

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I. EXECUTIVE SUMMARY

I. BACKGROUND

In 1989, A.I.D. initiated the ten-year Access to Land, Water and Other Natural Resources (ACCESS II) Project (No. 936-5453) succeeding ACCESS I. The first half of the ACCESS II project is being implemented by The Land Tenure Center (LTC) at the University of Wisconsin-Madison (UM) under a Cooperative Agreement (CA) and Basic Ordering Agreement (BOA) with RD/EID/RAD. Both agreements are scheduled to end December 31, 1993. Under the project, the LTC has focused on three thematic areas: (1) land markets and transactions; (2) tenure issues in natural resource management; and (3) institutional and structural dimensions of tenure change. The impact of gender-related tenure arrangements and concern for tenure security have been cross-cutting themes.

In 1962, A.I.D. initiated support for the LTC as an interdisciplinary research center. It is headed by a director, appointed by the Dean of the College of Agriculture and Life Sciences (CALs) and reports to the Associate Dean for International Agriculture. The director manages the Center with the advice and consent of its Executive Committee. The Center is organized into an administrative unit, two regional programs (Africa and Latin America), the LTC Library, and a Ph.D. in Development Studies program.

II. THE EVALUATION

This evaluation is part of the Research and Development (R&D) Bureau's standard review of grants and contracts in anticipation of the implementation of the second half of the project. The evaluation focused on four broad sets of issues:

- (1) quality and quantity of research and technical assistance provided;
- (2) institutional and management considerations related to LTC's operation;
- (3) financial issues related to the LTC's procedures for carrying out the regulations and agreement provisions; and
- (4) recommendations for future research and technical assistance activities in light of project accomplishments and anticipated tenure-related and mode of implementation needs.

The core evaluation team consisted of four members: (1) Team Leader and Institutional Specialist, (2) Senior Tenure Specialist, (3) Natural Resource Tenure Specialist and (4) Financial Review Specialist.

The institutional specialist reviewed measures being taken to strengthen the LTC-CALS relationship, provide leadership and direction to the Center and provide administrative management to support research and T/A services. The objective was to provide guidance and recommendations for R&D concerning (a) progress in improving institutional arrangements between LTC and the University of

Wisconsin; (b) the managerial and administrative procedures within the LTC to handle on-going demands of the Project and (c) institutional relations with A.I.D./Washington and Missions abroad.

Two social scientists evaluated both research and technical assistance produced by LTC including: (a) the overall quality and quantity of work produced; (b) impact of work; (c) effectiveness of dissemination and synthesis efforts.

The financial specialist reviewed the LTC's compliance with terms and conditions of the CA and BOA, and the relevant laws and regulations.

The evaluators collected information by means of personal and telephone interviews, reviewing responses to a questionnaire completed by selected USAID missions, a one-week visit to the LTC in Madison, Wisconsin, and a review of literature generated under the ACCESS II Project.

III. RESEARCH AND TECHNICAL ASSISTANCE OUTPUT

The evaluators' assessment of the applied research conducted by the LTC under ACCESS II leads them to agree with previous evaluators that the LTC is a "National Resource." It remains virtually alone in systematically devoting high quality talent to the critical issue of tenure in development, and has turned increasingly to apply its expertise in tenure rights in natural resource management concerns. Overall, the quality of the applied research and policy advice done under the themes Institutional and Structural Dimensions of Tenure Change and Land Markets is very high in both Latin American and Caribbean and African Regions. The quality of the work on the Natural Resources theme in Africa is excellent. For work in LAC, the Natural Resources thinkpieces and applied research are of good quality but fall somewhat short of the cutting edge.

Under the themes of Institutional and Structural Dimensions of Change and Land Markets, LTC's work has been influential on the following: the adaptive quality of customary tenure in Africa; the lack of any necessary association between titling or registration programs and either increased security or productivity; the role of legal codes and judicial practices in tenure change; the formulation of enabling or "framework" laws, land information systems; and mechanisms for creating land banks and land taxation systems.

Under the Natural Resources theme, LTC's work makes an important contribution to understanding the role of land and tree tenure in agroforestry; the formulation of forest codes; community-state co-management schemes; and the links between environmental degradation and insecure land rights. There is room, however, for conceptual refinements and more comparative syntheses.

The present formulation of sub-themes under the main themes appears to be appropriate and the evaluators endorse the present direction of research. LTC has had a good record of collaboration with host country researchers and institutions, and of organizing

workshops and conferences. The LTC library and the Ph.D. in Development program make positive contributions to the ACCESS II Project.

The evaluators recommend the following:

1. In order to improve the quality of the analyses and their relevance to policy makers, more time for writing should be scheduled for LTC academic staff. Multi-year employment contracts for academic staff would also contribute to research continuity.
2. A conceptual expansion of the Land Markets theme to "The Economic Dimensions of Tenure Change" would balance the other two more broadly defined themes.
3. In order to promote the integration of gender analysis into LTC work, LTC should: a) make gender analysis a full part of all themes, b) design gender-focused studies under the themes, c) ensure that the gender theme coordinator plays a greater role in LTC research design and analysis, and d) increase collaboration and regular communication with UW faculty experts and with the A.I.D. WID coordinator.
4. Work in the LAC region could be improved by greater support for technical assistance and research under the natural resources theme and better identification of socio-economic research questions with property rights.
5. Greater involvement of UW faculty, particularly in those social and natural sciences underrepresented in LTC research, is encouraged and would probably be facilitated by flexible funding. Visiting scholars and post-doctoral professionals would encourage the involvement of other researchers.
6. LTC should develop greater collaboration with other A.I.D. and non-A.I.D. funded environmental organizations.

IV. INSTITUTIONAL AND MANAGEMENT CONSIDERATIONS

The UW is in the midst of building two internationally-oriented units. The new Dean of CALS is soon to be appointed. The funding for all institutions of higher education is declining. Within A.I.D., programs are being developed for Eastern Europe (EE) and the Newly Independent States (NIS). The LTC should expect its preeminence in the field to be challenged as other researchers devote more study to tenure-related issues.

Having confirmed the short- and long-term needs for research, T/A and training in areas related to tenure, two questions follow: How can A.I.D. be assured of future access to resources for research, assistance and training? And, what is the most effective mechanism to continue the work currently conducted at the Center?

The evaluation team examined various mechanisms including a thorough assessment of the elements required to assure LTC's sustainability. With respect to management and sustainability, the team's principal conclusions are that:

- A cooperative agreement with LTC is A.I.D.'s most efficacious, least-cost option of guaranteeing that researchers and practitioners will continue to provide information and services needed for A.I.D.'s work related to resource tenure;
- The LTC is not sustainable, as a 'center' without substantial financial support from the University and A.I.D.; and
- Management changes and improvements are needed to provide the appropriate type and level of support for the programs of research and T/A.

Based on these conclusions, the evaluation team offers the following recommendations:

1. Given that the University is in the midst of its decision making process, A.I.D. should follow a set of criteria, benchmarks and deadlines for LTC's support by UW that are reflective of its internal requirements and allow the University the time to complete its decision-making process (e.g., support for faculty to work at LTC, UW assistance in improving LTC's management systems, long-term employment contracts for academic staff).
2. To build the LTC as a common resource, and to avoid costly duplication in A.I.D.-funded programs, A.I.D. should encourage LTC links with researchers and practitioners supported by other A.I.D. projects.
3. The management approach, the director's role and the program leadership process of the LTC will need to be changed to strengthen its business and program management capabilities, and to elevate its status as an independent center within the UW.
4. Much greater emphasis and effort are needed to structure the LTC-CALS-UW relationships and develop LTC as an independent part of CALS.
5. The Executive Board (or some similar group) could help the Center's management team formulate approaches to: the director's role in the University, strategies for long-term institutional development, and executive management of the nuts-and-bolts of administrative and financial management services.
6. A.I.D. through the ACCESS II Project, has helped build the LTC as an unique national resource. The LTC should not be seen as a development project or a consulting firm. To avoid wasteful duplication, A.I.D. should encourage its other contractors and grantees to utilize the LTC for work in this field through the ACCESS II-CA, BOA or subcontracts.

7. To be sustainable, the LTC must diversify the form and sources of its financial support to broaden the range of work and the types of clients. To reduce financial risks, it must reduce its reliance on a single sponsor and respond to admonitions from A.I.D. about over-reliance on a single supporter.
8. It is critically important for the term 'center' to be defined as it relates to both LTC and the ACCESS II Project. LTC should be viewed as an entity with a physical and programmatic existence similar to the approach applied in other centers where a USG grant or cooperative agreement funds the center's core activities.

V. FINANCIAL REVIEW

Consistent with the R&D's routine project monitoring, a financial review was conducted. This review was not an audit. Its objective was to ensure that the LTC maintains adequate financial management and accounting procedures and has complied with the terms of the grant agreements and applicable laws and regulations.

The State (Wisconsin) Legislative Audit Bureau is currently auditing the University's system for financial management of federal grants in compliance with OMB Circular A-133. UW expects the audit report to be issued shortly. A copy of the completed audit report to be forwarded to the R&D project manager and the A.I.D. grants officer.

This financial review disclosed that:

- LTC's systems and procedures provided for compliance with the terms of the Cooperative Agreement and related legislation and federal regulations.
- LTC's detail accounting records and procedures were fully adequate with no material weakness noted.
- LTC did not provide the A.I.D. project manager with quarterly financial status reports on an accrued basis and with sufficient detail for project management purposes.
- Given the on-going audit program at UW, an additional comprehensive audit of the A.I.D.-UW Cooperative Agreement is not recommended at this time.

Given these findings, the evaluators recommend that:

1. LTC should provide, with little additional effort, the A.I.D. project manager with quarterly financial status reports on an accrued basis and with additional detail for project management purposes.
2. A.I.D. should followup on the three relatively minor "overruns" of accounts as mentioned in the Financial Review Section.

3. The A.I.D. project manager should obtain a copy of the report issued as a result of the State Legislature Audit Bureau's current audit for review and follow-up on any recommendations relevant to A.I.D.'s grant to LTC.

VI. FUTURE DIRECTIONS

The LTC has established an enviable reputation as a leader in tenure policy research, remaining virtually alone in certain dimensions of its specialty. Some of the strengths of LTC policy research and technical assistance have been highlighted above, but some gaps remain to be filled. Future directions for LTC are suggested by past performance. Some of these efforts may not require new resources but instead greater collaboration with UW faculty or other off-campus resources. Others may succeed in attracting new and diversified sources of funding and talent to LTC.

The evaluators suggest the following future directions:

- LTC and the ACCESS II project would benefit from expanding research on other resources than land.
- Given the accumulated experience of LTC researchers in LAC and Africa, the time is ripe for a set of synthetic papers that are comparative across regions.
- The prospective entry of LTC into the NIS is to be welcomed.
- To balance regional and intra-regional coverage, it is recommended that the LTC explore additional opportunities for further research in South America, Asia and southern Africa. The comparative market research planned for Chile, Paraguay and Guatemala is duly noted and encouraged. The evaluators recognize that expansion into new areas may require additional resources and staff.
- Research design and analysis under all themes would be improved with more systematic and coherent attention to the socio-political dimensions of property rights.
- The disciplinary bases of LTC in both the natural and underrepresented social sciences should be expanded.
- The natural resource research in particular, as well as work under the other two themes, could benefit from much greater collaboration with other A.I.D. project contractors at different stages of research.
- Assuming the continuation of the UW and A.I.D. partnership, the LTC should use the next five years of the funding to diversify its client base and sources of support, and to restructure the directorate and links between CALS and LTC.
- The LTC should take the lead in establishing and institutionalizing a client-oriented planning, budgeting and

prioritizing process which establishes expectations and a protocol for participation of sponsors in the Center's program development activities.

- By July 1993, the Center should develop an aggressive strategic plan to maintain its competitive edge in the field of resource tenure research and T/A.
- A.I.D. should hold up the LTC as a unique national resource whose existence and prominence are due in great measure to A.I.D.'s support rather than viewing the Center as a development project.
- The Center and CALS should use the next two years to develop creative ways to engage UW faculty and external scholars in LTC's programs of research and T/A.

II.. INTRODUCTION

This report describes the key issues and concerns that were addressed in a mid-term evaluation of the RD/EID/RAD-managed Access to Land, Water and Other Natural Resources (ACCESS II) Project (No. 936-5453). The project, implemented by the Land Tenure Center (LTC) at the University of Wisconsin (UW), was evaluated by a team of four senior professionals in May 1992. The team assessed LTC's performance to date in achieving the project's objectives and conducted a financial review of the ACCESS II Project as part of the Research and Development Bureau's standard review of grants and contracts. Based on the evaluation, the team made recommendations for the implementation of the second half of the project.

A. PURPOSE

The first half of ACCESS II is nearing completion. It is a critical time to review what has been accomplished against the initial plans proposed in the Project Paper and what possible new directions the second half of the project should take. At the same time, it is appropriate to assess a number of institutional issues related to the Land Tenure Center's capacity to promote the goals of the ACCESS II Project and maintain itself as a center of excellence for tenure-related research. A.I.D. recognizes that tenure is a critical factor in resource use, management and protection and over the last three decades has made a substantial investment in building LTC's capabilities as a center devoted to these issues. As a result, a second critical component of the evaluation was to assess whether measures have been put in place to protect this investment. Consistent with the Research and Development Bureau's routine project monitoring, a financial review was also conducted. This was not an audit.

The evaluation focused on four broad sets of issues:

- (1) quality and quantity of research and technical assistance provided;
- (2) institutional and management considerations related to LTC's operation;
- (3) financial issues related to the Land Tenure Center's procedures for carrying out the regulations and agreement provisions; and
- (4) recommendations for future resource tenure research and technical assistance activities in light of project accomplishments and anticipated tenure-related needs and recommendations for appropriate institutional arrangements related to LTC's operation.

B. BACKGROUND

In 1989, A.I.D. initiated ACCESS II as a follow-on to ACCESS I. ACCESS II was designed to improve the knowledge base on resource tenure and assist host governments, A.I.D., field missions and the rest of the development community to formulate solutions to tenure constraints on economic growth. Its overall goal remains to promote broad-based and sustainable economic growth through the improved use

and management of land and other natural resources. This ten-year project is to be completed in December 1998.

The first half of the ACCESS II project is being implemented by the LTC under a Cooperative Agreement (CA) and Basic Ordering Agreement (BOA) with RD/EID/RAD. Both are scheduled to end December 31, 1993. Under the project, The LTC has focused on three thematic areas: (1) land markets and transactions; (2) tenure issues in natural resource management; and (3) institutional and structural dimensions of tenure change. The impact of tenure arrangements on women and concern for tenure security have been cross-cutting themes.

This project is the most recent in a long history of A.I.D. support to LTC, which began in 1962 when the Center was established. In 1987, Access I, also implemented by LTC, was evaluated by a team of external experts who concluded that the project had substantially enriched the knowledge base on resource tenure issues and successfully created and strengthened the analytical capability of A.I.D. and host country researchers and policy-makers to deal with important tenure-related issues. It also identified a series of constraints, including LTC's lack of institutional sustainability without A.I.D.'s support, lack of incentives for researchers to focus on basic research, low profile of LTC and the need to shift to greater dissemination and resource constraints. ACCESS II was designed, in part, to address these key constraints.

C. THE EVALUATION

1. Approach

a. Research and Technical Assistance

The social scientists evaluated both research and technical assistance produced by LTC under the current CA and BOA. They examined (a) the overall quality and quantity of work produced; (b) impact of work; and (c) effectiveness of dissemination and synthesis efforts. This part of the evaluation was conducted primarily by the tenure specialists.

b. Institutional and Management Considerations

The evaluator assessed LTC's institutional and administrative processes, including (a) progress toward improving institutional arrangements between LTC and the University of Wisconsin; (b) the managerial and administrative procedures within the LTC to handle on-going demands of the Project and (c) institutional relations with A.I.D./Washington and Missions abroad. This component of the evaluation was the prime responsibility of the institutional specialist.

c. Financial Review

The objective of the financial review was to ensure that the Land Tenure Center maintains adequate financial management and accounting

procedures and has complied with the terms of the grant agreements and applicable laws and regulations. It was not a financial audit.

The financial review focused on the data and records available in the Land Tenure Center's Administration Office and the "summary accounting control ledger statements" derived from LTC's basic data and original records. These summaries are a part of the automated processes performed by the University's Central Accounting Office. The summaries of LTC transactions are monitored by the Research Administration Office for compliance with OMB requirements and the provisions of the A.I.D. grant agreements.

2. Evaluation Plan

Prior to the evaluation, a questionnaire was sent to A.I.D. Missions which participated in ACCESS II Project activities. Comments were solicited from the evaluators, and A.I.D. regional bureau and WID staff before the questionnaire was sent out.

The team reviewed project documents provided by the LTC and the RD/EID Project Manager. The financial specialist reviewed previous agreements, amendments and other relevant project documents, including payment vouchers, accounting system description, workplans and other relevant project reports, personnel policies, description of the Land Tenure Center's history and services. Following the team planning meeting in Washington, the institutional specialist and tenure specialists interviewed A.I.D. and non-A.I.D. personnel in the Washington area who are knowledgeable about the project.

The team made a site visit to Madison (April 6 through 10, 1992) to discuss the project with key LTC staff, relevant university personnel, members of the Executive Committee and Advisory Board, and others identified by the team.

D. LTC Organization and Staffing

1. LTC Components

LTC is an interdisciplinary research center, reflecting its conviction that effective policy research must incorporate the insights of several different disciplines. When it was created in 1962, it was cited administratively directly under the Chancellor's Office. It had a small core staff of faculty with part-time appointments in the Center, primarily from the social science departments of the College of Agriculture and Life Sciences (CALs), but also involved faculty and graduate students from the College of Letters and Sciences and the School of Law.

The LTC Library focuses on development issues and possesses extraordinary holdings of "grey literature" (memoranda, government reports, and unpublished materials) on land tenure in Third World countries. It is located within CALs's Steenbock Library, but it remains a discrete collection belonging to LTC. LTC's Library Committee determines collection and other policies.

In 1970, the Center created an interdisciplinary Ph.D. in Development Studies degree program. The degree is awarded by the Graduate School, but LTC administers the program. It now has 24 students enrolled, 10 from the United States and 14 from 9 different developing countries. Professor William Thiesenhusen of LTC and Agricultural Economics chairs the program, and the Center provides both office and student space.

2. LTC, CALS, and Campus

Until 1976, the Chancellor of the University appointed the Director and the Executive Committee of LTC, but all LTC's administrative paperwork was administered by CALS. In that year, the appointment powers were shifted to CALS as well, largely at A.I.D.'s insistence. LTC makes its own staffing decisions in compliance with University regulations and standards. The Center deals directly with the UW's Office of Research Administration, which is the actual contracting office for all UW research contracts. The Center's Executive Committee is appointed annually by the Dean of CALS on the nomination of the LTC Director, and several non-CALS members are appointed with the consent of their deans.

International activities by faculty of CALS are the responsibility of an Associate Dean for International Agriculture, who is also the Director of the College's Office of International Agricultural Programs (IAP). The Center's activities fall--as does all international activity within the College--within the general responsibility of the Associate Dean for International Agriculture. Professor Kenneth Shapiro (Agricultural Economics), who is an ex-officio member of LTC's Executive Committee. While the Director of LTC has access to the Dean of CALS, in the normal course of events the Dean would expect any issues or problems concerning international work to be taken up first with his Associate Dean for International Agriculture.

There is yet another level of administration of international activities within the University. This is the campus-level Office of International Studies and Programs, headed by Dean David Trubek. It includes the Office for International Students and Faculty and the Studies Abroad Programs and administers directly some projects which do not fall within the interests of a single college.

3. LTC Internal Organization

The Center is headed by a director, appointed at the pleasure of the Dean of CALS on the advice of the Executive Committee (EC). The director manages the Center with the advice and consent of its EC, which meets three times a year and consists of the director and the dean's appointees from among the Center's current and past faculty and staff.

In addition to its Executive Committee, the Center has the benefit of the advice of a national Advisory Board (AB), which meets annually. The Board is appointed by the Chancellor of the University to whom it reports. Its eight members include two UW faculty with

extensive experience in international activities who have not been directly involved with LTC and six members from the national university and research community whose interests overlap those of LTC and who have had substantial experience with policy-related research and university-donor interactions.

The Center is organized into an administrative unit, two regional programs (Africa and Latin America), the LTC Library and the Ph.D. program. Each is headed by an associate director. The Associate Director for Administration is Steve Smith, who began employment immediately before the evaluation replacing Dr. Carol Dickerman. The Associate Director for the Africa Program is Dr. Steve Lawry, and Dr. David Stanfield is the Associate Director for the Latin American and Caribbean Program. Beverly Phillips is the Associate Director for the Library.

Organization of LTC's research into regional programs reflects the organization of most donors and funding opportunities. Within each regional program, research is performed along the lines of the research themes under the CA, with a particular faculty or staff member responsible for each theme. Research sponsored by other donors may or may not be integrated into this framework, depending on the appropriateness of its subject matter.

Staffing patterns within the Center have changed significantly over the last ten years. The full-time research staff has expanded substantially through addition of increasing numbers of Ph.D. researchers under academic staff appointments. In 1980, David Stanfield and John Bruce were the only full-time academic staff researchers; currently there are nine such full-time researchers, six in Madison and three overseas, plus two half-time researchers overseas. LTC is, however, experiencing growing difficulties in retaining good researchers on the appointment terms and salary levels available for academic staff. Two academic staff members have recently chosen positions with other employers.

There has been a gradual decline in the level of faculty participation in the work of the Center. In 1980, there were four faculty with regular part-time appointments in the Center; currently only Dr. William Thiesenhusen occupies such a position. There are a number of reasons for this, including growing resistance by teaching departments to shared arrangements. At the same time, however, there has not been an increase in shorter-term faculty participation in LTC's research.

III. RESEARCH AND TECHNICAL ASSISTANCE OUTPUT

A. INTRODUCTION

In contrast to past LTC evaluations, the current scope of work to evaluate the research and technical assistance places much greater emphasis on critical evaluation. Pauline Peters was responsible for evaluating two themes, Institutional and Structural Dimensions of Tenure Change and Land Markets, and Nancy Diamond for the Natural Resources themes; both evaluators assessed the work done under the cross-cutting themes of Tenure Security and Gender. Because institutional factors so strongly influenced the climate for research at LTC, some of the findings and recommendations found below echo those discussed in the Institutional and Management Considerations section of this report.

B. RESEARCH

1. Quantity

Since research analysis and writing do not stop short at the end of a particular funding cycle, a large number of written products deriving from the themes under Access I have been produced since 1989. Inevitably, too, some of these feed into the work being done under the current Access II. It is not coincidental that more of the recently written products from Access I take the form of book chapters and journal articles than the current listings under Access II. The four books (Thiesenhusen 1989, Dorner 1992, Rose 1992, Bruce and Migot-Adholla, forthcoming) are also products of past research, whose themes, however, remain relevant. Research analysis and writing take time; the 'final' report to a mission or bureau will often be the first step in further analysis, synthesis, theory-building and research formulation. The gestational time of research products is often longer than a funding period.

a. Africa

i) Institutional and Structural Dimensions (ISD): Over half of the written output (total nineteen) under Access II consists of policy memos, reports and proposals to missions; the remainder include workshop reports, background papers, all of which are country specific; a bibliography, a concepts paper and a synthetic paper address broader issues.

ii) Land Markets: Half of the output of ten pieces consists of reconnaissance proposals for the peri-urban research; additionally, there is an annotated bibliography on peri-urban studies, a draft report on ongoing research on land values in Uganda, a summary of literature on land markets in Africa, and a concepts paper on this theme.

No doctoral dissertations have been produced from Access II in the Africa program though at least one (on Uganda) is in progress. Virtually all of the writing has been done by LTC staff (as opposed to University of Wisconsin faculty) to date. All activities appear to

have produced a report; concepts papers on both themes have been written and that on land markets is well on its way to becoming a state of the art paper.

iii) Natural Resources (NR): Written output for this theme under Access II consists of 35 pieces. Lawry's conceptual framework was written at the end of the Access I grant. Just over half of these documents are working and final reports based on field research in Mali, Uganda and the West African Humid Zone (Cameroon, Nigeria and Togo). This set also includes French translations for four English documents. Approximately one-third of the outputs are of a more academic nature. These published articles, research papers, workshop papers (including 2 French translations) include regional and topical overviews. Several of the latter category are quite close to state-of-the-art papers for particular topics within the sub-themes. The remainder of the outputs consist of reports on field-level impacts and lessons learned from short-term consultancies (both ACCESS and non-ACCESS funded assignments). It appears that there is at least one report available for all activities.

Under the NR theme, authorship is distributed amongst several types of researchers. LTC academic staff, with Ph.D. and Master's level credentials, are responsible for the majority of the work. The balance of the research is accomplished by University of Wisconsin-Madison graduate students and host country researchers. To date, there has been no apparent involvement of UW non-LTC faculty under the Natural Resources theme in Africa.

b. Latin America/Caribbean (LAC)

i) ISD: Approximately half of the output of some two dozen papers under this theme are trip reports, reports to missions, policy papers and project proposals, with the remaining half being research papers, syntheses, and more reflective pieces.

ii) Land Markets: Most of the written output of over a dozen papers are project reports to missions and papers reporting research results (six on Guatemala), and three synthesizing papers.

In addition, four doctoral dissertations (two under ISD, two under Land Markets) were produced. Rather more of the reflective, comparative or theoretical pieces were produced by faculty members of University of Wisconsin associated with the LTC than by LTC staff. No new concepts papers on these themes have been written largely, it seems, because the work done under these themes has continued relatively unchanged from Access I. For example: the "land market theme has absorbed part of the Land Titling and Cadastral Systems theme" and is understood to direct research to seeking "a better understanding of how land transfers (including market transfers) operate" (LAC Program Workplan, 1990, pp.6-7). A major synthesis piece on The Reform of Rural Land Markets (Shearer, Lastarria-Cornhiel and Mesbah, 1991) may be seen as both a synthesis of what has been found to date and a concepts piece for the 'new' theme.

iii) Natural Resources (NR):

ACCESS II funds have supported, at least in part, seven LAC papers. Two additional LTC papers were funded through other means. The conceptual framework is articulated in a short piece from the theme coordinator and further refined in two research papers, two published and in-press articles/papers and a workshop paper authored by a LTC faculty member. An annotated bibliography focuses on community resource management in the region. This theme was explored in greater detail in a literature review for Mexico. Also, a comparative study based on past LTC research reports resulted in another published article.

To date, there has been no short- or long-term field research, including technical assistance, under this theme in the LAC region. Several reasons were offered by LTC and A.I.D. staff to explain this deficit: 1) inadequate finances and staff resources, 2) external perceptions of LTC expertise, and 3) long-standing tensions among some LTC staff and several USAID mission officers. First, unlike Africa Bureau, LAC Bureau and its Natural Resource programs have endured significant budget reductions during the last few years. As a result, ACCESS II provides only half of the salary of the LTC/LAC program coordinator. This individual, together with only one other staff member who bears heavy faculty and administrative responsibilities, is responsible for managing all three research themes. Second, much of LTC's work and networking prior to ACCESS II focused on agricultural and pastoral lands. As a result, the current cadre of LTC researchers in LAC do not seem to be well-identified by those in the natural resources and environmental communities (academic, government and NGO) as having a particular expertise in the issues related to forests and other types of biological reserves (e.g. coastal zones, watersheds, etc.). Third, opportunities for technical assistance or other field research may be limited by the presence of long-standing tensions, which are based on many years of working together on contentious and politically sensitive issues, among some LTC/LAC program staff and several USAID mission staff in the region.

c. Cross-Cutting Themes

i) Tenure security: most of the publications are listed as deriving from Access I, though a perusal of current research indicates that this issue is interwoven through the main thematic research and technical assistance work conducted by LTC.

ii) Gender: In total, there are eight papers listed as gender theme outputs. Half are research reports and the balance consist of a draft conceptual framework, a progress report to A.I.D.'s WID office, an attempted re-analysis of some of LTC's past survey work and the proceedings of an in-house LTC/UW awareness-raising workshop on gender analysis and natural resources. Almost all of the re-analysis has been conducted by either graduate students or host country researchers, rather than LTC academic staff. The Gender theme coordinator is currently working on an Analytical Framework based on a review of the literature; and a workshop on Gender Analysis in Tenure

Research is scheduled to be organized for A.I.D. staff in the fall of 1992.

2. Quality

a. General

Given the time allotted to the evaluation, it has been impossible to read every piece of written work produced under Access II. Nevertheless, a judicious selection of materials was attempted and included all the main concepts papers and synthesis pieces and a selection of other reports, totalling about half of the materials made available (and all those on gender). The criteria used to judge the research papers included: clarity in definition, and appropriate selection, of the research's premises, questions, methods; adequate attribution and reference to main bodies of literature and/or to key debates on the thematic and regional areas of research; logical inferences and conclusions drawn from documented findings; timeliness and priority among research topics; identification of audience. Judgments on the quality of the research have also been based upon opinions about LTC work solicited from researchers working on similar issues and comments by A.I.D. personnel.

Overall, the quality of the applied research and policy advice done under the themes Institutional and Structural Dimensions and Land Markets is very high in both AFR and LAC Regions. There are differences of emphasis between the two regions that derive, in part, from the different historical and current conditions of the respective areas and, in part, from different interests and approaches among the researchers. For the most part, this diversity is positive; aspects of the work that might be reconsidered or redirected are indicated below. The quality of the research publications could be improved by putting many of the papers through a further round of refinement (see below).

For the Natural Resources theme in Africa, the quality of the applied research and policy advice is excellent. For LAC, the NR thinkpieces and applied research are of good quality but fall somewhat short of the cutting edge. LAC's work would be significantly enhanced by both long and short-term field research, technical assistance and policy advising. In addition, greater interaction between LTC LAC researchers with other NR theme researchers at LTC, in addition to the broader natural resources/environmental community on- and off-campus, would strengthen work under this theme. The significant quantitative and qualitative differences between the two regions result from gross differences in funding levels, the level of critical staff mass/expertise, structural relationships among LTC, UW and A.I.D. (including R&D/EID, Regional Bureaus and USAID missions) and the complex web of personal relationships between LTC staff and USAID personnel.

b. Africa

i) Institutional and Structural Dimensions and Land Markets

For different reasons, the work done under both Land Markets and Institutional and Structural Dimensions of Tenure Change themes has been slower than desired by the LTC staff, although this opinion was not expressed by A.I.D. personnel. In the case of Institutional and Structural Dimensions, this is due to too many demands on the director, who is also coordinator of this theme. In the case of Land Markets, the concentration of effort on "peri-urban markets" has made excessive demands on administrative energies due to the research design depending on close coordinated planning among three different institutions (cooperators) and to the difficulty of gaining access to suitable research sites.

It is generally accepted in the wider research community that LTC's research has contributed to, synthesized, and disseminated what has been termed the "revisionist" interpretation of "communal" tenure in Africa, namely, that the gloss 'communal' first popularized by colonial authorities to describe indigenous land rights overemphasizes group control and underemphasizes the rights of individual users, and that 'customary' tenure has not been a necessary hindrance to either individual security of tenure or agricultural investment. This view is now dominant among researchers though not yet among all policy-makers. The recent World Bank research in selected African countries on the relation between tenure rights and investment (Migot-Adholla, Hazell and Place 1991) is only the latest to confirm the conclusions of LTC research in Africa (see below for Latin America). The policy lessons drawn from such research are that titling and registration programs are not a panacea for agricultural growth, that the utility of such programs varies widely from country to country and has therefore to be assessed carefully for each case, and that both security and investment in land depend on other conditions (policies on prices, provision of services, credit, infrastructure, etc.).

Under Institutional and Structural Dimensions of Tenure Change a selected sub-theme for research is "understanding adaptation". This refers to the processes by which 'communal' tenure rights become more individualized over time in the face of increasing commercialization and population density (Bruce and Freudenberger, 1992). In policy terms, this leads to the LTC advising a policy approach of 'adaptation' or 'evolution' for customary tenure rather than one of outright 'replacement'. (This recalls a similar contrast between the 'greenhouse' and 'blueprint' models of rural development found elsewhere in the literature on African development).

Two logical corollaries of this view, emerging out of a large body of research to which LTC has substantially contributed, are found in two other sub-themes under Institutional and Structural Dimensions. First is the role of a "supportive" or enabling legal framework, including the place of legal codes and "framework laws", and of institutional (administrative and organizational) mechanisms. Second, is the means by which one understands processes of 'adaptation' and

change in tenure rights and, here, LTC has joined CILSS and the Club du Sahel in using dispute resolution as a window onto those processes.

These three sub-themes form a coherent agenda for research and action with respect to tenure change. A couple of comments, based on other research on land tenure and property rights in Africa, are in order. First, while the 'adaptation' model rightly points to the internal dynamics of change in customary tenure and expresses skepticism about the effectiveness of state-led tenure change, it is important to recognize that 'adaptation' must also take account of a dynamics of unequal access to resources in many instances. The conception of the state's role being more appropriately one of providing an 'enabling' environment for tenure change must always be seen in relation to careful socio-political analysis of the existing patterns of access to land and other resources. (An example where these concerns are important for research and policy advice is the current review of land tenure and rights in Uganda). Secondly, a caveat can be expressed on too simple an assumption that population density and market forces lead to "atrophy" of communal tenure and to individualization. Other research, for example, documents for some parts of Africa a 'proliferation' of claims to land and in others the 'incorporation' of users of water and pastures other than the titular owners.¹ Such apparent heterogeneity of processes indicates that rights to resources and patterns of use are influenced by more specific economic and political conditions as well as by the general trends of population increase and commercialization. The research agenda for Institutional and Structural Dimensions should therefore ensure that its design include attention to the particular political and economic conditions within which land transfers and tenure change take place.

Similarly, dispute resolution can be a powerful lens onto processes of change in tenure. It is important to avoid any tendency for what is essentially a method of research to float without an anchoring theory or hypothesis. One would like to see more emphasis in the LTC research design on the strategic use of dispute resolution for looking into the multiple and intersecting levels of legal authority (whether hierarchies of national, district, village, clan, etc. or parallel systems of magistrates' courts and customary courts) that impinge on tenure and patterns of use.

¹ Research by Sara Berry and Paul Ross in different parts of Nigeria, for example, document such proliferation of claimants although it is important to point out that the presence of multiple claims to an interest in the land is not identical to their being multiple users of land with consequent fragmentation; Ornulff Gulbrandsen describes processes of incorporation for a southern region of Botswana. Other research identifies processes of individualization, like that of LTC. The important point is that there is not a single trajectory of change but multiple, sometimes contradictory, processes that are important to disentangle for policy purposes.

The fourth sub-theme, institutional models for common property resource management, is not well-placed under this theme, suffers from a lack of coherent reference to what is now a huge literature on common property resources, and should probably be moved wholesale into the theme of Natural Resource Management. Obviously, there should also be strong links between the two themes in facilitating a fuller understanding of the institutional bases of common property management: for example, dispute resolution would be effective in inquiring into the latter, and the issue of 'adaptation' can be addressed with reference to common property.

The concepts paper on Land Markets is an excellent beginning towards a state of the art paper (Roth, 1991). It draws on well established LTC findings such as the dynamic nature of customary tenure and the often indifferent or even negative effect of titling programs on tenure security to suggest, persuasively, that the research and policy task is raising more subtle questions. Thus, the issue in attempts to improve agricultural production is not 'should we title or not title' but what are the sets of conditions "underlying the problem of stagnant investment possibilities in agriculture", and are there situations in which registration and titling might assist in overcoming such 'stagnation'? The paper argues strongly for seeing such issues as land titling or tenure security within "a broader environment of market forces" or in broader, though carefully specified, sets of economic and political conditions. In this view, important research questions can be posed such as the relationships among land markets, forms of transfer within an 'adaptive' customary tenure system, agricultural policies favoring particular categories of producers, and patterns of agricultural investment and output.

Apart from the concepts papers, work produced under the Institutional and Structural Dimensions theme has been mainly mission-funded reports on work done on land tenure and divestiture in Mozambique, land law in Guinea Bissau, land tenure in Malawi, a bibliography on land tenure in Senegal, conflict over land in Mauritania, and a couple of background papers on Zimbabwe land use. These are laying some of the ground for pushing forward the research under this theme and, presumably, should provide the material for state of the art and synthesis papers. The work on dispute settlement is still in the 'talk' phase, largely it seems, because of a close dependence on the Club du Sahel/CILSS group.

Work under the Land Markets theme has been almost entirely on the Peri-Urban Project which, as noted, has faced difficulties in establishing field sites. The work done in Mozambique, including that of the LTC team, was extremely well received both in Mozambique and A.I.D./W. The costs of close coordination among three cooperators seem unduly high, however, and may be hindering what is otherwise an important research topic. It may be a more effective strategy to not tie the cooperators so tightly together by having them look at different markets in the same site(s) but to have them focus their research on similar questions about peri-urban markets and their linkages with rural markets, to include as much comparable design as feasible, and to carry out the research independently.

Separate funding is allowing the LTC Land Markets coordinator to progress with synthesis work under this theme. The work being done in Uganda on land tenure and land valuation falls, partly, under this theme. In some ways, this proved to be an ideal situation with a first mission to look at land tenure leading to a short term research activity with close collaboration with host country researchers, a workshop, recommendations to government, and to a (current) longer term research study of issues arising out of the prior stages.

ii) Natural Resources

The work under the Natural Resources theme in Africa is divided into three landscape sub-themes: on-farm, in the commons and in reserves (forests and other sites of high biological diversity). In overview, the work represents a coherent research program. To date, LTC's best work and comparative advantage under the ACCESS II project has been tenurial research in agricultural and communal pastoral settings. As part of ACCESS I, LTC pioneered comprehensive research on tree and land tenure research related to agroforestry. Under ACCESS II, the tenure-related agroforestry work has been primarily located in West Africa. The research program is a coherent mix of both short and long-term empirical multi-disciplinary research with important and timely policy impacts. McLain, in particular, received consistently high praise from evaluation informants (in addition to a standing ovation by Sahelian forest policy makers at a recent meeting) for her solid empirical research and sound policy recommendations for forest code changes. It is also important to note that work under this sub-theme has been highly relevant to the needs of NGOs engaged in agroforestry activities.

ACCESS II research under the commons sub-theme also builds on related ACCESS I work. Swallow makes an important conceptual contribution to the literature on pastoral common property management with his state-of-the-art paper on coordination across tenure systems. Lawry, in his published article, "Tenure Policy toward Common Property Natural Resources," positions much of LTC's work within the on-going debate of local community versus state control and management of natural resources. Arguing that local communities are often too weak to manage on their own, Lawry supports "co-management" of natural resources by both local communities and the state.

Literature from the broader natural resource and environmental community often over-emphasizes the ability of strictly local groups to achieve sound conservation methods, mistakenly assumes the presence of a benign or neutral state which has the political will to selflessly co-manage resources with local communities and generally omits recognition of the serious differences in rights of access to key resources found within "communities." LTC can play a critical role in this area by refining the conceptual details of co-management and identifying appropriate co-management models for different regions and situations. Given crucial political, social and historical differences between Africa and Latin America, LTC/LAC staff should exercise serious caution before borrowing African-based concepts of co-management and applying them to LAC situations. With respect to state-local relations, much could be learned from expanding the

disciplinary base of LTC research to include the fields of sociology, anthropology, political science, political economy and history. These relations can also be explored through particular methodologies and the evaluators support continuation of the recent methodological work by Freudenberger on participatory rural appraisal with representatives of government and non-governmental organizations.

The ACCESS II work on tenure issues related to reserve and buffer zone areas is still nascent. Given LTC's past work and strengths, it is understandable that much of the work under this sub-theme is still focused on agricultural lands and buffer zones, rather than the reserves themselves. For example, work by Bloch and others (e.g. Thiesenhusen in LAC, see below) assumes that stronger and more individualized rights on agriculture lands, either distant or adjacent to reserves, will "encourage greater intensification of land use on rural holdings, and hence reduce pressure on the reserve areas" (LTC 1991-92 Workplan, p. 9).

However, very little research attention has been given to the land rights of indigenous forest peoples with the exception of an exemplary analysis of Zaire's Ituri Forest found in an A.I.D. workshop paper given by Peterson (a graduate student affiliated with LTC). In addition to being on-target topically, Peterson provides the reader with a thorough understanding of first de facto and then de jure tenure. He then takes the extra, yet crucial step of placing his case study within the regional political economy of Zaire.

Other LTC research in this area appears promising. Bloch's workshop paper and proposed work has the potential to make a valuable contribution to the literature on the tenurial issues related to buffer zones and reserves. In general, the economic aspects of these issues have been underexplored. The work in Uganda by Marquardt and others has great potential but has been slowed as a result of his heavy involvement in administrative tasks for MISR (Makerere Institute for Social Research).

Because reserves are a relatively new landscape and disciplinary niche for LTC and because of the nature of the work, it is essential for LTC to integrate UW faculty and the broader academic, NGO and government community into research plans, design and implementation. Given the growing funding levels for natural resource and environmental research, it seems likely that LTC's sustainability may depend on greater collaboration with other A.I.D. and non-A.I.D. funded environmental organizations. It is recommended that these links are made and strengthened sooner rather than later.

c. Latin America and Caribbean

i) Institutional and Structural Dimensions and Land Markets

The work under the themes of Institutional and Structural Dimensions and Land Markets has been reduced in the past few years because of a shortage of funds available for research under the Project and a concomitant shift of staff time to other funded activities. The budget of the LAC bureau in A.I.D. has been severely

cut, particularly the agriculture budget which, unlike education and health, is not earmarked. In turn, monies for research activities have been particularly cut so that the ACCESS project is only one among many negatively affected. LAC's position is that research should be funded by R&D. Another factor is that research on land tenure or related property rights in the politically volatile and sensitive conditions that frequently obtain in the Latin American region sometimes creates tension between researchers and A.I.D. personnel and/or government representatives. This is probably inevitable (and certainly not unknown in the US) but does appear to be more of a conditioning factor for LTC research in Latin America than in Africa, at least to date.

The research on agrarian reform and structural transformation in agrarian societies in the LAC region carried out by researchers associated with LTC has a distinguished record well beyond Madison. A recent book edited by Thiesenhusen, for example, documents some of the pervasive patterns in the region of an inequitable land distribution with wealth, income and welfare keyed to it, and argues that one still has to pose the question of how to foster "a mutually reinforcing paradigm of growth, distribution, and natural resources conservation" (1989:25). It appears that the research at LTC has benefitted by being closely associated with such a viewpoint, though the power of this key development question has been reduced in recent years by a lack of funds and demand from the LAC Regional Bureau.

Parallel with the research on agrarian transformation (only some of which has been directly funded by ACCESS), is a more applied research on technical and administrative procedures for titling and registration programs, the development of land information systems, and institutional requirements for land banks and land purchase-sale mechanisms. These have proved to be of particular utility in technical assistance and research by LTC academic staff for several countries in the region, and constitute a large part of the focus of the LTC advisor in the LAC Bureau. The role of titling land in economic development remains a question for research. Studies done by LTC and others have found a positive relation between titled land and farm output in some cases (eg. in Costa Rica and Ecuador), but no association in others. Such indeterminacy of outcome when considering the effect of titling or registration per se is similar to the findings from Africa. These studies highlight the need to determine the other factors that condition the effect of titling (cf. Stanfield et al., 1990).

While the above work is considered to fall under the theme of Institutional and Structural Dimensions of Tenure Change, in practice there is a great deal of overlap between it and that done under the Land Markets theme. One major activity under the latter, for example, has been research on a land purchase-sale program in Guatemala, and a series of reports and papers on such topics as property registries, urban land use, and land market finance. A newer focus on an 'economic theory of land markets' with particular reference to the promotion of 'non-traditional export crops' is being developed by a UW faculty member and may reorient part of the LTC research in that direction. Clearly, the question of tenure--the rights to land and

other resources--is central to the way in which programs promoting non-traditional export crops affect agricultural growth and the distributional outcomes of such growth. It is therefore of some concern that recent statements by the LAC Regional Bureau and Missions appear to relegate tenure to the bottom of a priority list for action. It is hoped that LTC and the ACCESS project would play a more effective part in demonstrating the ways in which policy for agricultural development might take account of resource tenure.

The economic theory of land markets is also highlighted in a very useful report on *The Reform of Rural Land Markets in Latin America and the Caribbean: Research, Theory and Policy Implications* (Shearer, Lastarria-Cornhiel, and Mesbaï 1991). This report is a clear, thorough and thoughtful assessment of research to date and also raises useful research issues for the future which should build on and deepen the knowledge accumulated to date. Although listed as a synthesis report on the common themes from Access I, this report could also be seen as providing orientation ('concepts paper') for the current themes. For example, Ecuador could be a particularly interesting base for longer term monitoring research into land markets since it appears to have two distinct patterns of land transfers and an expansion of farming into fragile areas that were formerly public lands (op.cit.:27). Again, the section on the economic theory of land markets which poses questions about the effects of a land market in situations of imperfect capital and labor markets, lists a series of hypotheses related to Binswanger's propositions about agricultural subsidies and land markets. These could act not only to conduct carefully framed research in the LAC region but also to lead to comparative research between LAC and Africa. However, such a program would probably require not only more funding than is now available to the LAC program but also extra staff at LTC.

ii) Natural Resources

As described above, research under the Natural Resources theme in the LAC region has been primarily opportunistic due to limited funds and other constraints. The sub-themes are not well-defined at present. Research could logically be organized under the same landscape typology used by the Africa NR staff. Another alternative would be to focus on the multiple levels of social analysis (e.g. household, community, district, the state). The latter alternative would facilitate gender and social group analysis, as well as lead to a better understanding of the relationship between tenure arrangements and the social relations of production. Given that tenure is all too often used as an inappropriate proxy for both social stratification and social organization in LTC work, the latter approach seems preferable.

The LAC work in NR has further refined a conceptual framework outlined by Stanfield and Thiesenhusen. As with the African reserves sub-theme, this framework draws from the extensive agricultural-based experience of both LTC staff members. The framework attempts to draw attention away from the reserves themselves and return the focus to tenurial issues related to agricultural lands. Under this framework, natural resource degradation is the result of inequitable land use

patterns on agricultural lands. Degradation of reserve and agricultural land occurs when mushrooming populations of agricultural refugees are forced to migrate or expand into reserve areas. The migrants take on a new conceptual identity and become "squatters" who are "encroaching" on government reserves. Under the framework, indigenous forest populations are given scant attention. Also, some of the writing implies that these people are also migrants from an earlier era and hence, "squatters" in their own right.

LTC's work succeeds in reinforcing the important links between agricultural land tenure and natural resource degradation. These links are all too often ignored or minimized in the environmental literature, although natural resource management and land use planning workers generally include these issues in their analyses. However, as latecomers to natural resource issues in general and forest/reserve related issues, LTC would benefit intellectually from greater links with other researchers (academic, non-governmental and government) working on similar issues. For example, if LTC is recommending land use intensification on agricultural lands as a means to decrease degradation of reserve lands, then increased degradation of agricultural lands is a likely consequence. Collaboration with workers in sustainable agriculture and agro-ecology may yield further theoretical insights. In a similar manner, the use of loaded language such as "encroachment" and "squatters" tends to preempt analysis. Collaborative work with anthropologists and sociologists seems likely to lead to a better understanding of the tenurial dimensions of a wide variety of actions and actors in reserve lands and at their borders. And finally, LTC needs to seriously address the important questions related to the ancestral tenure rights of indigenous forest people who live in lands which are claimed by states as "reserves."

These conceptual weaknesses on community management of natural resources in LAC are repeated in several works. The authors inadvertently imply that community management of resources is generally a new phenomenon. When two traditional resource management systems are described, it is the manipulation of plant materials rather than social organization which is emphasized. Vargas' literature review of community forest management in Mexico provides a more in-depth review of administrative arrangements but is also short on analysis of social organization within communities.

d. Cross-Cutting Themes

i) Tenure security.

As noted above, this theme is well interwoven throughout much of the LTC work (in both research and technical assistance). It is so intrinsic a concern in the access to land and other resources that it seems doubtful it would cease to be a central issue of research.

ii) Gender

The LTC Gender analysis work to date. Unlike tenure security, gender has not been a central concern of LTC research in the past and is only now being given serious attention, facilitated by the new

funding from the A.I.D./WID office. A beginning has been made in raising gender issues in LTC work. While progress would doubtless be faster if the coordinator were able to give more than half time to this theme, the aim must be for the integration of gender analysis into all LTC work rather than an ad hoc "add-on", which unfortunately is only too typical in development (and other) research.

LTC had hoped to derive some gender-related findings from research already carried out. This effort has engaged several graduate students and the coordinator but, because the data being re-analyzed were not collected in a gender-disaggregated manner, very little can be said to have been achieved so far. However, the report on the Somalia research, while inconclusive for the reason just mentioned, raises some important questions that could be considered as input to future guidelines on carrying out gender-aware research on tenure and related issues.

The proposed Analytical Framework for incorporating gender issues in tenure research is at an early stage of conceptualization. The workshop conducted for the benefit of LTC and UW researchers was reported to be a useful beginning in helping the latter to consider how to incorporate gender analysis into their work. To build on the awareness engendered by the workshop, the evaluators recommend that the gender theme coordinator play a greater role in the collegial review of proposed research design and the analysis of results.

Links between LTC and UW faculty on Gender Analysis. The LTC coordinator has also been closely involved in a University effort to gain funding for incorporating gender analysis into the teaching of international studies. One hopes that the activities to be carried out under this program (which has received outside funding) will also redound to the benefit of LTC, and we urge the coordinator to ensure that LTC's research needs are addressed. Along the same lines, it would appear that LTC and the gender theme coordinator could benefit from closer involvement of some of the University faculty and research staff who are experts on gender analysis.

Thought should be given to how relatively modest funds could facilitate such a collaboration: for example, release time for a faculty/staff member to work with LTC staff on a specific set of research topics and/or in a working seminar on a set of specific gender-related tenure issues. The production of guidelines, conceptual frameworks, research findings, etc. could also be on the agenda of such collaborative meetings. Furthermore, the gender analysis work and future workshop planning would greatly benefit from more regular communication and consultation with the A.I.D./WID coordinator.

Integration of Gender Analysis into ACCESS work. The evaluators were concerned that the present placing of gender analysis as a cross-cutting theme at the end of the workplan and lists of papers signifies the problem of "add-on" rather than incorporation. It should also be noted that the funding mechanism at A.I.D., whereby A.I.D./WID funds are an "add-on" to an existing project, ironically lends itself to such an action being also a conceptual add-on. While there are more

references to the roles of women vis-a-vis resource use within LTC's African literature than is true for the Latin American work, there is still a great need for systematic analysis of the gender division of labor and rights to resources.

In addition, some LTC researchers and A.I.D. officers (exclusive of the R&D/WID office) tend to equate gender with female-headed households. There is now a quite large body of literature on this improper conflation. The evaluators suggest that an immediate task of the LTC gender coordinator should be to provide LTC staff with even very basic findings from the gender (and 'women in development'²) literature.

We recommend two complementary approaches for LTC: (a) rather than a cross-cutting theme, gender analysis ought to resemble tenure security in becoming a full part of all themes; and (b) the formulation of studies specifically directed to gender issues to be carried out under the existing (or any modified) themes.

C. TECHNICAL ASSISTANCE

1. Quantity and Quality

A great deal of effort by LTC staff has gone into carrying out technical assistance to A.I.D. missions in both regions. If, as one A.I.D. officer said, the 'acid test' of success for cooperators is their work for missions, then LTC has passed with flying colors according to the responses by missions to a questionnaire. While the opinions of those missions not responding are not known, the responses received (five from Africa, four from LAC) were all favorable towards the quality of LTC staff, the work produced, and collaboration with host country nationals. Two noted that the timeliness of response with regard to reports could be improved (Guinea Bissau, Guatemala), while the others felt that LTC staff were, in the words of the Costa Rica Mission officer, "on time and on target". In all cases, the work was considered to be relevant or highly relevant for mission and government needs, and in some cases, was strategically important in redirecting government policy discussion or action (Guinea Bissau, Mozambique, Uganda), or would have been were it not for lack of funds (Jamaica).

From the Washington end, LTC work seems particularly appreciated in the Africa Bureau, receiving high marks for policy relevance, responsiveness to A.I.D. requests, collaboration with other cooperators and other agencies (eg. The World Bank), and overall quality of work. Response in the LAC Bureau was more mixed for the reasons given above (severe cuts in LAC funds) as well as concomitant shifts in priority focus areas, and changes in staffing.

2 The evaluators prefer the term gender analysis in development rather than women in development for well-established conceptual and methodological reasons that would be inappropriate to elaborate in this document.

The few funds available from LAC Regional Bureau have been spent on the position of the LTC advisor on tenure policy to the Bureau. His task is to "review the adequacy of various countries' legal structure with regard to property for the promotion of a positive private sector response and support for the historically disadvantaged". Recent work has included legal reviews of land markets, property rights and rural land ownership in Venezuela, land law and policy in Nicaragua, counter-narcotics proposals, proposals for community resource management, environment, and land information systems in Bolivia and Guatemala. This legal work done to date by the LTC advisor was highly rated by LAC.

Several A.I.D. and LTC staff expressed disappointment over the decrease in the number of LAC Mission add-ons for research generated under ACCESS II in contrast with the number requested under ACCESS I. It is not clear if the reduction in the number of add-ons can be attributed to the type of expertise held by the in-house LTC specialist posted to the LAC Bureau in Washington (social scientists vs. attorneys). Several evaluation informants attributed this difference to the abilities of the social scientists to identify issues which require further socio-economic tenure research and to explain the programmatic relevance of tenure and resource rights to current LAC policy-makers.

2. The Links Between Technical Assistance and Research

Both complementarity and tension occur between technical assistance activities and research for LTC staff. On the one hand, technical assistance can facilitate entry to a research site and may also be a first step to research (as in Guinea Bissau, Mozambique, Uganda). In addition, opportunities for technical assistance provide the chance of 'ground testing' of research findings. However, too frequent trips for technical assistance can hinder research, especially the time-intensive tasks of analyzing and writing. While the potentially beneficial links for both theory and application can be seen from technical assistance, the one thing many LTC staff find themselves short of is time to write. If the LTC is expected to remain "on the cutting edge" of applied tenure research, as A.I.D. would like, its staff have to be able to obtain more funded time for writing and thinking.

Several A.I.D. officers in Washington commented that a primary purpose of cooperative agreements is to put top researchers at the (partial) demand of A.I.D.. In order for such researchers to maintain their utility in providing excellent skills in both rapid and informed assessment of policy situations and the longer term research (in field and library) on which such assessment ultimately depends, the LTC needs to be able to build time into the researchers' schedules for analyzing and writing. That time is needed to fully exploit their data, to draw generalizable propositions for policy guidance, and to avoid the blunting powers of 'routinization' in research.

This issue was one that took a great deal of the evaluators' time in discussions with both LTC staff and members of the University

3. The Relevance for Links Between LTC and University for LTC Performance

It is clear that while there are tense points of contact between LTC and the University (namely, financial arrangements and the disjuncture between the rhythms of a teaching University and those of international policy advisors), the overall relation is mutually enhancing. Both tension and complementarity affect research in the following ways. The involvement of faculty members in LTC research and policy advice appears to be of great importance for the Center. Some of the intellectual power of LTC work derives from the faculty members' roles in the design and implementation of research, in the supervision of the many students who have worked as research assistants at LTC, and in policy advice. Key ideas that help keep LTC research fresh may come from the involvement of active professors; the emerging research on 'non traditional export agricultural crops' and on economic theories of land markets is an example.

But, in turn, LTC has to have something to offer the faculty members. This is particularly true for the younger professors who are usually overworked with teaching loads, graduate student supervision, and their own efforts in the publication race. Most are interested in gaining relatively modest support for graduate student field research and/or analysis time and for short spells for themselves.³ Indeed, the work done by faculty with LTC appears to be very inexpensive for A.I.D.. In sum, both LTC and A.I.D. benefit from the continued involvement of faculty members in LTC's work.

On the other hand, it is important to recognize that most of the actual fieldwork and virtually all the policy advice is carried out by LTC staff; and that most of the intellectual power generating the work comes from the staff. Therefore, in any closer relation to be forged between LTC and the University, one must consider not only how to facilitate greater integration of faculty into LTC work but also how to help LTC staff acquire time for writing and thinking, that is, for recharging their intellectual powers. It should be recognized that some of the academic staff at the Center will stay for only a few years before moving on to an academic position. Rather than seeing this as a necessary disadvantage, such a movement may help keep the Center on its intellectual toes. To that degree, some staff will be just as anxious to maintain a good publication record as their faculty colleagues. Hence, provision for more writing would seem to be a necessity for the future of the Center.

Clearly, it would be better if there is not too great a turnover among researchers, and a multi-year contract for academic staff rather than the single year contract now in place would help maintain high-

³ All faculty members interviewed by the evaluators expressed their appreciation of LTC for a) providing research opportunities for students, b) bringing interesting experts on international and development issues to the campus, c) providing an intellectual home for students to learn about and research contemporary issues of structural change in non-western societies.

quality research talent. Time for writing is important not only for ensuring that researchers maintain their edge but also to facilitate a greater degree of synthesis and publication beyond the working paper or report than is presently possible. Again, both the Center and A.I.D. would benefit from publications that would synthesize and refine research findings and that would merit a wider dissemination.

LTC (and the University) might consider greater use of post-doctoral fellows: a program providing for, say, a two-year stint of research at the Center would be attractive for many newly minted doctors of philosophy as well as for infusing new ideas and energies into the research activities. Finally, it would seem there is a need for greater integration with and involvement of UW faculty (and possibly other visiting faculty) in the under-represented social sciences of anthropology and political science and in natural sciences.

D. RELEVANCE AND IMPACT

As a policy research center, LTC's work falls mainly into applied research. As noted above under consideration of quality, LTC's work has significantly influenced policy research on tenure. In addition, good applied research can be expected not only to draw on the theoretical literature but also to contribute to theory-building. It is probably fair to say that LTC's record is better known in applied or policy research than more broadly in the academic community. It is felt, as noted at several junctures of the evaluation, that more impact on the broader research community could be expected if a greater degree of refinement of published results were achieved.

Insofar as the themes of Institutional and Structural Dimensions of Tenure Change and Land Markets are concerned, LTC has had most influence in the following areas: the 'adaptive' characteristics of customary tenure in Africa, the lack of necessary association between titling and registration programs and either increased security or higher agricultural productivity in Africa and LAC, the need for scrutiny of legal codes and judicial practices in tenure change, formulating appropriate 'enabling legislation' or 'framework laws' (Africa), devising land information systems (LAC), mechanisms for land banks and land taxation systems (both regions).

While the LTC's forte is in applied research, such work does not, of course, proceed without reference to theory or analytical frameworks. The recent use of dispute settlement as a window onto tenure change is one example of how policy research can draw on theoretical and methodological approaches in social science disciplines; the current interest in the policy and economic environments of land markets is another. In turn, such research can generate hypotheses, models and approaches able to be replicated and/or modified in cognate research areas, contribute to the theoretical literatures, and to comparative research, such as that on patterns of agrarian reform. Here again, a truly collaborative relationship between LTC staff and UW faculty can be a productive means of advancing knowledge in both applied and 'basic' research.

Under the Natural Resources theme, LTC research has made a substantial and cutting edge contribution to our understanding of the policy implications of several natural resource issues, particularly in Africa. For example, work on African land and tree tenure issues related to agroforestry promotion efforts has proven to be directly relevant to the current revisions in Sahelian forest codes. The proposed revisions are based on LTC's theoretical premise that tree-planting activities are more heavily dependent upon secure tree tenure rights than on land tenure per se. In addition, LTC African work articulates and advocates two middle-ground positions for both community-state co-management of natural resources and also the coordination access model of pastoral resource management. The latter serves as an alternative to existing theoretical models which favor either individualized private or common property management regimes for pastoral areas.

In the LAC region, the NR theme conceptual framework seems likely to strengthen equity and efficiency arguments in favor of more equitable distribution of agricultural lands by providing the additional rationale of environmental degradation. Theoretically, LTC's work on the latter topic argues that natural resource degradation by agricultural migrants to reserves can be slowed or stopped by more secure access to agricultural lands (preferably individual tenure).

Library and Ph.D. Degree in Development Studies. The evaluators were quite impressed by the depth and breadth of the LTC library collection. Due to the efforts of Ms. Beverly Phillips and her staff, the collection successfully represents multiple disciplines and both conventional and fugitive literature. During the last three years, new book acquisitions have been most extensive on African themes and gender-related works.

In some sense, the name of the collection is a misnomer and undersells the collection. It is not narrowly focused on tenure but instead covers a broad range of rural development topics. If the strengths of the collection were more widely known beyond UW, it seems quite likely that other researchers would pay for searches and copies of fugitive documents pertinent to their work.

In general, the UW informants indicated that the students in the Ph.D. program in Development made a valuable contribution to the work of LTC. The students conduct a significant portion of LTC's field and library research, provide occasional technical assistance and sometimes author LTC research papers. Despite the occasional logistical and financial difficulties presented by being students unaffiliated with a conventional department at UW, most students seem to manage quite admirably. From A.I.D.'s perspective, the work of graduate students has both current and future value. The latter is realized as graduates continue working for LTC or on other A.I.D. activities. More broadly, A.I.D.'s support may be seen as contributing to the next generation of development specialists it will need for future A.I.D. programs.

Collaboration with host country research institutions. LTC has a very good record of working with host country researchers and research institutions in both African and LAC countries. The Mission responses to the questions about such collaboration all gave full credit to LTC for its achievements in this regard. Where the collaboration was not as successful as desired, the Mission officers noted that this was due not to LTC but to the host country nationals or to administrative constraints in country, as in Mozambique where the Mission gave LTC an "A+" for its efforts.

If the funds were available, it might be worth considering a program in which LTC would host foreign researchers for a year at a time in Madison. This could provide the foreign researchers with the opportunity to analyze and write up research findings, to benefit from close collaboration with LTC staff and/or UW faculty, and from the libraries, seminars, and other advantages of the campus. If such a program were coordinated with scheduled time for LTC staff to write, both the latter and the foreign researchers could benefit from the collaboration.

Workshops and conferences. The workshops or conferences conducted by LTC (approximately one a year) have been highly recommended, both those in the US and abroad. Apart from the immediate benefits of what they teach or provide through papers, such activities have been appreciated for putting tenure and land policy on government's agenda in a 'technical' rather than political sense (Mozambique Mission) and for acting to put such issues in a broader, public forum (as in the story in a Ugandan newspaper about a workshop on titling and registration). One suggestion here is that where conferences involve contributors giving papers (rather than a teaching workshop by LTC staff or other instructors), the LTC coordinator should seek to ensure that a publishable volume be produced. Given the usually large amount of effort entailed by organizing a conference, the LTC and the wider policy world would benefit more if a publication with wide distribution were produced.

E. DISSEMINATION AND SYNTHESIS

LTC has a very long list of papers available to the public and anyone who requests a paper can normally obtain it. Improvements have been made in the Center's dissemination strategies in response to past evaluations. Suggestions for further improvement include the following. Most important, in the opinion of the evaluators, is to push most of the research papers to a further level of refinement.

Too many of the papers now remain at the 'final report' stage and, while they remain of interest to persons with particular interest in the specific topic and country covered, they fail to make connections with each other or with work done outside LTC. That is, many lack (i) sufficient placing within a general set of development issues, and (ii) sufficient attention to the organizational structure of the argument as opposed to the descriptive detail of a particular place and problem. It should be reiterated (see above) that generalizations, guidelines, and synthesis pieces as well as more

extended works such as volumes of collected essays or book-length works take time.

Two different products might be considered as the next stage after the final report, the decision on which would depend on the topic and quality. Some reports warrant being converted into publishable papers in the development literature or into the research commentaries or notes that often appear in journals and newsletters. Others would reach a wider audience if they were 'boiled down' to a bulletin form of some three to five pages highlighting the key problem, premises, findings, conclusions. Steve Hendrix is to be commended for his effort in creating a book of distilled one-page summaries of research papers, with accompanying tear-off and/or check list order forms.

Another suggestion made by a couple of the Missions in their responses to the questionnaire as well as by some officers in A.I.D./W is to use more graphics in presentation. This might be particularly appropriate for the short bulletin-like publications suggested above. Given the interest and expertise on new computer programs among students, including undergraduates, it may be possible to use a modest amount of money to hire a student to devise options for graphics which could then be incorporated into the editing process at LTC. The popular videotape on Guatemala was also cited as an example that warrants replication. However, in any further use of videotapes, it will be important to ask who is the audience, who would pay for them, and how will they be distributed?

F. RESEARCH THEMES

Adequacy of research themes. All the A.I.D. officers contacted and most of the LTC staff indicated that the current research themes are still appropriate. Some felt that the themes maintain a balance between a specificity that helps focus the research effort and a sufficient breadth to allow room for maneuver in a changing world. An Africa Bureau officer noted that several of the strategic aims of the Development Fund for Africa--strengthening competitive markets, providing enabling environments for economic and political democratization, ensuring long-term, sustainable growth--can be addressed through the current themes. More pragmatic advantages mentioned are to protect LTC from too broad a range of demands from USAID missions and to provide conveniently broad pegs for attaching quite diverse research activities.

A minority view was that the themes are too constraining and that much of the research that needs doing falls between, across or outside the current themes. There are at least two reasons for this view. Some researchers engaged in field-based empirical research find that the social realities do not divide neatly by the LTC themes; others are more concerned with questions generated by particular theoretical and disciplinary bodies of work as applied to economic development in the non-western world. There is probably reason to be aware of the danger of research being driven too much by the demands of short-term policy advice and to insist that cutting edge research always needs to maintain the ability to stand back from the proliferation of pragmatic

demands from everyday activities. One would not want the research themes to enjoin a slavish pigeonholing of enquiry. The LTC work seems to have avoided these dangers, so far.

However, there does appear to be an imbalance in the scope of the themes. The two themes, Institutional and Structural Dimensions of Tenure Change and Natural Resources, are broadly defined topic areas. It is no coincidence that these two themes are not felt to be constraining by researchers. Land Markets, on the other hand, is a much more narrowly defined topic and is felt to be unnecessarily confining. Since market systems are only one way in which land rights are established, allocated and transferred, research could be more effectively done if both "markets" and other, usually inter-connected, systems of allocation and transfer were considered. Therefore, we recommend a conceptual expansion of this theme along the lines of "The Economic Dimensions of Tenure Change". Recognition of the inter-relations (sometimes competitive, sometimes complementary) between market and "non-market" systems would also bring research under such a redefined theme more closely to bear on that under Institutional and Structural Dimensions.

G. CONCLUSIONS AND RECOMMENDATIONS

The evaluators' assessment of the policy research conducted by the LTC leads them to agree with previous evaluators that the LTC is a "national resource." It remains virtually alone in systematically devoting high quality talent to the critical issues of land tenure in development, and has turned increasingly to apply its expertise to property rights in resources. Overall, the quality of the applied research and policy advice done under the themes Institutional and Structural Dimensions of Tenure Change and Land Markets is very high in both regions. The quality of the work on the Natural Resources theme in Africa is excellent. For work in LAC, the Natural Resources thinkpieces and applied research are of good quality but fall somewhat short of the cutting edge.

LTC research has contributed significantly to policy research on tenure. Under the themes of Institutional and Structural Dimensions of Tenure Change and Land Markets, LTC work has been influential on the following: the adaptive quality of customary tenure in Africa, the lack of necessary association between titling or registration programs and either increased security or productivity, the role of legal codes and judicial practices in tenure change, the formulation of enabling or 'framework' laws, land information systems, and mechanisms for land banks and land taxation systems. Under the Natural Resources theme, LTC's work makes an important contribution to understanding the role of land and tree tenure in agroforestry, the formulation of forest codes, community-state co-management schemes, and the links between environmental degradation and insecure land rights. The present formulation of sub-themes under the main themes appears to be appropriate and the evaluators endorse the present direction of research.

There is room, however, for conceptual refinement of the role of the state and of different levels of social organization. For example, policy based only on the concept of an "adaptive" tenure may be inadequate in situations of unequal access to resources. Similarly, research into dispute settlement may be used to investigate the effects of multiple and intersecting levels of legal authority on patterns of access and rights to resources. Finally, it is important to articulate the political interests of the state and allied elites and not to assume their benign or neutral role when promoting programs of co-management of natural resources.

In addition to the efforts at synthesis of research findings within regions, the time seems ripe for some inter-regional comparative synthesis. Examples of topics include the role of titling and registration in patterns of access to resources, and the role of tenure in types of agricultural commercialization, such as export crop production or processing. The current modest initiative into NIS countries being taken by LTC may also facilitate comparative research among regions on the shift from more centralized economic and political systems to more open systems.

Missions reported that technical assistance carried out by LTC was relevant or highly relevant for mission and government needs and in some cases was strategically important in redirecting government policy discussion or action.

The LTC library has holdings of impressive coverage for researchers of tenure and of rural development more broadly. The Ph.D. in Development makes a valuable contribution to LTC work and to the University and can be considered to provide current and future value to A.I.D..

LTC has a very good record of collaboration with research institutions and researchers in both African and Latin American countries. Workshops and conferences conducted by LTC have been highly rated both abroad and in the US. LTC conference organizers are urged to seek more opportunities to produce a publishable edited volume of papers (not merely a Proceedings) from conferences, whenever possible.

RECOMMENDATIONS

1. LTC's work has significantly influenced policy research on tenure. More impact could be expected if a greater degree of refinement and synthesis of published results were achieved.
2. To ensure that LTC staff remain "on the cutting edge" of research into land tenure and resource property rights, and to facilitate a greater degree of synthesis of research findings, it is essential that more time for writing be scheduled on a systematic basis for LTC's academic staff.

3. Many of the final reports by LTC staff need to be put through a further round of analysis in order to improve the quality of the analysis and their relevance to outside policy researchers and policy-makers.
4. Wider dissemination of findings might be achieved if key papers were also produced in a short (four to five pages) bulletin form.
5. The evaluators suggest that a conceptual expansion of the Land Markets theme to "the economic dimensions of tenure change" would balance the other two more broadly defined themes of Institutional and Structural Dimensions of Tenure Change and Natural Resources. The latter two research themes provide a specific focus to LTC research and technical assistance yet allow sufficient breadth to respond to a changing policy world.
6. In order to promote the integration of gender analysis into LTC work, the LTC should follow a complementary track of a) making gender analysis a full part of all themes, and b) designing gender-focussed studies under the existing or modified themes.
7. The Gender theme coordinator should play a greater role in the LTC process of research design and the analysis of results to ensure a progressive incorporation of gender analysis into research.
8. The gender analysis of LTC work would benefit from the development of mechanisms which would enable closer involvement of UW faculty experts.
9. Regular communication and consultation with the A.I.D./WID coordinator should be instituted.
10. LTC should note that there has been only limited identification of tenure and property rights issues that require further socio-economic enquiry due to the absence of a social scientist in the advisory position of the LAC Regional Bureau.
11. The LAC Bureau and Missions are strongly encouraged to provide support for technical assistance and research under the natural resources theme.
12. There is a need for greater involvement in LTC research of UW faculty in under-represented social sciences and in natural sciences.
13. Both LTC and A.I.D. benefit from the involvement of UW faculty members in LTC's work. This should be facilitated for faculty by flexible funding and for LTC academic staff by release time for writing and collaboration, and by a multi-year contract of employment.
14. LTC would benefit from developing programs for post-doctoral fellows and visiting fellows. These could provide extra breadth of expertise, and give important aid in such activities as the

design of research, organizing conferences and workshops, producing papers and books in collaboration with academic staff. Visiting fellows, who would be at a more senior stage of their career, would be expected to bring their own funding.

15. LTC should develop greater collaboration with other A.I.D. and non-A.I.D. funded environmental organizations.

IV. INSTITUTIONAL AND MANAGEMENT CONSIDERATIONS

A. INTRODUCTION

Researchers and practitioners focusing on a range of development issues ranging from private sector development, to sustainable agriculture, and to natural resource management agree that rights to resources affect a range of development issues and that LTC's research and T/A have been valuable in their work. Having confirmed the need for research, T/A and training in areas related to resource tenure, two questions follow: How can A.I.D. be assured of future access to resources for research, assistance and training? And, what is the most effective mechanism to continue the work currently conducted at the Center?

The evaluation team examined various mechanisms including a thorough assessment of the elements required to assure LTC's sustainability. With respect to management and sustainability, the team's principal conclusions are that:

- Strengthening the LTC, as a 'center', is A.I.D.'s most efficacious, least-cost option of guaranteeing that researchers and practitioners will continue to obtain information and services needed for A.I.D.-related work;
- LTC is not sustainable without substantial financial support from the University and an A.I.D. grant; and
- Management changes and improvements are needed to provide the appropriate type and level of support for LTC's programs of research and T/A.

Before describing the recommendations which flow from these conclusions, it is important to identify some of the events which introduce uncertainty into the Center's environment, and to clarify the terms *center* and *sustainability* because they are applied indiscriminately to LTC's status and have led to confusion about how LTC should be treated or supported.

B. OVERARCHING ISSUES

1. CHANGES

Changes are occurring so frequently and rapidly at A.I.D., LTC and UW that change is now an accepted condition and part of conducting business. The management of international activities within the UW is itself in flux. The UW-wide Office of International Studies and Programs is becoming far more pro-active in promoting international initiatives requiring a reexamination of its relations with CALS' Office of International Programs and other college-based units. The new Dean of CALS, soon to be appointed, and will influence the decision about the role of the LTC in CALS. The funding for all institutions of higher education is declining. And, finally, the University has initiated a program of academic renewal that will divert funds from other options for the ensuing five- to seven-year

period. These changes can have the effect of delaying the decision that the University takes on the role of LTC. The course of action ultimately chosen by A.I.D. should include contingencies for such delays.

Within A.I.D., new programs are being established for the development of Eastern Europe (EE) and the Newly Independent States (NIS). Issues of tenure relate to a number of policies and activities being developed to stimulate the emerging private economies of those new nations. Funds are being reprogrammed to meet these new priorities while the resources available to the other bureaus continue to decline.

LTC should expect its preeminence in the field to be challenged. Many researchers and development organizations are working on topics of which land tenure is a major component. They present both a challenge to stimulate research and T/A, and an opportunity as potential new clients. If LTC aggressively pursues associations with those individuals and organizations, its research quality and reputation will be enhanced. If not, others will continue to develop independent capabilities on the topic, and LTC will be passed by if it is not known, is not responsive to the needs of these potential new clients or is not respected as doing creative and relevant work.

2. SUSTAINABILITY

The team focused on: (a) identification of what needs to be sustained to preserve the resource used by A.I.D.; and (b) the diversification of funding to reduce the risk of reliance on a single source.

LTC, like its counterparts on other campuses, needs to sustain its intellectual strength to remain viable and meet clients' needs. To do so, it needs to continue to explore new substantive areas to maintain a team of intellectually active policy researchers with expertise that can be applied to development problems. LTC's research is enriched and tested as staff take short-term assignments for T/A. To remain on the forefront, LTC staff need to continue to conduct and publish their research in addition to their work on problem-solving applications.

There is another element in the "what is to be sustained" equation: the interdisciplinary approach to research and assistance. LTC is unique in that tenure is the focus of research done by a range of specialists working together. Although other researchers work in the field, their work tends to include tenure as a consideration rather than be the main focus of the work. The combination of factors in LTC's approach creates a synergistic environment that offers a unique resource.

To reduce financial risks and be sustainable, LTC must diversify the form and sources of its financial support to broaden the range of work and the types of clients. A.I.D. and LTC should develop transitional plans to use ten percent of core funds from ACCESS II for business and program development. Diversifying LTC's funding will

have positive and negative consequences for A.I.D. because some of A.I.D.'s needs may be unmet as LTC staff devote time to new clients. Theoretically, LTC can increase the number of senior staff so services to clients are not disrupted, but time is required to develop staff and hiring additional staff will increase LTC's financial risks and burdens.

3. A CENTER: ENTITY OR PROJECT?

It is critically important for the term center to be defined. Some A.I.D. officials view LTC as a project or as a part of the UW. Other officials view the LTC and ACCESS II as the same entity. Various UW officials view LTC as an applied research center, and extension of A.I.D. or another international activity within CALS. The confusion emerges in the governance and operation of the LTC, the nature of the structure, divisions of tasks, maintenance of an independent identity and how the various activities are funded. The University does not have an official definition of a center or criteria by which such a unit is either created or evaluated. Dean Jorgensen, however, defined a center as a unit with independent funding (other than the academic units which serve as part of the University hierarchy). The source of funding is not a determinant. LTC meets the Dean's definition of a center.

There is also confusion about the difference between a center and a project or program. LTC should be seen as an entity with a physical and programmatic existence. A.I.D. provides core funds under ACCESS II to maintain a central resource for use by other bureaus and missions. The UW, as the other major beneficiary of A.I.D.'s support to LTC, needs to support LTC as a resource for faculty and students in several other departments.

C. LTC/UNIVERSITY LINKAGES

One objective of this evaluation is to follow up on prior UW-A.I.D. agreements concerning LTC's sustainability. In September 1991, A.I.D. representatives visited the UW Campus to initiate discussions about the future of LTC. The representatives evinced concern that faculty were not sufficiently involved and that LTC's funding lacks diversity. At the conclusion of the meetings, the University and A.I.D. representatives agreed that the University would develop and formally endorse measurable benchmarks for: (a) completing activities which foster institutional sustainability; (b) progress toward integrating LTC into the University; and (c) progress toward diversifying LTC's funding sources. The evaluation team assessed the progress toward achieving those goals by asking the following questions. (See Scope of Work in annexes.)

QUESTION 1. How effective are the current and planned measures to insure LTC's long-term sustainability?

In November 1991, Provost Ward appointed Richard Barrows, Associate Vice-Chancellor to chair the Land Tenure Center Review Committee composed of faculty and academic administrators. The

Barrows Committee issued their report (the Barrows Report or references also as Report) on March 20, 1992.

The Barrows Report (Report) recommends that CALS further study the issues associated with its relationship with LTC and present a plan to the Provost by 30 September 1992. Dr. Kenneth Shapiro, Assistant Dean for International Programs at CALS, indicated that he is forming a committee within the College to complete its work to meet that deadline. He urged the team and A.I.D. to forward a copy of this report to him as soon as possible so his committee can consider its conclusions and recommendations in their deliberations.

Although the goals A.I.D. and UW officials developed have not been met, the University is progressing in a multi-step process. Sufficient time is available to allow Assistant Dean Shapiro's committee to complete a thorough evaluation of the role of LTC in the CALS. The Report does not include milestones, measurable objectives or serious cost analysis of the suggestions that it offers. The Barrows Report offers useful suggestions for involving faculty and students in LTC. It does not adequately address the role of the Center's Director as a senior academic administrator or the role of academic staff in the academic life of the University.

The Barrows Report contains constructive suggestions including an important offer of funding to assist CALS to begin implementing changes in the near-term. The Barrows Committee recommended that the University offer "bridging funds" to support improvements that CALS makes during a transitional period before CALS can reprogram hard-money funding within the College's budget for use by LTC. The Committee made several suggestions for how the faculty could be integrated into the Center (e.g., inducements such as "mini-grants," "seed money," and in-kind space and secretarial assistance for faculty to use in their work at LTC). If only the marginal costs of these initiatives are provided, however, then the administrative costs will be borne by the Center-- principally from ACCESS II. Additionally, the proposals suggest additional program activities rather than support of existing activities which would strengthen the Center's financial condition. Finally, the initiatives were proposed for a trial period, but it was not clear if or how the successful activities would be institutionalized over time.

The departmental faculty evaluations often undervalue the work of faculty with international specialties, especially as regards applied research in LTC. Consequently, as faculty members who initially participated in LTC have retired, fewer members of the younger faculty were interested in international research done at LTC. The University has articulated a priority of internationalization and the two units listed above are actively building portfolios of international activities. Complementing the University's interest, increasing numbers of candidates for tenure-track positions now express an interest in international work. These developments may offer relief for the Center, but the result is not assured because: (a) "involved in international activities" does not necessarily equate with "involved in LTC"; and (b) LTC is expected to "attract" faculty after they are hired, rather than participating in the selection process

where candidates could be selected who express an attraction to UW, in part at least, so they can work with the Center.

The Report does not provide specific recommendations about how academic staff at LTC can be integrated into the academic life on campus. The failure to provide opportunities for some academic staff to participate in some areas of faculty-related activities is a critically significant issue for two reasons. First, it is the academic staff who will be the sustaining force of LTC because faculty cannot devote the energy needed to conduct all of the research and provide all of the T/A services. Second, the nature of the work requires the specialized talents of the LTC staff in bridging the cutting-edge theory and practical application through more applied policy research and T/A.

An additional cause for concern about the recommendations is the lack of discussion of a permanent allocation of hard-money support for the LTC from the CALS' budget. Assistant Dean Shapiro indicated that the College is prepared to commit money to the Center. The essential academic administrative functions should be supported jointly by CALS and A.I.D. There should be sufficient support from CALS to sustain a critical mass of personnel and other resources, thereby, assuring sustainability at some level.

The Report does not address any of the points which relate to the LTC Director's role as a senior academic administrator. The programs will be enhanced by the participation of faculty at LTC and academic staff in the life of academic departments. The director must also be integrated into the group of academic administrators who decide policy and financial issues which directly or indirectly affect the LTC.

It is not clear that the approach proposed by the Report can be implemented in time to meet A.I.D.'s needs. The academic staff will remain the principal contributors as long as LTC is doing applied policy research. Both the Barrows Committee and the academic leadership of CALS assume, however, that LTC will be revitalized through the process in which new faculty are encouraged to pursue their research interests in self-selected directions. The process has been successfully applied in a great number of first rate colleges and universities which have emerged as centers of excellence over the past three decades. Despite the list of success stories, the use of this model can only partially strengthen or sustain LTC's programs. The evolutionary and organic process produces a mature academic department after a decade or two of hard work, nurturing and financial support. A.I.D. and other stakeholders share and support their long-term aspirations, but are looking for more immediate results.

RECOMMENDATIONS

The evaluation team offers the following recommendations for LTC-University linkages.

1. Given that the University is in the midst of its decision-making process, the evaluation team recommends that A.I.D. should establish a set of criteria, benchmarks and deadlines that are

reflective of its internal requirements and allow the University the time to complete its process.

2. In spite of the attractiveness of a "formula for sustainability", there simply is not an organizational blueprint that includes guarantees. The components common to most university-based centers are included below as elements which must be addressed in any serious proposal by CALS. In that regard, A.I.D. should consider the following criteria as indicators of the University's commitment:

(a) The UW providing hard-money--state line item budget funding--to support a critical mass of individuals essential to sustain the Center. The following distribution of their support should be viewed as a workable target to be achieved during the next four years.

<u>Position</u>	<u>Percentage of Support from :</u>		
	<u>UW</u>	<u>ACCESS II</u>	<u>PROJECT⁴</u>
Director	50	40	10
Assoc. Dir-Admin.	70	30	
Assoc. Dir-Programs	25	50	25
Acad. Staff-Researchers	10	30	60
Library Staff	50	50	
Project Support	20	80	
Clerical Support	50	30	20

Under this approach, some ACCESS project funds will be freed for reprogramming. Those funds should be used to support: (a) time for academic staff to write and publish; (b) program and business development activities; and (c) planning and development activities that incorporate LTC's clients needs into its priorities. Pressures within A.I.D. to use reprogrammed funds to subsidize the work of missions or bureaus should be vigorously resisted in favor of the institution building activities suggested above.

(b) The UW providing fifty percent of the funding to support LTC's efforts toward financial diversification, including, proposal writing and visits by the Director and senior researchers to potential clients for presentations and business development.

(c) The UW providing financial support for the cost of relocating LTC's offices, renovating space and installing equipment.

(d) The UW providing financial support for equipment, space and clerical assistance for three faculty members to work at LTC.

(e) UW compensating academic staff when they teach courses in the UW's degree-granting programs.

⁴"Project" in this context relates generically to time-specific services funded by a specific budget irrespective of the funding mechanism (e.g., CA, BOA, contract) or source of funds (e.g., A.I.D., World Bank, a prime contractor or grantee).

(f) The UW providing long-term financial support for two visiting fellowships.

(g) The UW providing academic staff researchers with multi-year employment contracts that are co-terminus with the ACCESS II CA.

(h) The UW having a professional compensation analyst evaluate the academic staff positions to confirm the appropriateness of academic staffs' salary levels and make appropriate adjustments for discrepancies.

(i) The UW financing a detailed study of LTC's operations to evaluate the program, financial and administrative management needs of the Center and provide V/A and other assistance to improve planning, support systems and management practices. The study could be completed by a faculty member of the UW's school of management.

(j) CALS and the UW giving recognition for the work done at LTC by academic faculty when evaluating a faculty member's performance in consideration of her/his tenure or promotion.

(k) The University's recognition of LTC as an entity--a "center"--with an unrestricted life span (definitely long-term), rather than a project with a discrete beginning and end, or a program with an intellectual focus but no corps.

(l) Increased visibility of LTC as a valued part of the CALS through, for example, presentations to the Chancellor, Provost and trustees, state officials and benefactors.

(m) Listing LTC as a fundraising priority for top management, development officers and other fundraisers.

QUESTION 2. How likely is it that new measures will be workable in the long-run?

The University seems to be proceeding through a process that will result in a firm determination of the future of the Center. Their approach is appropriate given the institutional culture, decision making processes and the academic priorities of the University.

If the University develops and implements a plan incorporating elements of the criteria listed above, the long-term prognosis for sustainability is good. If the criteria are not met in the final plan, the chances for satisfactory integration are less likely. In either eventuality, the University should be able to explain to A.I.D. how the approach that they choose will achieve results similar to those listed.

RECOMMENDATIONS

1. Officials from CALS and A.I.D. should meet to discuss LTC's future by October 30, 1992.

QUESTION 3. What are the constraints and how are they to be addressed?

Some of the constraints to sustainability are not within LTC's control. Improvements in management that can be addressed by LTC alone are discussed below. The constraints facing LTC lying outside of its control include: the UW's financial situation; LTC's visibility within CALS; and faculty rewards for participation in internationally-focused policy research.

(a) The University is under budgetary pressures and has made decisions to support other activities, thus increasing competition for scarce resources.

(b) LTC needs its own advocate in meetings where key decisions are made that affect the organization whether directly or indirectly. Assistant Dean Shapiro represents LTC with attention equal to that given to all of the projects and programs in his portfolio. He is a strong advocate of all of his activities. If LTC is to be considered differently from a project or program it will need to be considered and treated differently from the "other international activities."

(c) The University's faculty evaluation system does not specifically reward participation in LTC or international research. As a consequence, credit is given for work done in LTC only if evaluators know of LTC and believe that its work is important.

RECOMMENDATIONS

1. The Director needs to devote more time to the development of the programs, business base and internal management of the Center for several years until LTC has been stabilized.
2. CALS (or another unit in which LTC is ultimately located) needs to develop incentives for the participation in LTC by faculty from CALS and other colleges.
3. The faculty evaluation criteria need to include rewards for participation at LTC and assure that the faculty are not faced with disincentives for work done in LTC.

QUESTION 4. What improvements need to be made to enhance the attractiveness of LTC to University researchers and other scholars?

LTC could strengthen participation by both UW faculty and externally based scholars. Incentives for attracting UW faculty include initiating symposia, offering opportunities for sabbaticals and similar programs. The faculty with whom the team spoke about the issue indicated that funding and research opportunities for students are an attraction.

A.I.D. has benefitted directly and indirectly from supporting a center which has a solid Ph.D. in Development program. LTC graduates are considered by many to be first-rate field personnel. At present, there are three former LTC students serving as professionals on

A.I.D.-funded African projects. Because students in the program must do interdisciplinary work, they all have committees composed of faculty from several departments throughout the University. After being introduced to LTC through their advising experience, the same faculty have become involved in other A.I.D. activities.

Attracting outside faculty and scholars is seemingly quite possible. Examples of two opportunities include visiting scholar appointments and post-doctoral fellowships. Selection criteria for visiting scholars should include a match between the visitor's proposed activities and the needs and interests of LTC. As part of their participation at the Center, they could become involved in research design, organizing conferences, publishing works, consulting on the research agenda, and giving seminars to graduate students and faculty of the University. It is assumed that the visitors will bring sufficient funding to support their work during their visit.

Post-doctoral fellows could work at LTC for two years. Examples of the activities in which they might participate include: research; short-term field assignments; writing synthesis and policy papers; and writing publishable papers and working with LTC staff.

RECOMMENDATIONS

To encourage external participation, the team recommends:

1. The academic staff, with assistance from the faculty currently working in LTC, should formulate program guidelines for visitors. All three of the initiatives suggested above need formalized guidelines and structure to assure a successful and productive visit for all concerned.
2. The LTC Director should work with faculty of UW departments to confirm informal opinions about methods and mechanisms for attracting faculty to work at LTC.
3. The LTC Director should work with CALS, the Dean of International Studies and the Dean of the Graduate School to identify successful programs for visiting scholars and post-doctoral fellows at the UW. A modest program should be planned and introduced during academic year 1993-1994.
4. A.I.D. should help LTC link with researchers and practitioners working on its new initiatives to avoid costly duplication in A.I.D.-funded programs and to maintain LTC as a common resource.

QUESTION 5. Should institutional options for LTC outside of the University of Wisconsin be considered at this point and what are these options and necessary steps to operationalize the preferred option? What are the chances of the University of Wisconsin maintaining LTC in the event of much reduced financial support from external sources?

After analyzing the LTC and its output and evaluating the numerous options available, the team's preferred option is for the Land Tenure Center to continue to be at the University of Wisconsin.

However, concerns about the need to ensure sustainability beyond A.I.D.'s funding remain. Additionally, the recommendation "to continue" at UW is not an endorsement of the institutional arrangements as they now stand.

The chances of the UW maintaining the LTC without A.I.D. support appear to be questionable. A strong case needs to be presented to the broader UW community to demonstrate that LTC's contributions to the field warrant the University's full support. It is in A.I.D.'s self interest to assist in presenting that case.

LTC cannot survive under the current arrangement at UW without A.I.D. funding. The team urges a true UW-A.I.D. partnership. It is unrealistic for A.I.D. to expect that the UW--or any other university--would have a sufficient interest in land tenure to support it fully as a specialized center. If LTC expands too broadly into other fields, it will most likely lose its edge in the field. This will mean losing its unique niche in the market place. The result would be the probable dissolution of LTC per se.

The most prudent course of action for A.I.D. is to hope for an acceptable response from UW, but to plan for other eventualities. The Cooperative Agreement expires in December 1993. To avoid a disruptive hiatus in funding and operation, A.I.D. should plan to make its decision by December 1, 1992. The thirteen-month lead time should provide sufficient time for an orderly transition by those who need LTC's services. In selecting December for A.I.D.'s decision, the University has a generous, two-month grace period on its own deadline--September 30, 1992.

RECOMMENDATIONS

1. The most efficacious, least cost option for A.I.D. is for A.I.D. to make sure that LTC strengthens its business and program management capabilities. The LTC should be afforded status and funding as an independent center within the UW. The UW is studying the matter and A.I.D.'s decision can wait until December 1992 for their timely report and decision with little or no cost.
2. By December 1, 1992, a decision should be taken by A.I.D. to solicit proposals from other organizations and replace UW for the second half of the ACCESS II Project if the UW's decision-making process does not respond in time to allow A.I.D. to provide for an orderly replacement. Flexibility should be retained in A.I.D.'s procurement plan to take advantage of a late-but-favorable decision by the UW.
3. If competition is unavoidable, highest consideration should be given to applicants representing another university (or specialized consortia of them), a strong proposal from the current LTC as an independent not-for-profit organization, or the least attractive choice, an existing PVO/NGO with a history of strong ties to a research university and a strong reputation for first-rate research.

QUESTION 6. Do LTC's linkages with the University of Wisconsin compare favorably with other university-based centers such as Harvard Institute for International Development (HIID) or the International Management Development Institute (IDMC) at the University of Maryland (UM)?

There are several distinct differences between the two centers mentioned and LTC. The HIID is a semi-autonomous organization with a Director who personifies the link with the University as a tenured member of the faculty. Some HIID Fellows are also Harvard Faculty. The second in-charge at HIID is an Executive Director who is the chief operating officer. The organizational and financial size of HIID is important. The Institute has more individuals in each field and so is able to provide time for individuals to rotate among projects without juggling assignments. Additionally, the funding structure is more solid and diverse. The volume of contracts and grants provide a critical mass that allows the Institute to distribute the considerable indirect and core costs required to operate such an organization. The indirect cost rate is thereby maintained at a competitive level. Given these differences, the HIID and the LTC are not comparable.

There are lessons to be learned from the IDMC experience, however. The IDMC began as a USG-funded center with expectations similar to those of LTC; that is, limited, fixed-term "core" funding, the use of buy-ins to generate revenue, expectations of self-sufficiency and conflicts between long-term research activities and short-term consultancies (which keep the cash flowing-in). As with LTC, the buy-in approach was employed as a means of "selling" IDMC's services to missions (and to a lesser extent, bureaus). The buy-in approach did not work well as a funding mechanism. Part of the failure was due to the organizational cultural differences between a research organization and a marketing-driven organization. Part of the problem was that few funds were available for "business development", so the IDMC program coordinators had difficulty in personally presenting their case to potential clients in the missions where "buy-decisions" are made.

The LTC and IDMC have several characteristics in common so that the IDMC experience may be applied at LTC. First, the University will not absorb the LTC, although it should provide significant support to encourage the LTC to 'fit' into CALS. Second, after experiencing a sizable budget deficit, the UM supported key elements of IDMC, including funding for business development. Third, a lack of core-grant funds for research and publishing has limited the amount of cutting-edge research done at the IDMC. The research and publishing that has been done has been supported by contracts and grants for that purpose. And finally, the expectation that a university-based center is able to become self-sustaining from buy-ins is not realistic, given the nature of the university culture.

It is noteworthy that there are numerous centers at the UW. The LTC has several dozen viable centers for comparison on the Madison Campus which should hold promise for importing innovative ideas for improving LTC. Ultimately, the form upon which they decide must be

compatible with the organizational structure and culture of that University.

RECOMMENDATIONS

1. The expectation by some A.I.D. officials of LTC's financial self-sufficiency is not realistic and should be abandoned as an expectation.
2. Although there are similarities between LTC and other centers, the most capably managed centers at the UW probably offer the most transferable approaches for LTC.
3. A lesson from IDMC experiences (confirmed by the other organizations) suggests that research can only be done if there are funds dedicated to the effort so that the researcher is able to focus on the work to see it through. In budgeting for the conduct and publication of the research, LTC should include support for academic staff to write publishable papers and to travel to meetings where papers can be presented. This meets several of LTC's objectives and is an effective marketing tool.
4. The IDMC and HIID experiences suggest that marketing and diversification of funding can only be done if funds are available to underwrite the effort. The expectation that LTC diversify its funding base must be accompanied by the allocation of funding to travel, prepare marketing material (e.g., brochures, brief papers, et cetera) and to prepare proposals. Both A.I.D. and the UW should share in that cost because both benefit.

D. LTC'S INTERNAL MANAGEMENT AND ADMINISTRATION

As the evaluation progressed, several important issues emerged concerning the role of the director, the nature of the support needed by LTC, and compensation of academic staff. Those issues are addressed before reporting on findings from questions included in the scope of work.

1. THE DIRECTOR

The management and leadership functions of LTC will need to be changed to meet the challenges it faces in coming years. Externally, considerably more of the Director's time is needed to develop business by visiting clients, raise funds by soliciting donors, and to work with senior academic administrators (in CALS and on the UW campus in general) to ensure that LTC's issues are adequately addressed. Internally, much more effort will be required to restructure the management and program planning and development processes.

John Bruce, the current Director, receives uniformly high marks for strengthening the LTC over the period of his tenure since his appointment in 1986. His successful efforts to build the Africa Program receive special recognition. For purposes of this evaluation, it is most productive to focus on changing management to position the LTC for future growth and to sustain the successes that it has

achieved. The evaluation team attempted to assess the programmatic directions for the LTC and then to outline the elements of management and administration which are required to support those programs as they evolve. The following descriptions of the director's activities and priorities are recommendations for the nature of the position as needed during the next phase of the Center's evolution.

There are four elements of the director's responsibilities which must be balanced to assure smooth operation. Because of the current situation, all of the responsibilities taken on a higher priority than was needed before. First, the director needs to be a recognized and respected researcher in an appropriate academic discipline who is qualified for tenure in an academic department. Second, the director needs to represent the LTC to external groups including clients, stakeholder and the beneficiaries. Third, the director, as the senior program manager, needs to provide more direction, guidance and leadership for associate directors who are responsible for developing programs and leading staff. Fourth, the director needs to ensure that the business and administrative support activities are smoothly executed. These activities range from internal proposal and award management to personnel administration to management of computing services and a range of other administrative support activities. The associate director for administration should build efficient, service-oriented administrative systems and the director needs to assist in implementing business-like practices for all activities which have a financial impact on the LTC.

The reference to structural problems relates to both the internal operations of the LTC and the incentives for the LTC to serve A.I.D. missions at all costs. LTC's director needs to establish policy, in cooperation with its clients, concerning requests for assistance and research from R&D, bureaus, regional bureaus and missions. Currently, conflicts among the clients are inappropriately resolved or buffered by the Center. The stress of this situation can be reduced by: (a) gaining agreement from clients about realistic service levels within resource constraints; and (b) establishing policy which divides the core activities and budget into segments to cover all of the LTC's high-priority activities.

The evaluation team found that the office staff and the two project administrative backstop staff are quite effective as they are currently managed. They could be more effective, however, with leadership and professional management.

There is an added complication to the directorship as the LTC responds to forces of change. The demands of the director's job will require that he address conflicts among priorities. As an active researcher, he must devote much of his time and effort to field work in Africa. Given the changes in the current environment, he will be increasingly tied to campus meetings, marketing LTC's services and maintaining service levels for clients. Forming a management team to divide the management duties is not possible given the current budgetary situation. The difficulty is in being available to be a hands-on director and an advocate/marketeer for the Center, and being able to conduct field research.

RECOMMENDATIONS

1. The LTC director needs to devote his full-time to the management of the LTC for the next several years of growth and change. The director will need to be on-campus or relating to LTC's Washington public (and others) for 80 percent of the time.
2. The LTC would benefit considerably if the director's position enjoyed formally recognized academic status as a tenured faculty member and senior academic administrator.
3. Additional attention is needed by the director to improve the business management of the LTC.
4. Additional attention is needed by the director to strengthen the management and leadership within regional and thematic programs.

2. FORMS OF FINANCIAL SUPPORT

The University should provide three types of support. The first is support for central administrative services, such as, accounting, purchasing, contract administration and personnel administration. The second is support for the administration of LTC. The third type is support for management and leadership of LTC to do long-range planning, and for academic staff to have time to write and publish. These costs should be funded by the University through some combination of indirect cost recovery and the University's budget--referenced as "101 Funds". The level of support is reflected above as criteria for evaluating the UW's plan for sustainability. Currently, the UW provides only for some of the overhead costs in the form of central business services, facilities and the library.

A complicating element in LTC's financial management is the interplay between the core activities, the departmental administrative activities and the projects' activities (in the context used above). Allocating funding and accounting for the expenditures of those activities is correspondingly complex. The integrity of the core grant--ACCESS II--has eroded as activities which should be supported from other sources (i.e., projects and departmental administration) are increasingly supported by the core funding from ACCESS II. For example, the missions do not always support all of the costs of all of the tasks needed to satisfactorily complete their work. While the evaluation team was at the Center, a contract officer in a Central American mission attempted to negotiate away the costs of employee benefits and indirect costs with the Center's administrative coordinator. In addition to violating OMB Circular A-21 pertaining to costs at universities, the attempt, if successful, would have resulted in an unauthorized subsidy of that mission's work by the funding provided by other A.I.D. clients.

a. Institutional Support and Commitment

The level of the LTC's overall contributions to the UW should be recognized and an appropriate level of 'hard-money' State funds should

support LTC as long as the University wishes to continue to have the LTC as a part of the UW.

b. Indirect Costs

On average, the UW receives \$400,000-plus annually as indirect costs generated from the direct expenditures of the CA and BOA⁵. This amount is an important contribution which should be recognized as one among many of the LTC's contributions to the CALS and University. LTC should not, however, receive financial support from CALS through a formulated process based upon the amount of indirect cost recovery generated by the Center. It is difficult to plan for the amount of funds that will be available.

RECOMMENDATIONS

1. The LTC should rely on 101 Funds for long-term support from CALS rather than attempting to have its budget increased in relationship to the amount of indirect cost revenue from ACCESS II.
2. The LTC needs a constant flow of commitment from the University such as is provided for other units which the UW views as permanent parts of the institution. Such a gesture is a testimony to the level of institutional commitment for the LTC.
3. The amount of revenue generated for the University through LTC's sponsored projects should be recognized in evaluating the Center's contributions to the UW.

3. COMPENSATION OF ACADEMIC STAFF

Compensation of the academic staff was raised as an issue, and the team concurs that the issue is a high priority to be addressed. As the system now operates at the LTC, compensation is a major disincentive for professionals. The evaluation team is sensitive to the University's need for internal consistency, the integrity of the UW's systems, and the relative size of LTC to the entire UW workforce, but the University's process simply does not work at the LTC.

Before the mid-1980s, the salary levels of academic staff closely matched the levels of faculty of academic departments working at LTC. A policy change mandated by the State established different salary-setting standards for faculty and academic staff appointments which caused faculty salaries to increase at a more rapid rate than those of academic staff. When questioned on the issue of the salaries paid to UW employees compared to other employers, UW officials and academic staff indicated that salary is one component of the total compensation package along with the quality of an academic work environment,

⁵ The LTC staff and previous evaluators suggested the need for the University to "return a portion of the indirect cost recovery." The UW does not return indirect costs, per se, so the reference is a misnomer.

security and stability of long-term employment, and the quality of life in Madison. Faculty trade-off dollars for intangible compensation in these other forms. This approach does not seem to be appropriate for the academic staff at LTC, however, because the trade-off factors are not available. With the current travel schedules, many academic staff do not benefit from living in Madison because of the amount of time spent in the field.

Preliminary information suggests that the salaries of some academic staff may be quite low in comparison to the salaries of their counterparts at international organizations, other US universities (e.g., Texas A & M, University of Arizona and Oregon State). The disparity in compensation among employers means that younger staff must remain mobile to be able to maintain economic growth. If the trend continues, the core of the Center--the academic staff--will rotate at a rate that will affect the quality and cost of the research. Unfortunately, the most capable and productive members of the staff are likely to leave first, leaving those who are not as competitive.

RECOMMENDATIONS

1. The structure of the compensation package for academic staff needs study by professionally competent compensation specialists.
2. The compensation structure of the LTC should approximate the market for professional researchers and international assistance experts in similar organizations, rather than local labor markets.

QUESTION 1. Within the LTC, has the leadership fostered a coherent set of research and technical assistance activities?

The management and leadership consists of the director, associate directors for the Africa (AD-A) and Latin American (AD-LA) Programs, and the associate director for administration. In recent years, leadership has been uneven. The coherence in programs seems to derive more from the thematic orientation of the work and the development of the annual work scope in the CA rather than from any dynamic planning or leadership process.

The coherence of research and T/A in LTC's Latin American Program declined as the fortunes of A.I.D./LAC declined and as the LTC-A.I.D. relationship has been strained. Once the LTC's "flagship" program, the LAC program needs to be restored to its former prominence by: galvanizing the academic staff to synthesize their work and provide LAC with the guidelines, check lists, and recommendations that they seek. A.I.D.-internal agreements notwithstanding, LAC should be prepared to finance the full costs of services it receives from LTC.

In the responses to the questionnaire, the LAC Missions indicate that tenure is an important issue even for their new program priorities. They point specifically to areas of commercial development and international trade, and to natural resource management (NR). The Latin American Technical Advisor (LATA) in

Washington was selected by LAC for his legal training. He and the A.I.D. clients are at a disadvantage, however, when issues require the input of social scientists.

The Africa Program, in contrast, is a program of research and T/A which is more cohesive internally and uniformly well received by clients. This seems to be due in some measure to the relatively higher resources available to the Africa Bureau. The greater productivity seems to be the result of the high level of cooperation among individuals involved in the A.I.D.-LTC activities. Another important factor relates to the Bureau's relationship with LTC staff and their collaboration approach to program planning. Additionally, the direction and requests from the Africa Bureau are better defined and targeted. The Africa Bureau project officers facilitate LTC's work in the field because the work meets their focused objectives for the region: the Bureau staff market LTC's programs when they sell their own ideas in the field.

The persistence of client dissatisfaction suggests that there is a management problem that could be solved with better client-coordinator interaction. This is pointedly so in the LAC program where there is a history of misunderstanding between A.I.D. and LTC. The team is concerned that the situation has persisted. A role of the director is to intervene in seemingly intractable situations.

RECOMMENDATIONS

1. The director and associate directors need to institute a process to evaluate research progress, identify emerging trends which suggest promise for promising topics for research with cross-cutting dimensions.
2. The director should work with associate directors to follow up on persistent areas where the client continues to raise concerns about either the work produced or the service level.

QUESTION 2. How effective have the Executive Committee and Advisory Board been in guiding the project towards its goals?

The Executive Committee (EC) and the Advisory Board (AB) have focused more on the LTC as an organization than on the ACCESS II Project. In that context, however, they have been effective in representing the Center and its views to higher authorities in the University.

Internal management of the LTC and the issues which pertain to strategies for sustainability seem to be areas which the EC and AB have not addresses. The Advisory Board met last in December of 1992. The Report of their findings were available for this evaluation. It urged institutionalization of the LTC into the UW; suggested that academic staff need more time to write and should have opportunities to participate in academic-related activities; and observed that the academic staff tend to be under compensated and find one-year employment agreements disquieting.

The EC (or some other group) could be helpful in working with the Center's management team on managerial issues such as, the director's role in the University, strategies for long-term institutional development, and executive management of the nuts-and-bolts of administrative and financial management services. Executive (e.g., long-range planning, professional development, et cetera) and business management will be increasingly more important and time consuming in addressing the issues facing LTC.

Alternatively, the charge of the AB could be expanded to include management issues and a management professional included as a member. With those changes, the AB would be able to provide this much needed input.

RECOMMENDATIONS

1. The EC or an expanded AB should provide assistance in defining the role of the director, in the context of the changes in LTC's environment and the challenges facing the Center.
2. The AB should continue to raise the visibility of the LTC both on- and off-campus. The stature of its members provides the considerable weight needed to raise the needs of the LTC to the appropriate level. The AB could be expanded to include management issues and a management professional included as a member.
3. The EC and AB have not turned to the issues relating to the management of internal operations. They should expand their scope to assist the director by suggesting approaches for long-range planning, internal business management and program management.

E. LTC/A.I.D. LINKAGES

The team heard disturbing comments concerning the issue of LTC becoming self-sufficient including accounts of aggressive questioning received during interdepartmental meetings about the causes for LTC's inability to become self-sustaining. A.I.D.'s continued support was challenged, for example, on grounds that the projects in developing countries are given five years to become financially self-sufficient or perish. The question demonstrates a fundamental misunderstanding of university-based research centers, and how A.I.D. and other parts of the USG have supported them out of enlightened self-interest to serve as national resources. To repeat, supporting university-based centers provides A.I.D. access to UW resources at a fraction of the cost that would be required to replicate the complex *de novo*. Additionally, the micro-economics of research centers, including LTC, make it highly unlikely that substantive research could be undertaken on issues requiring long-term study or extensive writing or refinement in a contract-for-services environment. In short, the resource would be lost and because A.I.D. (in its various and collective personages) is the primary beneficiary, it would be the primary loser.

The role of LTC at the UW hinges on two factors. One is faculty-to-faculty collaboration at the project level. The other is the senior academic administrator level making decisions which affect the Center. It can be difficult to attract faculty who usually conduct basic research to participate in applied research projects.

The mission of the Center should not be diverted by having the management of LTC completely subordinated to an administrator in the existing academic hierarchy, for example, a department chair, dean or assistant dean, vice president for research, academic vice provost or vice chancellor for international affairs. Smooth operations at Michigan State University and Ohio State University are favorably compared to LTC by academic staff and A.I.D. staff alike. The individuals working cooperatively with LTC from those universities, however, are located predominantly in one academic department rather than an interdisciplinary center. To gain the advantages of being housed in one department, LTC would risk loss of existing independence to a department chair and possible discouragement of participation by faculty from other departments and colleges.

The team concludes that A.I.D.--through ACCESS II--should continue to support core activities, similar to the approach applied in other centers where a USG grant or cooperative agreement funds the Center's core activities. LTC's "core" is those activities and personnel who comprise the critical mass of the Center (e.g., director, program coordinators, editors and their support). The "departmental administration" is the activities and personnel who perform the University's business functions (e.g., research, administration, personnel, purchasing, accounting). Core budget activities should be limited to providing support for salaries (or portions thereof) for the director, program leaders, editors and technical support staff.⁶ Both A.I.D. and the UW should support those costs through ACCESS II and 101 Funds correspondingly. (A workable distribution of the costs for such staff is presented in the subsection concerning "LTC/University Linkages.") As UW funds flow-in, ACCESS II funds will be made available and can be reprogrammed. Those ACCESS II funds should be used only to help LTC's efforts to: diversify funding; build-in writing time for academic staff; do research on emerging trends; and do long-range planning for the Center. The core budget should include an amount set aside to serve as incentive to encourage risk taking and creativity; to provide seed money to proceed sufficiently on a project to attract support from an external funder for the expansion of the work; or to attract faculty, students or others who may need a slight nudge to be enticed to collaborate. Securing a long-term commitment of adequate funds from the University for these activities will assure LTC's sustainability.

⁶ These staff are not normally fundable as indirect costs; that is, the costs of administrative services required to support adequately the directly funded activities. The UW supports the customary indirect costs, such as purchasing, accounting and personnel provided by the central administration. The UW needs to assist the LTC in developing the counterpart functions within the Center.

Investigator initiated research topics and projects should be selected which fit within pre-established themes or areas. Sponsor initiated research topics must fit into the themes, even if they are more directed, practical, problem-oriented and short-term in nature. Both the themes and topics should be established with leadership from senior LTC professionals and participation by A.I.D. senior program officers.

A great deal of the material above relates directly or indirectly to LTC-A.I.D. linkages and relationships. The team evaluated this aspect of ACCESS II through the following series of questions.

QUESTION 1. What has been the impact of A.I.D. management (including RD/EID/RAD and regional bureau representation) on the management of the project and the work produced?

The impact of A.I.D. management on the work and management at LTC has been mixed. There are units within A.I.D. where the terms "land tenure" or "Land Tenure Center" evoke an emotional response. The USAID missions need rapid responses to pressing problems in real-time. The bureaus need research results that are useful to transfer successful approaches across regions and projects, but also need short-term assistance. In short, there is not "An A.I.D."--there are several A.I.D.'s who comprise LTC's primary client-group.

A persisting problem is that there is not an agreed upon definition of the LTC or of its role among the various parts of A.I.D. The clients predictably define LTC's mission and role out of their experiences, many of whom are seemingly not truly familiar with university-based research and assistance centers. They tend, therefore, to apply standards for performance which are only partially appropriate as performance measures for LTC.

There is another group within A.I.D. who do appreciate the role of the Center, but see it as R&D's responsibility to fund research for A.I.D.-wide needs. They resist paying for research which is not directly related to their needs, even if it contributes to the body of knowledge in the field, because they feel that the costs for such activities should be funded from other sources. In reality, however, the funds available to R&D for all of its activities have also been reduced, as have the funds of other bureaus. If LTC is to continue to serve as a resource, RD and other units of A.I.D. need to establish a protocol to guide clients in determining how LTC will do the research that keeps it on the cutting edge.

The interaction between the Africa Bureau and the LTC is exemplary--the cooperation among the individuals has contributed considerably to that success. Their working relationship is one of the best examples of using a cooperative agreement as it is intended in the legislation which created the mechanism. The LTC and A.I.D. should examine closely the interaction of the LTC and the Africa Bureau when establishing the relationships with the units formed for the CIS and Eastern Europe. For reasons mentioned above, the LAC Bureau and the LTC have not been able to make full use of the

mechanism, but lessons are close at hand if a successful model is wanted.

Some USAID missions tend to behave as if LTC is another for-profit contractor. The negotiation dynamic, however, is neither arms length nor equally matched. The missions inappropriately complain about LTC's performance when LTC's responsiveness is confused with its willingness to cut costs in negotiations. On the one hand, the LTC tends to underbudget the costs for work it proposes; they need to rationalize their proposal budgeting practices so every client pays for all of the services received. On the other hand, LTC has frequently attempted to include amounts ranging from \$3,000 to \$3,500 to pay for the project-related clerical and other support costs on buy-ins, but the missions shave the costs to eliminate the support. As indicated above, when missions do not agree to cover all of the costs of their projects, other funding sources--principally ACCESS II--subsidize the mission's work. The practice of subsidizing work for missions may be a desirable objective, but it should be done as part of a policy within the framework of a formal planning and decision-making process. The ultimate solution is to establish an A.I.D.-internal agreement about the circumstances under which the LTC can reasonably defer work; improve the channels of communication between A.I.D. and the LTC; and disconnect the budget/contract negotiation process from the performance evaluation process.

To avoid wasteful duplication, A.I.D. should encourage its other contractors and grantees utilize the LTC for work in this field through the ACCESS II, BOA or subcontracts. In that context, diversification may well mean that the LTC is funded through a broader set of arrangements, many of which will remain "A.I.D. funding", but will be provided through sub-contracts, joint-ventures and other mechanisms. To attract this set of clients, the LTC must become more visible and aggressive in pursuing every organization with funds for research and assistance in its areas of expertise. For its part, A.I.D. must assure that prime grantees and contractors are encouraged to use the existing resources rather than recreating the wheel.

A.I.D. should hold up the LTC as a unique national resource whose existence and prominence are due primarily to A.I.D.'s support rather than viewing the LTC as a development project. There is a long tradition of USG agencies supporting centers of excellence in specific fields where its interests are best served by maintaining a long-term relationship with a university. Those centers are expected: to demonstrate leadership in the work that they do; to anticipate, adjust and extend their capabilities in the new directions in the field; and to take their place of leadership in the debate of issues relevant to their area of specialty. With the LTC, A.I.D. has achieved an objective that recently eludes other agencies. Rather than measuring LTC's performance by an inappropriate standard, A.I.D. should step forward and accept the accolades for what has been accomplished through its long-term support.

RECOMMENDATIONS

1. A.I.D. needs to acknowledge that there will be circumstances under which the LTC can reasonably decline work without fear of a negative evaluation. The budget or award negotiation process needs to be separated from the performance evaluation process.
2. Before beginning the negotiation with LTC for the next CA, and for each of the five years thereafter, A.I.D. should meet internally to identify the highest priorities among its tenure-related research, T/A and assistance needs. The difficulty in developing a priority list may be greatly reduced by using an outside facilitator to help structure a process where R&D, regional bureaus and larger missions match their greatest needs with the resources available.
3. A.I.D. should meet internally to examine the ways in which ACCESS II funds can be used most effectively in all regions and missions rather than giving short-shrift to any single region.
4. The lessons from the overwhelmingly positive and productive experience of the Africa Bureau-LTC relationship should be transferred to the other A.I.D-LTC relationships.
5. When UW provides funding for LTC's activities, the ACCESS II funding released within the ACCESS II budget should be used to support long-term institution-building activities (e.g., planning, business development, investigator-initiated research and writing time for academic staff) not to subsidize buy-ins and other short-term requests from bureaus and missions.
6. To assist the LTC to diversify its funding, A.I.D., should recognize the legitimacy of the Center's efforts to develop business relationships and expand its research expertise to maintain its position on the cutting edge of the field.
7. A.I.D. should hold up the LTC as a unique national resource whose existence and prominence are due in great measure to A.I.D.'s support.

QUESTION 2. Based on cable responses to questionnaires, does it appear that A.I.D. missions are satisfied with the results of LTC work and with the overall management of LTC work in the field? Has the LTC been able to respond effectively to the needs for tenure-related research and assistance of A.I.D.? If not what are the constraints?

Both of these questions have been treated extensively above and in the preceding section of this report. There were several references to the management among the responses in the questionnaires completed by missions. The respondents overwhelmingly agree that the LTC does not place extra burdens on USAID operations in the field. A few respondents identified as problems long delays in reporting and the lack of Portuguese Language speakers among the LTC advisors. Another mission's response indicated that the missions lack sufficient funding for research, an issue discussed above in more detail.

Another mission's cause for concern was the funding delays caused by the involvement of the World Bank. A mission indicated that the research priorities were established five years ago. In the intervening period, LTC's work and the mission's objectives diverged. The institution of a participatory planning process referenced above would address that systemic problem.

On balance, the missions appear quite pleased with the LTC's activities in the field, from an administrative management perspective. Many of the responses which noted items of concern are not issues that the LTC is able to address without participation of A.I.D./W.

RECOMMENDATIONS

1. The respondents to the questionnaires were positive about the management of services they received from the LTC. The LTC should followup with missions to get more positive feedback about the specific services or instances when the missions were pleased. It is important for the LTC to adopt practices which clients find helpful or useful.

V. FINANCIAL REVIEW

A. GENERAL

Consistent with the Research and Development Bureau's routine project monitoring, a financial review was conducted as an integral part of the evaluation of the grants under cooperative agreements and a BOA, for buy-ins. This review was not an audit. Its objective was to ensure that the Land Tenure Center maintains adequate financial management and accounting procedures and has complied with the terms of the grant agreements and applicable laws and regulations.

The financial review focused on the data and records available in the Land Tenure Center's Administration Office and the "summary accounting control ledger statements" derived from LTC's basic data and original records. These summaries are a part of the automated processes performed by the University's Central Accounting Office. The summaries of LTC transactions are monitored by the Research Administration Office for compliance with OMB requirements and the provisions of the A.I.D. grant agreements.

It was noted by the UW Administrator of Research Administration that the total annual federal grants to the University of Wisconsin approximate \$200 million. This total compares with A.I.D.'s grants, including the core grant, add-ons and buy-ins, to the Land Tenure Center of about \$ 2 million annually, or about 1 percent of the total as shown on Table 1 (which follows).

B. ACCESS TO RECORDS

The Administrator of the Research Administration Office considered the following items under the scope of work of the financial review to be audit steps, i.e., beyond financial review:

- UW central accounting staff's job description and experience.
- controls over check writing procedures.
- interest income earned from R&D funds remitted to A.I.D.
- adequate bank reconciliation procedures.

In the opinion of the financial review specialist, testing of these aspects of UW's financial management system, as part of this review, is not critical to determining the adequacy of LTC's financial management system with respect to A.I.D. grants. This opinion is based on the extant audit coverage of UW financial systems as discussed below and the availability of other pertinent documentation and records for the financial specialist's review. Further, with respect to interest earned by UW on A.I.D. funds, which is to be remitted to A.I.D., we reviewed the "Federal Cash Transaction Reports" as of 12/31/91 and 2/29/92, reporting on Letter of Credit activity for withdrawals and disbursements for 20 active A.I.D. grants/contracts

with UW, submitted by UW to A.I.D./FA/FM. It was noted that the cumulative cash on hand at 12/31/91 and 2/29/92 reflected negative balances in both instances. In other words the net results, at least for the dates indicated, reflect that A.I.D. was reimbursing UW for expenditure of UW funds as opposed to A.I.D. advancing UW funds. In any event FA/FM monitors the cash status under Letters of Credit.

The other financial review steps were readily performed with full access to data and records maintained by LTC. Further, LTC personnel concerned with financial management were responsive to all inquiries. The person immediately responsible for the LTC financial documents and records has been with LTC for 30 years, i.e., since the beginning of the Center. He is knowledgeable of LTC financial activities and fully forthcoming on all relevant matters.

C. AUDITS

The State (Wisconsin) Legislative Audit Bureau is currently auditing the University's system for financial management of federal grants in compliance with OMB Circular A-133. UW expects the audit report to be issued in May 1992. The Administrator of Research Administration replied affirmatively to our request for a copy of the completed audit report to be forwarded to the R&D project manager and the A.I.D. grants officer. (The cooperative agreement requires the grantee to provide a copy of audit reports to the A.I.D. grant officer.)

The UW provided the evaluation team with a copy of the latest internal audit report, dated October 1990, of: UW-System Federal Grants and Contracts, OMB Circular A-110. This audit had the following objectives:

1. Determine compliance with the grant restrictions of the major federal granting agencies.
2. Determine adequacy of procedures and internal controls in accounting, payroll, purchasing and inventory systems as related to the grant transactions."

The audit covered the two-year period ending June 30, 1989 and the grants selected for review included a prior A.I.D. grant of \$187,203. No specific audit finding was directed at the management of the A.I.D. grant. The audit report stated that the audit was conducted in accordance with the standards for financial and compliance audits contained in the U.S. GAO's standards for audit of governmental organizations, programs, activities and functions. Their evaluation was for limited purposes and would not necessarily disclose all material weaknesses in the system of internal accounting control of the University taken as a whole. However, their examination disclosed no condition considered to be a material weakness. The audit report contained five relatively minor findings and recommendations. Further, it was noted that the internal audit tested charges made to selected grants and found the University in compliance with the material terms and conditions of the federal award agreements.

Table 1
(Page 1 of 2)

University of Wisconsin - Land Tenure Center
Grant No. DHR-5453-A-OO-9048-00
as of December 31, 1991

		Funds Authorized	Expenditures
LTC Core	(BE 59)	\$ 1,420,000	\$ 1,214,896
Land Markets (a)	(CK 47)	140,000	40,090
IC RAF (a)	(CK 48)	575,000	1,382
"Core" Sub-totals		<u>\$ 2,135,000</u>	<u>\$ 1,256,368</u>
African Land Mark	(BE 60)	461,197	314,179
LAC Core Program	(BE 61)	300,000	299,958
African Nat'l Inst.	(BE 62)	550,000	322,335
African Institutions	(BE 63)	250,000	147,040
Mali Forest Project	(BJ 23)	(b) 300,000	325,280
Sahel Region	(BN 71)	224,782	150,303
Guatemalan Land Mkts.	(BN 72)	422,445	322,565
Uganda	(BW 44)	403,000	284,745
WID	(BW 45)	208,015	115,527
Paraguay	(CH 57)	150,000	49,532
Mozambique	(CK 49)	636,769	96,100
"Add-ons" Sub-totals		<u>\$ 3,906,208</u>	<u>\$2,427,564</u>
Totals		\$ 6,041,208	\$ 3,683,932

Grant Budget Total \$ 6,638,000
Core 2,372,319
Add-ons 4,265,681

(a) OYB transfers to "Core" from Africa Bureau funding.
(b) Over-run being analyzed by LTC to determine propriety of charges.

Source: "Financial Status Report", SF-269, 12/31/91.

University of Wisconsin - Land Tenure Center
Basic Ordering Agreement (BOA)
(Provides for Mission buy-ins for technical assistance)

Mission	UW-LTC A/C No.	Budget	Expendi- tures	Comments
Dominican Republic	(BJ 17)	\$ 24,729	\$ 24,729	Completed
Paraguay	(BJ 38)	183,034	182,319	Completed
AFR/SWA/REG'L- Mauritania	(BR 80)	26,629	26,629	Completed
LAC Tech. Advisor	(BX 50)	588,500	135,934	as of 12/31/91
Mozambique	(BX 51)	108,317	108,317	Completed
Jamaica	(BX 52)	34,000	34,000	Completed
Costa Rica	(BX 53)	26,000	26,000	Completed
Guinea Bissau	(a)			
Senegal	(a)			

Notes:

(a) New agreements in the quarter ending 3/31/92. No billings submitted to date.

(b) In addition to the above accounts, the LTC records reflect a few direct purchase orders issued by the Missions to LTC, e.g., Honduras, Mozambique, and Guatemala.

Source: "Public Voucher", SF 1034 and Federal Cash Transaction Report" as of 2/29/92.

The evaluation team's inquiries directed to the Public Health Service (PHS) resident audit staff and the Regional Federal PHS Audit Manager, located in Chicago, Illinois, disclosed that their audits in recent years covered primarily Department of Defense contract costs. They have not conducted any studies of the internal control systems and procedural issues, nor any audits of A.I.D. grants.

D. ACCOUNTING SYSTEM

It was noted that expenses for the 'core', 'buy-in' and 'add-on' segments of the grant agreements were maintained by separate accounts for each agreement and financial reports were issued quarterly by the University of Wisconsin Research Administration to A.I.D./W/FA/FM and R&D, or the Mission as appropriate. Accounting manuals with standard account classification codes were provided by UW to LTC to use in differentiating expenses as to their nature and the propriety of direct or indirect charges. The central accounting office provides LTC managers with monthly summaries of expenses by the grant agreement budget line item and by details supporting the charges in the same report. In addition this report includes planned costs with respect to individual salaries, fringe benefits, requisitions for supplies and overhead, under the heading of encumbrances. If travel, per diem and communications were incorporated into the encumbrance portion of the system, it would provide for an accrual accounting of all costs. The standard provisions in the Cooperative Agreement do not require that LTC accounting records be maintained on an accrual basis. However, LTC is required to incorporate "cumulative expenditures" which should include committed or accrued expenses in a quarterly report to A.I.D. (See section I below.)

LTC's systems and procedures provided for compliance with the terms of the Cooperative Agreement and related legislation and federal regulations.

LTC's detail accounting records and procedures were fully adequate with no material weakness noted.

E. FINANCIAL STATUS REPORTS, SF 269 AND PUBLIC VOUCHER, SF 1034

The letters of credit procedures were employed under this cooperative agreement. Based upon many year of LTC-A.I.D. cooperation, the financing system appears to be in good working order with no significant procedural problems apparent at present. The official financial documents were examined at A.I.D./FA/FM and traced to supporting documentation in the files at LTC. These reports were found to be accurate and submitted on a timely basis. The examination found LTC supporting documents in conformance with the applicable financial provisions of the Cooperative Agreement and underlying Basic Ordering Agreement.

The Financial Status Report of 12/31/91 reflected the expenditures in excess of the amount authorized of \$300,000 for the Mali Forest Project by \$25,279.50. LTC stated that this issue has been substantially resolved, but it was resolved substantially by April 9, 1992. The R&D project manager should ask LTC for a detailed

explanation of how this "over obligation" is to be resolved, i.e., if there were charges to this account in error, or if the UW is to absorb these costs. The UW accounting system does not permit 'over-runs' to occur without notifying the department concerned and requesting their resolution of the problem.

It was also noted that small over-runs, less than \$1,000, occurred under the Basic Ordering Agreement for two projects in Mozambique and Jamaica as of the 12/31/91 report. However, the total expenditures were reduced to within the budget amount as of 2/29/92. The details of this revision were not disclosed by the financial review.

F. PERSONNEL COSTS

LTC records and discussions with the responsible accountant reflected that all salaries were within the maximum compensation rate permitted by the Cooperative Agreement, i.e., presently a daily rate of \$320, or an annual rate of \$83,200. We noted an analysis of this subject indicating that the UW fringe benefits package and the resultant rates appear to be in line with other educational institutions. In any event the fringe benefit rate, along with the overhead rate, are subject to negotiations between LTC and the Department of Health and Human Services according to the Cooperative Agreement. The review did not disclose any allowance, or entitlement exceeding A.I.D. regulations and standard provisions of grant agreements.

The UW has in place a system to ensure proper allocation of personnel costs for employees working on more than one grant or contract. Initially, "appointment reports", as part of the UW personnel and payroll procedures, are prepared for each employee showing the job assignment(s), percentage of time if more than one assignment and other pertinent personnel/payroll information. UW issues appointment change forms upon change in job assignments. Then semi-annually, UW uses the Personnel Activity Reports (PARS) for each employee, or the supervisor to confirm that the employee did in fact work on the project or contract previously assigned. This system is in compliance with federal effort-reporting requirements.

G. TRAVEL

UW has uniform travel regulations and allowances, which appear to conform generally with A.I.D. travel regulations, and LTC guidance conforms to the "Fly-America" Act. Travel is approved by the UW/LTC supervisor in advance and the approval of the A.I.D. project manager is obtained in advance of any international travel under the grant agreements. The review did not disclose any improprieties in the performance of, or reimbursement for travel under the grant agreements. However, it was noted that the UW/LTC accounting system did not record obligations for travel prior to submission of travel expense vouchers.

H. EQUIPMENT

LTC maintains records of all equipment and property, using inventory listings by category, identification number, function, location installed and the requisition number. These LTC property records are subsidiary to the property records maintained by the UW Property Control Office. Regularly scheduled physical inventories are taken. In scanning the expenditure records for the quarter ending 12/31/91 there was only one item, computer software costing \$262.50, charged to the equipment account. This item was traced to LTC's inventory records. The LTC person in charge stated that most of the property/equipment utilized by LTC was carried over from prior A.I.D. cooperative agreements.

I. QUARTERLY FINANCIAL REPORTS

Pursuant to Article VI, A.3. of the Cooperative Agreement, LTC " . . . will provide the A.I.D. project manager with quarterly financial status reports to facilitate monitoring of project expenditures under this cooperative agreement." Further, this reporting could assist in timely obligation of additional funds.

In line with the discussions during various Evaluation Team meetings with A.I.D. personnel and the Mission comments in response to R&D's questionnaire, the LTC reports on financial management information should be upgraded. The budget line item status report presently submitted by LTC does not afford enough data for adequate project management analysis. This financial review disclosed that most of the financial data is readily available in existing records in the LTC administrative office. For example, actual and planned personnel appointments, requisition listings are developed for estimating and recording encumbrances for salaries, fringe benefits, supplies and overhead. Only travel and communication costs incurred, but not paid for would need to be estimated for LTC to prepare an accrued expenditure report to-date and projections for the follow-on quarter. LTC could and should provide such information by specific detail, i.e., name of individual and related costs, trip details, et cetera., in a quarterly report to the R&D project manager with distribution to the Bureau and Mission managers as appropriate within 30 days after the end of the quarter. In the opinion of the financial specialist, this information will facilitate improved project management, particularly, in timely additional funding of projects.

J. RECOMMENDATIONS

This financial review disclosed that:

1. LTC did not provide the A.I.D. project manager with quarterly financial status reports on an accrued basis and with sufficient detail for project management purposes. (Article VI, A.3. of the Cooperative Agreement). This management report could be effected with minimum effort as LTC's formal records provide essentially all of the necessary detail information.

2. A.I.D. should follow-up on the three relatively minor "over-runs" of accounts as mentioned above in Section E above.
3. Given the on-going audit program at UW, an additional comprehensive audit of the A.I.D.-UW Cooperative Agreement is not recommended at this time. However, the A.I.D. project manager should obtain a copy of the report issued as a result of the State Legislature Audit Bureau's current audit for review and follow-up on any recommendations relevant to A.I.D.'s grant to LTC. If the scope of their audit is significantly limited, or if the findings are substantially negative, then a request for a comprehensive audit of the A.I.D. grant might be in order.

VI. FUTURE DIRECTIONS

LTC has established an enviable reputation as a leader in resource tenure research, remaining virtually alone in certain dimensions of its specialty. Some of the strengths of LTC policy research and technical assistance have been highlighted above. However, some gaps remain to be filled. Some of these efforts may not require new resources but instead greater collaboration with UW faculty or other off-campus resources. Others may succeed in attracting new and diversified sources of funding and talent to LTC.

The evaluators suggest the following future directions:

1. LTC and the ACCESS II project would benefit from a more broadly conceived notion of access to resources. Although the project is titled, "Access to land, water and other resources," much emphasis has been placed on land. Work on water resources is absent and it appears that trees are the only "other resource" which has been studied. Although LTC work has been done on irrigated agricultural systems prior to ACCESS II, the current natural resources theme suggests future research on watersheds (e.g., upstream-downstream issues) and water rights. Work under the natural resources theme could also expand into the arena of intellectual property rights, particularly those related to indigenous knowledge systems. In addition, LTC could move into so-called "brown" environmental issues by looking at tenure issues related to air pollution (e.g., proposed national or urban pollution credit systems).
2. Given the accumulated experience of LTC researchers in LAC and Africa, the time is ripe for a set of synthetic papers that are comparative across regions. Subjects that warrant attention include, (a) the range and determinants of transfers of land, including market-based transfers; (b) the relations among titling/registration, security of tenure and productivity; (c) the reciprocal effects between policies promoting non-traditional export crops and patterns of use of, and rights to resources, including land; (d) state-local co-management of natural resources; and (e) the influence of forest codes on agroforestry and other on-farm tree planting.

Notwithstanding the recommendation above, it is imperative that policy action based on comparisons across regions be done quite carefully. The high degree of variation which is found within geographic regions and also within countries, provinces and at the local level precludes a "cookbook" approach to tenure recommendations. For example, African recommendations for co-management may not be suitable in the LAC context and Caribbean findings on family tenure may not pertain to Central or South American situations.

3. Given the recent reorganization of A.I.D. into five regional bureaus, the prospective entry of LTC into the Newly Independent States (NIS) of the former Soviet Union is to be welcomed. The inter-regional comparative research envisaged here includes the

role of property rights in the transition from centralized economies to more market-based economies.

4. To balance intra-regional coverage, it is recommended that LTC explore additional opportunities for further research in Asia South America and southern Africa. The comparative non-traditional agricultural exports research planned for Chile, Paraguay and Guatemala is duly noted and encouraged. It is recognized that any expansion of program is likely to demand more resources and staff.
5. Research design and analysis under all themes would be improved with more systematic and coherent attention to the socio-political organization tenure rights. This effort would require a stronger staff base in sociological and anthropological theory and methods. For example, the "adaptation" model of tenure change and the proposed co-management model, in practice, may serve to reinforce an inequitable sociopolitical hierarchy. Analysis of intra-community and intra-household relations, in addition to other relevant levels of social organization, is needed to determine potential outcomes for production, income, resource rights and other equity concerns.
6. The disciplinary bases of LTC in both the natural and underrepresented social sciences should be expanded. This expansion can be achieved through greater collaboration with on-campus faculty and departments at UW, in addition to researchers and professionals at other universities and organizations. This broad-based interdisciplinarity is particularly crucial for work under the natural resources theme.
7. The natural resource research in particular, as well as work under the other two themes, could benefit from much greater collaboration with other A.I.D. project contractors/cooperators at different stages of research. These stages include problem identification, research design, analysis, synthesis and comparison. For the natural resources theme, examples of potential collaboration include work with DESFIL on indigenous people/natural forest reserve issues; SARSA on participatory rural appraisal methodologies; EPM on community management, ancestral rights of indigenous people and other tenure issues; EPAT on environmental policy; environmental NGOs working under the Global Climate Change earmark and with AFRICA/DP's assessment of participatory community activities. We commend LTC for already initiating some of these collaborative arrangements. We recommend that funds be budgeted to cover the additional costs incurred from collaborative arrangements.
8. The University and A.I.D. should view the Center as an entity with a future bounded only by LTC's ability to remain the leader in the field. LTC has all of the prerequisites to be considered a specialized center in the long tradition of USG-funded centers. The formalization of that designation and operationalization of that role need to be done to allow the Center to move to the next phase of institutional development.

9. Assuming that the UW and A.I.D. agree on the right mix of support and commitment, LTC should use the next five years of the funding to restructure the director's function. To successfully fill the role(s) required of a director of a first-rate center, the director should have strengths in policy research, technical assistance, fundraising, and management.
10. Assuming the continuation of the UW and A.I.D. partnership, LTC should use the next five years of core support from ACCESS II to diversify funding. At least ten percent of core funding should be devoted to activities related to diversifying funding. The requirement of complete financial self-sufficiency is unrealistic. Diversification may well mean that the LTC is funded through a broader set of arrangements, many of which will remain "A.I.D. funding", but will be provided through sub-contracts, joint-ventures and other mechanisms. To avoid wasteful duplication, A.I.D. should encourage its other contractors and grantees to utilize the Center for work in this field.
11. LTC should take the lead in establishing and institutionalizing a planning, budgeting and prioritization process which builds on the successes in its relationship with the Africa Bureau and which establishes expectations and allows for participation of sponsors in the Center's program planning activities. The LTC management and an appropriate mix of A.I.D. representatives need to work together to set priorities through a mutually agreeable process.
12. The Center should develop an aggressive strategic plan to maintain its place in the "market" and become involved in activities which will secure its position as a source of leadership in the field and, thereby, provide A.I.D. the services it needs. If LTC can be the primary resource for research and T/A, A.I.D., will not have to fund duplicative activities in other organizations.
13. A.I.D. should hold up the LTC as a unique national resource whose existence and preeminence are due predominantly to A.I.D.'s support rather than viewing the Center as a development project in an LDC, or another beltway bandit. There is a long tradition of USG agencies supporting centers of excellence in specific fields where its interests are best served by maintaining a long-term relationship with a university.
14. The Center and CALS should use the next two years to develop creative ways to engage UW faculty and external scholars in LTC's programs of research and T/A. LTC could strengthen participation by both UW faculty and externally-based scholars. Incentives for attracting UW faculty include initiating symposia, offering opportunities for sabbatical and similar programs. The faculty with whom the team spoke about the issue, indicated that funding opportunities for students are an attraction.

Attracting outside faculty and scholars (as visiting fellows and post-doctoral fellows) is to be encouraged. Selection criteria for visiting fellows should include a match between the visitor's proposed activities and the needs and interests of LTC. As part of their participation at the Center, they could become involved in research design, organizing conferences, publishing works, consulting on the research agenda, and giving seminars to graduate students and faculty of the University. Post-doctoral fellowships could be funded with foundation monies while visiting fellows would be expected to support themselves.

15. All of the duties of the LTC should be divided among three functional areas of Core, Departmental Administration and Projects. The protocol dividing the costs should be developed with participation of the A.I.D. clients and possible academic representation from both the CALS-level and the UW-level administrators. LTC, CALS and A.I.D. should develop an agreement about the specific tasks to be done as core activities funded by the CA and University funds, center-administrative activities covered exclusively by university funds, and project activities which should pay virtually all of their own costs except for the usual and customary afforded projects as core or overhead support. The CA should support core activities, similar to the approach applied in other centers where a grant or cooperative agreement funds the Center's core activities.
16. LTC management should develop a management team structure which is supported by a participatory planning process employed to generate annual and long-range plans.
17. LTC management should develop a human resources plan schedule time for all of the priorities of the academic staff and the management team. Additionally, job descriptions and compensation levels should be formalized. A labor market survey should be completed by LTC management (with assistance from a professionally qualified compensation analyst) to assess the amount of compensation received by individuals who perform similar duties at consulting firms, and similar organizations where low job security is the norm.
18. LTC should develop a roster of highly competent, short-term consultants should be developed who are able to take short-term T/A assignments. They can travel more and relieve academic staff who wish to travel less frequently. The role of the academic staff should be modified to emphasize planning, quality control in work design and monitoring, and team management.

APPENDICES

APPENDIX I

LIST OF PEOPLE CONTACTED FOR LTC EVALUATION

WASHINGTON, D.C.

A.I.D./AFRICA Bureau

Joan Atherton
Gary Cohen
Dana Fischer
Tom Hobgood
Mike McGahuey
Tony Pryor
Jay Smith
Ben Stoner

A.I.D./ASIA Bureau

Molly Kux

A.I.D./LATIN AMERICA/CARIBBEAN Bureau

John Dorman
Dave Gibson
Wayne Nilsestuen

A.I.D./RESEARCH & DEVELOPMENT Bureau

David A. Erbe, Deputy Director, RD/PO
Rosalie Huisinga Norem, WID
Pam Stanbury, EID/RAD
Gloria Steele, EID/RAD
Fred Sowers, CDIE

OTHER ORGANIZATIONS

WORLD RESOURCES INSTITUTE

Owen Lynch
Kirk Talbott
Peter Veit

WORLD BANK

Cynthia Cook
Peter Hazell
Shem E. Migot-Adholla
Raymond Noronha

CHEMONICS

Nancy Forster

INTERAMERICAN DEVELOPMENT BANK

Alfonso Blandon

UNIVERSITY OF WISCONSIN-MADISON

ADMINISTRATION

Dick Barrows, Associate Vice-Chancellor

Neal Jorgensen, Dean, CALS
Jane Knowles, Associate Dean for Administration
Eric Rude, Associate Dean, Graduate School and CALS Director, Office
of Research Services
David Trubeck, Dean of International Studies and Programs

RESEARCH ADMINISTRATION OFFICE

Robert H. Perkl, Administrative Officer
May Ann Stefonek, Accountant for A.I.D. Grants
Tom Stodolla, Accountant for Indirect Costs

FACULTY

Mark Beissinger, History
Daniel Bromley, Environmental Studies
Ian Coxhead, Agricultural Economics
Jim Delahanty, Geography

Betsy Draine, Women's Studies & English
Ed Friedman, Political Science
Raymond P. Guries, Forestry
Sharon Hutchinson, Anthropology
Edris Makward, African Studies
Russ Middleton, Sociology
Cyrena Pondrom, English & Women's Studies
Jeffrey C. Stier, Forestry
Joseph Thome, Law

GRADUATE STUDENTS

Javier Molina Cruz
Kent Elbow
Dan Maxwell
Cynthia Williams

LAND TENURE CENTER

ACADEMIC STAFF (AS) & ASSOCIATED FACULTY (AF)

Dick Barrows (AF), Agricultural Economics
Peter Bloch (AS)
John Bruce (AS)
Michael Carter (AF), Agricultural Economics
Joanne Csete (AF), Nutrition
Carol Dickerman (AS)
Mark Freudenberger (AS)
Steve Hendrix (AS) (Located in Washington)
Don Kanel (AF), Agricultural Economics, Emeritus
Susana Lastarria (AS)
Steven Lawry (AS)
Michael Roth (AS)
David Stanfield (AS)
Doug Steinbarger (AS)
John Strasma (AF), Agricultural Economics
Gene Summers (AF), Rural Sociology
William Thiesenhusen (AF), Agricultural Economics
Tom Schweigert (AF), Agricultural Economics

NON-ACADEMIC STAFF

Don Esser, Senior Program Assistant
Marilyn Fruth
Beverly Phillips
Steve Smith
Ann Strasma (Former Student Specialist)

USAID CABLE QUESTIONNAIRE RESPONSES

Jamaica
Guatemala
Costa Rica
Honduras
Mali
Uganda
Mozambique
ROCAP
Senegal
Guinea-Bissau

APPENDIX II

SCOPE OF WORK

MID-TERM EVALUATION OF

THE ACCESS TO LAND, WATER AND OTHER NATURAL RESOURCES (ACCESS II)
(PROJECT NO. 936-5453)

A. INTRODUCTION

This scope of work describes the key issues and concerns that will need to be addressed in a mid-term evaluation of the RD/EID/RAD managed Access to Land, Water and Other Natural Resources (ACCESS II) Project. The project, implemented by the Land Tenure Center (LTC) at the University of Wisconsin, will be evaluated by a core team of four senior professionals in April, 1992. The team will assess LTC's performance to date in achieving the project's objectives, conduct a financial review of the Land Tenure Center as part of the Research and Development Bureau's standard review of grants and contracts and make recommendations for the implementation of the second half of the project.

B. OBJECTIVES

The overall objective of this evaluation is provide guidance for the future direction of the ACCESS II Project. Specific objectives are (1) to assess substantive progress and achievements made in the research and technical assistance activities, including an assessment of LTC's progress towards institutional sustainability; (2) conduct a financial review to ensure that the Land Tenure Center has adequate and sound financial management and accounting procedures; and (3) make recommendations for overcoming possible constraints to achieving the outputs and goal identified in the Project Paper.

C. BACKGROUND

In 1989, A.I.D. initiated the Access to Land, Water and Other Natural Resources (ACCESS II) Project (No. 936-5453) as a follow-on to ACCESS I. ACCESS II is designed to improve the knowledge base on land and resource tenure and assist host governments, A.I.D., field missions and the rest of the development community to formulate solutions to tenure constraints on economic growth. Its overall goal is to promote broad-based and sustainable economic growth through the improved use and management of land and other natural resources. This phase of the project is to be completed 10 years from its implementation in August 1989.

The first half of the ACCESS II project is being implemented by The Land Tenure Center under a Cooperative Agreement (CA) and Basic Ordering Agreement (BOA) with RD/EID/RAD. Both are scheduled to end December 31, 1993. Under the project, The LTC has focused on three

thematic areas: (1) land markets and transactions; (2) tenure issues in natural resource management; and (3) institutional and structural dimensions of tenure change. The impact of tenure arrangements on women and concern for tenure security have been cross-cutting themes.

The current project is the most recent in a long history of A.I.D. support to LTC, which began in 1962 when the Center was established. In 1987, ACCESS I, also implemented by LTC, was evaluated by a team of outside experts who concluded that the project had substantially enriched the knowledge base on resource tenure issues and successfully created and strengthened the analytical capability of A.I.D. and host country researchers and policy-makers to deal with important tenure-related issues. It also identified a series of constraints, including LTC's lack of institutional sustainability without A.I.D. support, lack of incentives for researchers to focus on basic research, low profile of LTC and the need to shift to greater dissemination and resource constraints. ACCESS II was designed to address these key constraints.

At the present time, the first half of ACCESS II is nearing completion. It is a critical time to review what has been accomplished against the initial plans proposed in the Project Paper and what possible new directions the second half of the project should take. At the same time, the evaluation will need to address a number of institutional issues related to the Land Tenure Center's capacity to promote the goals of the ACCESS II Project and maintain itself as a center of excellence for tenure-related research. A.I.D. recognizes that tenure is a critical factor in resource use, management and protection and over the last three decades, has made a substantial investment in building LTC's capabilities as a center devoted to these issues. As a result, a second critical component of the evaluation will be to assess whether measures are being put in place to protect this investment.

Consistent with the Research and Development Bureau's routine project monitoring, a financial review will also be conducted as part of this evaluation. This is not intended to be an audit. It will provide management information which will allow the R&D Bureau to work with the Land Tenure Center to correct deficiencies in the financial management of R&D funds.

D. FOCUS OF THE EVALUATION

The evaluation will focus on four broad sets of issues:

- (1) quality and quantity of research and technical assistance provided;
- (2) institutional and management considerations related to LTC's operation; and
- (3) financial issues related to the Land Tenure Center's procedures for carrying out the regulations and agreement provisions.

- (4) recommendations for future resource tenure research and technical assistance activities in light of project accomplishments and anticipated tenure-related needs and recommendations for appropriate institutional arrangements related to LTC's operation.

1. Research and Technical Assistance

The evaluation will assess both research and technical assistance produced by LTC under the current CA and BOA. It will examine (a) the overall quality and quantity of work produced; (b) impact of work; (c) effectiveness of dissemination and synthesis efforts. This part of the evaluation will be conducted primarily by the tenure specialists.

(a) Quality and quantity of work

- Are the research and technical assistance of highest quality in terms of its planning, design and implementation as well as analysis and reporting of results? How is the quality assessed? To what extent have outputs been tested by peer review? What factors and constraints may have hindered LTC from producing high quality work? Has the project's technical assistance had an impact (positive or negative) in formulating the research issues? Has the quality of LTC research staff had an impact, either positive or negative and are the staff on the "cutting edge" of tenure research?

- Is research under the three theme areas of continuing relevance to current concerns of A.I.D. and other donors? For each geographic region, is there a coherent research program under each or some of the themes? Has the project adequately addressed the cross-cutting issues of (a) gender and (b) tenure security?

- How effectively are the LTC's Ph.D. in Development Studies Program and the Library contributing to generating high quality work and achieving the project's goal and purpose? How cost/effective are they?

(b) Impact and Relevance

- Does LTC appear to be significantly advancing the state of knowledge about resource tenure issues? What have been the new "product lines" emerging from this CA? Are the Project's impacts replicable and sustainable?

- To what extent have project outputs identified in the Project Paper been accomplished and how have these outputs contributed to the achievement of the Project goal and purpose?

- What specific impacts - either positive or negative - has the project had? Has it had an impact on policy and program decisions, new project design and/or host country capacity to address resource tenure concerns? Have research findings been

translated into policy reforms, legislative changes or otherwise contributed to positive changes in resource tenure arrangements?

(c) Dissemination and Synthesis

- What efforts have been undertaken to ensure dissemination of research findings? How successful have these been and how cost-effective? What additional needs for dissemination exist? Have findings been disseminated in a form useful for project implementors and policy makers?

- What progress has been made towards policy relevant synthesis of lessons learned under the three theme areas?

2. Institutional and Management Considerations

The evaluation will assess LTC's institutional and administrative processes, including (a) progress in improving institutional arrangements between LTC and the University of Wisconsin; (b) the managerial and administrative procedures within the LTC to handle on-going demands of the Project and (c) institutional relations with A.I.D./Washington and Missions abroad. This component of the evaluation will be the prime responsibility of an institutional specialist.

(a) LTC/University linkages. In September, 1991, A.I.D. representatives visited the LTC to initiate discussions about LTC's institutional support from within the University. Some of the critical issues the A.I.D. representatives addressed include inadequate involvement of tenured University staff in LTC's research and technical assistance activities, and the lack of diversity in LTC's funding source.

Major outcomes of the September meetings were: (1) agreement between LTC, the University and A.I.D. that under the present conditions, LTC is not institutionally sustainable without A.I.D. support - in other words it is currently not able to maintain itself financially and substantively as a tenure research institution over the long run; and (2) agreement that the University and LTC would develop a plan with measurable benchmarks for making LTC institutionally sustainable. The evaluation team will need to assess progress in building this institutional link, identify problems and suggest additional corrective measures. While LTC's long-term sustainability cannot be fully assured at this time, there should be some signs of progress towards this goal. These include:

- * development and formal endorsement by UW and LTC of a set of measurable benchmarks in order to foster LTC's institutional sustainability and progress towards those benchmarks;
- * progress towards LTC's integration into the University system;
- * LTC's progress towards diversifying its financial resource base.

Given these indicators of progress, the evaluation team will need to address the following:

- How effective are current and planned measures to ensure LTC's long-term sustainability? How likely is it that new measures will be workable in the long run? What are the constraints, if any, and how can such constraints be addressed? What improvements need to be made to enhance the attractiveness of LTC to University researchers and other scholars?

- Should institutional options for LTC outside the University of Wisconsin system be considered at this point and what are these options and the necessary steps to operationalize the preferred option? What are the chances of the University of Wisconsin maintaining LTC in the event of a much reduced financial support from external sources?

- Does LTC's institutional linkages with the University of Wisconsin compare favorably with other University-based centers, such as the Harvard Institute for International Development (HIID) or the International Development Management Center (IDMC) at the University of Maryland? What, if any, steps have other centers taken that have fostered a better working relationship and a greater chance for building a center of excellence?

(b) LTC's internal management and administration

- Within LTC, has the leadership fostered a coherent set of research and technical assistance activities? How effective have the Executive and Advisory Boards been in guiding the project towards its goals?

- How cost-effective is the current administrative support in terms of handling needs of the project? How can the administrative system be streamlined and yet maintain its effectiveness?

(c) LTC/A.I.D. linkages.

- What has been the impact of A.I.D. management (including RD/EID/RAD and regional bureau representation) on the management of the project and the quality of work produced?

- Based on cable responses to questionnaires, does it appear that A.I.D. missions are satisfied with the results of LTC work and with the overall management of LTC field activities? Has LTC been able to respond effectively to the needs for tenure-related research and technical assistance of A.I.D. If not, what are the constraints?

3. Financial Review

The financial review will be conducted by a financial review specialist. H/She will determine the adequacy of the following:

- the institution's accounting manual, chart of accounts, and accounting staff's job descriptions and experience;
- controls over check writing procedures.

In addition, the financial review specialist shall determine whether:

- required OMB audits are conducted in a timely manner and submitted to the cognizant audit agency;
 - financial reports (e.g., Financial Status Report, SF 269 and SF 1034, Public Vouchers) are accurate and supported by subsidiary accounting records; Financial reports are prepared and submitted on a timely basis;
 - RD funds are properly disbursed and accounted for in compliance with the agreement and in accordance with applicable laws and regulations;
 - adequate procedures are in place for using the method of financing, e.g., letter of credit, periodic advances, direct reimbursements;
 - interest income earned from RD funds is remitted to A.I.D.,
 - bank reconciliation procedures are adequate;
- salaries are within the maximum salary rate, and if not, a waiver was obtained -- increases are justifiable and not excessive;
- buy-in and add-on expenses are being accounted for separately and reported to Mission project officers;
- procedures are adequate to distinguish between direct and indirect costs;
- personnel charged to the grant can be accounted for;
- where personnel are working on more than one grant/contract, charges are directly related to the time spent on the agreement;
- allowances and entitlement are paid in accordance with A.I.D. regulations and provisions.
 - travel procedures are in place to ensure that trips are approved in advance and that travel is reasonable and conducted in accordance with A.I.D. regulations;
 - equipment and supplies are purchased in accordance with the grant, are properly identified and fully utilized for the intended purposes;

4. Recommendations for the Second Half of the ACCESS II Project

Based on its findings regarding past project performance and capabilities of the LTC, the evaluation team will recommend a course of action for the second half of the project. It will address and make recommendations about the following:

- What, if any, substantive changes in the theme areas of focus should be made? What, if any, changes in geographic focus should be made? What specific changes in the substantive direction of the project should be taken?

- Given the institutional and substantive concerns identified in the evaluation, what is the recommended course of action for RD/EID/RAD procurement of services for the second phase of the project. How should the second half of the project be implemented and managed? Would competitively bidding the project more adequately achieve its goals and purpose? Would competitive bidding jeopardize or enhance A.I.D.'s investment in LTC? What are the potential benefits and problems with alternatives?

D. Evaluation Plan

The evaluation will be conducted by a team consisting of four senior individuals, an institutional specialist, two tenure specialists and a financial review specialist. They will be supported by a team of resource personnel from A.I.D. regional bureaus and the RD/Women in Development office. The evaluation will commence in early April, 1992 according to the following schedule:

Prior to the evaluation, the RD/EID/RAD Project Manager will prepare a draft questionnaire to be sent to A.I.D. Missions which participated in ACCESS II Project activities. Comments on the questionnaire will be solicited from the evaluators and A.I.D. regional bureau and WID staff before the questionnaire is sent out. The senior tenure specialist will spend 1 day preparing comments and revisions to the questionnaire and will submit these to the RD/EID project officer. It is anticipated that mission responses will be available before the evaluation team begins its work March 30, 1992.

Day 1-3: Prior to convening in Washington, the team will spend three days reviewing project documents provided by the LTC and the RD/EID Project Manager.

The financial review specialist will review previous agreements, amendments and other relevant project documents, including payment vouchers, accounting system description, workplans and other relevant project reports, personnel policies, description of the Land Tenure Center's history and services.

Day 4: The team will convene in Washington for a one day team planning meeting during which time they will discuss the general tasks and goal of the evaluation and reach consensus. This meeting will be facilitated by a professional facilitator who is also a staff member in RD/EID. At this time, the team will also familiarize themselves

with all the key issues that need to be addressed and will assign responsibility for separate evaluation tasks and report preparation.

Days 5-8: Following the team planning meeting, the institutional specialist and tenure specialists will spend approximately 4 working days, interviewing relevant A.I.D. and non-A.I.D. personnel in the Washington area who are knowledgeable of the project.

Days 9-13: The team will then make a site visit to Madison (April 6 to 10, 1992) to discuss the project with key LTC staff, relevant university personnel, members of the Institutional Committee, Executive Committee and Advisory Committee, and others identified by the team.

Days 14-20: Following the Madison visit, the institutional specialist and tenure specialists will continue reading documents and conduct further interviews by phone and will then prepare draft sections of the evaluation report in their respective home offices. The team members will circulate draft sections among themselves for review.

Days 21-22: The team will convene in Washington to discuss the draft and make modifications which will be submitted to the team leader. The team leader will finalize the draft with concurrence from team members and submit five (5) copies of a draft report to the RD/EID/RAD Project Officer for review by RD/EID/RAD and Regional Bureau representatives by the end of the 23rd day of the evaluation process. The RD/EID/RAD project officer will circulate copies of the report to appropriate personnel for review.

Day 23 The team leader will hold a briefing for relevant A.I.D. staff in Washington. The briefing will be organized by the RD/EID/RAD Project Officer who will transmit the comments of the report to the evaluation team leader.

Days 24-26 The team leader will then finalize the report, including comments received by the RD/EID/RAD project officer and submit five (5) copies of the report to the RD/EID/RAD project officer.

Evaluation Team Composition

The RD/EID/RAD project officer will be responsible for recruiting four evaluators and for coordinating meetings with representatives from regional bureaus within A.I.D. It is anticipated that A.I.D. staff will only be available as resource persons and will participate in the briefing following submission of the final report.

The core evaluation team will consist of the following:

(1) Team Leader and Institutional Specialist. One evaluator will be the team leader and will be responsible for ensuring that the draft and final reports are written and submitted on time and for the overall smooth running of the evaluation. He or she will also be responsible for leading the institutional and administrative component

of the evaluation. This team member must have a background and experience in conducting institutional evaluations, preferably in University settings. H/She should have a proven track record and possess at least a MA in one of the social sciences, including business or management. Knowledge about alternative arrangements used by Universities to generate research support would be desirable. (Level of effort = 26 days)

(2) Senior Tenure Specialist. A second evaluator will be responsible for assessing the overall project inputs and outputs and advising on the substantive direction of the second half of the project. He or she will pay particular attention to the "land markets" and "institutional dimensions of tenure change" themes. H/She must be a senior individual and have extensive background and knowledge in resource tenure issues and possess excellent writing skills. H/She should possess at least a Ph.D. in one of the social sciences, including agricultural economics, political science, anthropology or law. (Level of effort = 23 days)

(3) Natural Resource Tenure Specialist. A third evaluator from RD/EID/RAD will be responsible for assessing specifically the Project theme area dealing with natural resources. He or she will also help assess the overall substantive direction of the project. (Level of effort 23 days)

(4) Financial Review Specialist. The financial review specialist will attend the team planning meeting and participate in the site visit to the Land Tenure Center in Madison. H/She will then prepare a distinct and separate chapter of the evaluation report on financial procedures. H/She will report to the team leader and will submit all drafts and final report to the team leader in accordance with the overall evaluation plan.

The specialist will be a senior person with extensive experience in financial control mechanisms and accounting procedures and be familiar with A.I.D. procedures and evaluation systems. (Level of effort 20 days)

In addition, the RD/EID/RAD Project Officer in charge of the ACCESS II CA will participate in the evaluation. She will attend the team planning meeting, join the team for the first half of the site visit in Madison and assist as needed in preparing for the evaluation. The Project Officer will also assist in collecting relevant documents and providing background information.

Reporting

The evaluation team leader shall be responsible for ensuring that copies of the draft and final reports are submitted to the RD/EID/RAD project officer. The report will include an institutional assessment, substantive assessment and financial review which includes recommendations for both the substantive focus and most appropriate procurement system under the second half of the project.

The draft report will be due on the 22th day of the evaluation and the final report on the 26th day of the evaluation. The final report will be no longer than 50 pages, exclusive of annexes. Both the draft and final reports shall contain an executive summary no longer than four (4) single spaced pages.

The financial chapter of the report will include (1) a determination that the organization has complied with the terms of the agreement and the applicable laws and regulations; (2) a conclusion regarding the adequacy of the accounting system and related procedures; (3) recommendations for changes in the present system; and (4) a determination as to whether a comprehensive audit is recommended.

Logistical Support

The evaluation team will be responsible for arranging their travel arrangements to Madison and Washington, DC and lodging in Washington. The team members will be responsible for providing their own wordprocessing facilities.

A.I.D.'s RD/EID Project Manager will make all pertinent documents available, will arrange meetings and reserve meeting rooms.

March 20, 1992

David Ward, Provost
150 Bascom Hall
Campus

Dear David:

Enclosed is the Report of the Committee on the Land Tenure Center.

The Committee believes that the Land Tenure Center (LTC) is a valuable university resource. Yet the University can take full advantage of this great opportunity for applied, policy-oriented research only by increasing faculty involvement in LTC and integrating LTC more fully into the academic life of the University. Increased financial support is the key.

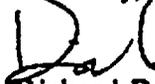
Our basic recommendation is that the College of Agricultural and Life Sciences examine the future role of LTC in the College. The College should develop a plan indicating explicitly how the College will promote the involvement of faculty in the LTC, provide financial support, define the relation of LTC to the instructional program in CALS, determine the role and assignment of CALS faculty to LTC, and ensure that the broader campus interest in LTC is adequately represented in governance structures and relationships to other units. If the College believes that LTC does not fit with its future academic plans or is unwilling to provide financial support, then other units at UW-Madison should examine the potential role of the LTC in their future academic plans.

The committee has been very direct, even blunt, in its discussion of the issues facing the Center and the University. We have not focused on the role of the U. S. Agency for International Development in creating or exacerbating some of the current problems, even though an equally direct and blunt discussion would be possible. Instead, the Committee focused on the place of the Land Tenure Center in the University, as you requested in the charge to the Committee.

The members of the Committee gave very generously of their time and energy, to conduct the review. This commitment was a clear indication of the Committee's view of the importance and potential of the Land Tenure Center.

I would be happy to respond to any questions or provide additional information.

Sincerely,



Richard Barrows
Associate Vice Chancellor

Office of the Provost and Vice Chancellor for Academic Affairs

Report of the Committee on the Land Tenure Center

to

Provost David Ward

March 20, 1992

by **Committee on the Land Tenure Center**

Richard Barrows, Associate Vice Chancellor, Chair

Daniel Bromley, Acting Director, Institute for Environmental Studies

Michael Carter, Professor, Agricultural Economics

Peter Dorner, Emeritus Professor and Dean, International Studies and Programs

Jcenne Elder, Undergraduate Advisor, Department of Sociology

**Kenneth Shapiro, Associate Dean for International Agricultural Programs,
College of Agricultural and Life Sciences**

Gene Summers, Professor, Rural Sociology

David Trubeck, Dean, International Studies and Programs

M. Crawford Young, Professor, Political Science

REPORT OF THE COMMITTEE ON THE LAND TENURE CENTER

The Land Tenure Center was established in 1962 and continues to play an important role in the University's international programs. The Land Tenure Center (LTC) is widely recognized as the world's leading institution for the study of Third World land tenure. The applied research and policy focus of LTC have earned it widespread recognition and respect among academic and governmental professionals in international development fields.

In the early years LTC's research centered on issues of land reform, social change, and agricultural development in Latin America. After a grant received in 1969, LTC also initiated research activities in Southeast Asia and after 1980 it began a major research program in Africa. Now, with new opportunities appearing in Eastern Europe, the former USSR and Central Asia, LTC is well positioned to expand its programs to those areas. In addition, LTC's research agenda has broadened to include not only land tenure and rural economic change but more general questions of property rights, conservation, and natural resource management.

Originally LTC reported directly to the Chancellor. This relationship changed in 1976 when the Chancellor appointed the LTC Director and Executive Committee and placed LTC as a separate administrative unit in the College of Agricultural and Life Sciences (CALS). LTC has associations with the Departments of Agricultural Economics, Agricultural Journalism, and Rural Sociology in CALS, departments in the College of Letters and Science including Geography, Anthropology, Sociology, and Political Science, the Law School and interdisciplinary units such as African Studies, Southeast Asian Studies, South Asian Studies, Latin American and Iberian Studies and the Institute for Environmental Studies.

The LTC has the potential to make a dramatic and substantial contribution to the academic mission of UW-Madison. The LTC has the potential to be the world's leader in research and public service in institutional change and development, particularly on the issues of property rights and natural resource use that are crucial to the future of emerging economies.

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UW-Madison students and faculty could reap great benefits from the opportunity to conduct applied research on issues of institutional change, property rights regimes, conservation and natural resource management that will be the leading questions in international development in the next decade and beyond.

THE PROBLEM

The LTC represents a unique and extremely important opportunity for faculty and students to become involved in applied, policy-oriented research in developing nations. The intellectual issues on the LTC agenda are central to the most important development issues of our time--the social and economic effects of institutional change in developing countries, especially as it relates to the control and use of natural resources.

Yet the University is failing to take full advantage of this great opportunity for applied, policy-oriented research and in the long run risks losing the LTC altogether. The intertwined sources of the problem are: (1) insufficient faculty involvement in LTC; and (2) lack of funding support of LTC from CALS; (3) the nature of LTC's external funding.

Faculty involvement. Many of the faculty originally active in LTC have retired or are nearing retirement. The LTC has not succeeded in integrating younger faculty into its research program to the same extent as the older faculty. Unless faculty/student involvement is continually renewed, LTC will drift from the academic and intellectual life of the campus and become a consulting agency with increasingly less reason for association with the university. At the same time it is important to keep the problem in perspective--the LTC is not completely divorced from faculty activity and a number of faculty have been able to fund graduate student dissertation field research and participate in research projects in various ways. Nonetheless, it is clear that the great potential of LTC is vastly underutilized.

This problem is not unique to LTC and has its parallel in many other international programs at UW-Madison's peer institutions. The problem is complex but various causal factors include age structure and cycles in the

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professorate; increasingly restricted state and federal budgets; tenure publication incentives for younger faculty; change in the academic focus of disciplines over time; the rise of two-career families and difficulty with long-term international assignments; a decline in optimism about international development potential; changes in focus of major public and private funding agencies and perhaps other factors as well.

Lack of Funding Support. The LTC problem in integrating younger faculty is in part caused by, and in part exacerbated by, a lack of flexible funding to encourage younger faculty to become involved in LTC programs. The funding problem is due to insufficient financial support from CALS, coupled with changes in the nature of funding from the U.S. Agency for International Development (USAID), a major supporter of LTC from its inception.

Since about 1980 USAID has reduced its flexible funding of LTC relative to funding tied to specific projects proposed by "country missions" within USAID. The more flexible "core funding" in the overall Cooperative Agreement between LTC and USAID has been steadily eroded as: (1) administrative salaries and other costs have increased; (2) LTC programs have expanded in response to increased demand, particularly in Africa; and (3) projects sponsored by USAID country missions (with relatively high administrative costs) have become a much larger share of the LTC total budget. The flexible funds available to LTC shrank steadily through the 1980's and an increasing portion became dedicated to administration.

The funding squeeze from external sources is exacerbated by the fact that the financial support provided by CALS to LTC is inadequate. The Committee noted that the absolute level of support is too low to maintain academic programs at LTC. Moreover, it appears that CALS' financial policy disfavors the LTC, which has generated research grant activity ranging from \$0.90 million and \$1.9 million annually over the past eight years. The combination of shrinking USAID flexible funds and insufficient financial support from CALS means that LTC is unable to offer faculty the type of flexible, long-term support that was once possible under the "core funding"

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Cooperative Agreement with USAID. Research possibilities are increasingly tied to specific country projects that are more inflexible in both time demands and funding constraints. Although the University's research mission is enhanced by opportunities for faculty research tied to policy development, the loss of flexible funding in the core grant, combined with the inflexible definition and funding of country projects, creates a disincentive for long-term faculty involvement.

Two interacting, negative cycles of activity were created. First, LTC became less attractive to faculty interested in pursuing long-term research programs. Second, decreased faculty participation was matched by increased short-term project activity carried out by academic staff and funded by USAID country missions. The academic staff had little choice but to pursue short-term projects, which in turn were more likely to be oriented to technical assistance than to broader issues of policy and applied research. In pursuing the short-term contracts, flexible funding remaining in the core grant has been allocated as venture capital to secure more mission-based project funding. Thus, the LTC has suffered from a negative cycle of "disinvestment" of faculty interest, time and expertise in the programs of the Center. In turn, this decline in faculty involvement makes it even more difficult for LTC to diversify its funding source.

In addition to the negative incentives created for faculty, the academic staff have come to feel more isolated from the academic programs of the University. The academic staff are pulled by funding imperatives to focus on securing new projects from USAID country missions and completing the necessary research after contracts are secured. The staff have no funding, and therefore very little time, to write for professional journals, teach undergraduate or graduate courses and participate in other aspects of the academic mission of the campus. Students and the national scholarly community are the losers when dissemination and transmission of knowledge is impaired.

The changes set in motion by shifts in USAID funding, together with the lack of a countervailing increase in CALS financial support, have decreased

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faculty involvement in LTC and led to an organization dedicated to pursuit of short-term projects designed and implemented by academic staff with increasingly less tie to other academic programs of the institution. The Committee views the actions of both faculty and academic staff as a rational response to the changing incentives. But the results of this rational response necessitate a reexamination of the role of LTC at UW-Madison and the relationship of the LTC to the teaching, research and public service functions of the institution.

THE SOLUTION

The solution to these problems must involve funding support for greater integration of faculty into the program of the LTC and integration of the LTC into the academic and intellectual life of the campus. This funding support should occur in several ways, although the details must be more thoroughly discussed.

A. Integration of Faculty into LTC Programs

As faculty originally active in LTC retired, changes in USAID funding for LTC reduced the funding flexibility needed to involve new faculty. What is required is a mechanism for revitalization. The mechanism must involve increased financial support of LTC. But the mechanism must also involve a means of integrating faculty and new academic issues into LTC.

1. LTC should have flexible funds to use to support integration of new faculty into its research program. For example, a new faculty member might be provided with a three year "start-up" grant of funds for a graduate research assistant and a month of summer salary. This would be an especially attractive package for a young, new faculty member. LTC funding could supplement or match funds supplied by the Graduate School or other sources. In turn, this would help diversify LTC's funding base. The annual cost of one such package would be about \$15000-20,000 with no match, or less if matching funds were provided from other units.

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2. LTC should have flexible funds to sponsor an annual, competitive "mini-grants" program to enable faculty to explore topics that may evolve into larger LTC research projects or programs. Priority in funding could be given to projects with matching funds from the Graduate School, International Studies and Programs or other internal sources of "venture capital." This will also help diversify LTC's funding base. The cost of such a program might be \$10,000 per grant (assuming no match) with several grants given each year.
3. LTC should have flexible funding to use as "seed money" to support faculty involvement in emerging issue or areas that might develop into major programs of research. For example, travel and expense support for faculty to explore funding possibilities might pay huge dividends in diversifying the LTC base of financial support and reducing reliance on USAID. Again, priority could be given to projects with matching funds from the Graduate School, International Studies and Programs or other internal sources of seed money for new projects. The total cost might be in the range of \$25,000 per year.
4. A particularly useful and low-cost activity might be for LTC to provide space and at least minimal secretarial support for faculty to physically work near the academic staff that drive many of the field projects. The total annual cost might be in the range of \$5,000-10,000 per year, plus office space.
5. Faculty participation and leadership for LTC is essential in integrating LTC and University academic programs. Therefore more faculty FTE's must be dedicated to leadership and management of the Center.

B. Integration of LTC Programs and Staff

In addition to the direct financial support of LTC to help integrate faculty into the programs of the Center, the University could take better advantage of the expertise and experience of LTC academic staff by better integrating them into the academic programs of the institution.

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1. Administrative leadership in the University should facilitate integration of LTC academic staff with departments as lecturers, for courtesy appointments, or for partial or full tenure-track appointments. Likewise, LTC should involve departments prior to making new academic staff appointments to help ensure integration with departmental programs.
2. The University should seek to integrate academic staff into the instructional program of the University. For example, some of the LTC academic staff would like to become more involved in teaching and would bring a wealth of knowledge and experience to either a lower-level undergraduate course or a graduate level "practicum" in development technical assistance. The cost of this option depends on the extent of participation.
3. The academic staff should be encouraged to participate on university committees, as some staff now participate in the Program Committee of the African Studies Program.
4. Academic staff should have more opportunity to do more research and writing more writing for professional journals. This will require different assignments, periodically, for LTC academic staff.

G. The Relationship with USAID

Given that the University increases its support for LTC, in negotiating the next Cooperative Agreement with USAID the University should ensure that the overall relationship is more supportive of the research mission of LTC and that more of the USAID funding is available for research and faculty involvement.

FUNDAMENTAL QUESTION

The adverse incentives that prevent full realization of the LTC potential can be overcome with institutional funding. Yet the fundamental question is whether the intellectual content of LTC programs fits with the future directions of academic programs of any unit within UW-Madison. Funding

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to overcome the USAID disincentives can be justified if, and only if, the programs of the LTC are consistent with the intellectual vision, and the academic plans, of some part of the University. Changing the incentive system and addressing the other issues in the charge to the Committee depend on the answer to this fundamental question. The role of the LTC in the intellectual life of the campus is the central question that must be answered before any progress can occur in resolving the other issues in the charge to this Committee.

RECOMMENDATION 1

The College of Agricultural and Life Sciences must determine what role, if any, the LTC will have in future research, teaching and public service programs of the College.

COMMENTS

1. CALS should devise a plan that addresses the role of the LTC in the programs of the College, indicating explicitly how CALS will: (1) promote the involvement of faculty in the LTC; (2) provide financial support for LTC; (3) define the relation of LTC to the instructional program in CALS; and (4) determine the role and assignment of CALS faculty to LTC; (5) ensure that the broader campus interest in LTC is adequately represented in the governance structures of LTC or the relationship of LTC to other units. The governance structure should be jointly developed with the Dean of the Office of International Studies and Programs.

2. CALS should address this question immediately and present a plan to the Provost by September 30, 1992. The information and knowledge needed for a decision are present: the LTC intellectual agenda and potential are clear; the CALS discussion of curriculum reform has clarified international instructional activity, the CALS Futures Committee and the self-study have reviewed all CALS programs and suggested directions. Increased financial support of LTC is key in producing the flexibility that can revitalize faculty and student participation. CALS should quickly decide whether it will provide the funding

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support essential to realizing the full potential of LTC. If current budgetary problems do not allow CALS to respond immediately, the broader University interest in the LTC provides a rationale for the University to provide short-run financial support, such as a "bridging" grant or a loan, to assist CALS in providing support to LTC. The budget officers for the University and CALS must determine if such short-term support is necessary. Finally, LTC is facing a site review from USAID and will soon enter negotiations for a new five-year Cooperative Agreement. Some of the issues of institutional financial support and long-run role of LTC are important to LTC, and may be important to USAID, in these negotiations.

RECOMMENDATION 2

If CALS believes that LTC does not fit with its future academic plans or is unwilling to provide financial support, then other units at UW-Madison should examine the potential role of the LTC in their future academic plans.

COMMENT

1. The intellectual issues addressed by the LTC could potentially fit with the programs of several units at UW-Madison. The Institute for Environmental Studies has faculty and students interested in issues of natural resource management, including the type of basic legal and economic issues addressed by the LTC. The Law School faculty and students have interests in property rights systems and environmental and natural resource law. Other units, such as the College of Letters and Science may also find the LTC interest in economic and social change consistent with the future of their academic programs. The LTC might also fit well within the Office of International Studies and Programs, especially given the newly-formed Institute for Global Studies or the potential for grouping several related programs into an Institute for Development Studies.

OTHER LTC ISSUES

The Committee was asked, in its charge, to address three related but less fundamental issues:

- Funding for the LTC Library.
- The relation of the Center to the PhD in Development Program.
- A physical home for the Center.

Each of these issues is discussed in more detail below.

Recommendation 3

The LTC Library should be maintained as a collection and funded by the University. The cost of any USAID use of the facility should be paid by USAID as a specific cost item in future cooperative agreements or other grants.

COMMENTS

1. The LTC Library is an internationally known collection of government and international agency reports, published research, and unpublished studies in English, French, German, Spanish, and Portuguese. The collection is particularly valuable because of its size (perhaps the largest in the world) and the large number of rare government documents and research reports from Third World nations. Survey data show that the library is heavily used by students and faculty from many schools and colleges and is widely recognized as a campus resource linked to LTC. Surveys show use by students from many schools/colleges. The library is also a significant attraction to international scholars and graduate students from other institutions.

2. The financial support for the LTC Library has been a point of debate between USAID and the University for many years. Essentially USAID argues that the Library should be totally supported by University funds and the University has argued that USAID obtains significant benefit from the special nature of the collection and should pay a part of the cost. The Committee believes that Library support from USAID is warranted if:

- a. it is important to maintain the collection in a form most useful to USAID programs but different from normal UW-Madison procedures;

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b. the Library provides services to USAID projects (e.g., bibliographies) or if library staff participate in USAID-funded projects;

Otherwise UW-Madison should assume all control and responsibility for the LTC Library, but must recognize the unique character of the fugitive-materials and the unique international resource represented by the library. This implies that the University should develop management procedures and systems for the LTC Library that may differ from other library units, in order to preserve the value of the library collection. In addition, the collection is valuable primarily because it is in one physical location; so dispersing the material to several locations would destroy the very essence of the unique library resource that should be preserved. The University must decide the best use of existing collection and the future of the LTC library. Again CALS must take the lead in preparing a plan for consideration by the General Library System and campus administration.

Recommendation 4

The Development Studies doctoral program should be reviewed.

COMMENT

The PhD in Development degree (Development Studies Program), now administered by LTC, is an interdisciplinary program established in the 1970s. Historically, the program has served a need for an interdisciplinary program in international development. However, because of changes in other university programs over the past two decades, it may be useful for the Graduate School to conduct a review of this program and its place in the university's academic offerings. The administrative costs of the programs should be carefully reviewed, particularly with reference to any significant cross-subsidy from the research funding in the LTC grants. The relationship of the program to the LTC should be examined, including the potential benefit of engaging LTC academic staff as committee member under Graduate School rules.

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Recommendation 3

The planned physical relocation of LTC to the WARF Building should not proceed.

COMMENT

The physical move to WARF will exacerbate the drift to intellectual isolation by making it more difficult for faculty, and particularly for students to interact with LTC researchers, both faculty and academic staff. The proposed move to WARF will exacerbate the problems of integrating CALS and other faculty into LTC activity and integrating LTC academic staff more fully into the academic programs of the University. Specifically, the move to WARF will increase the costs of overcoming physical distance and physical isolation and will reduce interaction between faculty and LTC academic staff and between LTC academic staff and students.

If CALS determines that the LTC has a major role to play in future academic programs, CALS should take leadership in securing space. However, because the LTC program benefits the entire campus, it is appropriate for the physical space issue to be considered at the campus level.

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