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Report to USAID Washington on recent activities at
.1 University employing funds from the Strengthening\Grant

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INTRODUCTION

Cornell University was one of the first if not the first land grant university to be audited from both a financial and management standpoint. This audit was conducted by Mr. Donald Ryder from March 7 to 10, 1983. Following this audit and on being informed our previous financial report was incomplete, an update was presented to Dr. Erven Long on May 4, 1983. During that meeting, previous and continuing problems in the reporting of Cornell activities to USAID in which Strengthening Grant funds (SGF) were expended were discussed. It was repeatedly emphasized that USAID needed more information from Cornell about how the SGF would strengthen Cornell University to better respond to USAID requests for assistance in implementing its global mission. It was further emphasized that this report is essential to the continued utilization of SGF after October 1, 1983.

For the above reasons, plus the fact that the current Title XII Representative entered that position only in October 1982 without benefit of thorough briefing from either his predecessor or USAID on reporting procedures, he assumes in preparing this report that the financial aspects of the SGF are not in question and will present here the examples of how use of SGF have both strengthened Cornell University and supported USAID in meeting its mandated global responsibility. The report will center on the most recent activities involving SGF but examples will also be drawn from previously reported activities to demonstrate the effective utilization of SGF for the above stated purpose.

In closing this introductory paragraph, it is strongly requested that any deficiencies in this report in either content or format be reported back to the author in writing as soon as possible so that Cornell University can meet its reporting obligations as desired by USAID.

BACKGROUND

While the author was actively involved in supporting the passage of the Title XII legislation (the record shows that more New York representatives - 34 of 38 -voted for the bill than from any other state) and in the pre-BIFAD activities of the Joint Research and Country Program Committees, his subsequent 5½ year assignment in Indonesia has caused a vacuum in knowledge of interim events. It is amply clear however, that the Cornell proposal for SGF was somewhat unique in requesting support for graduate student research abroad, support for young faculty members to provide an international dimension of experience to them through advising their students abroad and providing for "mini-sabbatical" leaves abroad and support for foreign scientists to join in international activities on the Cornell campus. Most of these activities are not seen by some USAID officials with whom I have talked as strengthening Cornell University to support USAID's needs. The problem is further complicated by the moratorium and restrictions on international travel. This procedure has been followed at the expense of markedly reduced activity in our SG program and much additional administrative time and frustration to both parties.

I would present the following facts which I believe support Cornell's use of SGF in the present mode and, I hope. relieve USAID fears that the funds are being misused in a way USAID could not support under Congressional scrutiny:

(1) Cornell University is unique among U.S. land-grant colleges in that 11 full time faculty members in the College of Agriculture and Life Sciences (CALS) and at least three faculty in its Division of Nutritional Sciences (DNS) are paid on State or other non-Federal funds to devote 100% of their time to international concerns in agriculture, food and nutrition. The core activities of these faculty members

provide a basis for the "multiplier effect" of stimulating interest among other students and faculty in pursuing international interests. In CALS, we estimate that about 33 full time faculty equivalents (FTE's) are devoted to international agriculture and food issues. My personal estimate is that at least 5 or 6 additional FTE's in the DNS could also be counted on funding other than that provided through USAID project funding. With 1983 salary increments counted, the State of New York is providing over $500,000 per year in support of these 11 CALS full time professors only and a conservative estimate for the near 40 FTE's in CALS and DNS would be over $1.5 million annually on non-USAID funding. A significant portion of this expertise serves USAID needs each year - often at little or not direct cost to USAID..

(2) With the development of our total Program activities has come the listing of 56 academic courses whose content is at least 50% devoted to international agriculture, food and nutrition issues. These courses serve the more than 300 foreign students seeking degrees and an estimated equal 300 U.S. students with similar career interests. Our specialized Master of Professional Studies (MPS) degree is especially designed for mid-career people and 6 USAID staff have been trained in this program in International Agricultural and Rural Development and possibly a like number have received similar training in nutrition.

(3) None of the SGF are used to support graduate students while they are on the Cornell campus either before or after their foreign assignments. This too, provides a multiplier effect to the utilization of these USAID funds. Other sources of support are from Fulbright grants, private foundations, New York State and Cornell University as well as international agricultural research centers.

The above detail is provided to point out that the questioning of the value of SGF in strengthening Cornell to respond to USAID's requests is a narrow definition of the word "strengthening". In a Program such as ours, support of graduate students and young faculty is indeed a strengthening function. If our full time faculty would respond to USAID mission requests for long term assignments (6 months or longer)

in any significant numbers, our being "strengthened" to serve USAID needs would result in the "weakening" if not the demise of our on-campus programs.

Finally in this background paragraph, I wish to assure USAID that the utilization of funds to support graduate student research abroad is not a new innovation to utilize Title XII funds. The training of graduate students abroad became institutionalized in our Cornell-University of the Philippines project which was funded by the Ford Foundation. Of the 23 Cornell graduate students who conducted their thesis research abroad, 15 or 65% remain in positions primarily involving international work - one is a USAID official in Nepal and 10 have served with international research centers or foundation offices abroad.

GRADUATE STUDENT THESIS RESEARCH ABROAD AND STUDENT SUPPORT TO USAID MISSION ACTIVITIES.

We have been told repeatedly by some USAID/W officials that using SGF for support of graduate students does not strengthen Cornell University's response posture to USAID needs. This is a narrow view and the purpose of this section is to demonstrate that, as employed in a professional graduate education context, supporting graduate student thesis research abroad not only strengthens Cornells' ability to respond to USAID requests but also directly supports USAID mission activities in the countries where thesis research is conducted and produces a trained manpower pool to staff future USAID initiatives.

Admittedly, not every graduate student supported by these funds has made direct contributions to mission activities and the most positive examples are featured. Also, the writer has interpreted response to USAID needs broadly. Positive responses include AID supported activities such as the international agricultural research centers and the training of host country nationals who will likely continue involvement in USAID funded projects within their native country on completion of their graduate study.

1. Examples of support coordinated with other USAID/Cornell project initiatives.

a. Farming Systems Research Project-Eastern Visayas, Philippines.
Mr. Robert Pomeroy is a graduate student in agricultural economics studying under the direction of Dr. Randolph Barker who chairs our campus committee on the implementation of this project. Mr. Pomeroy will be in the project area from June 1983 through May 1984. His study is on the importance of fish rearing, catching and marketing in the farming systems of the Viscayas in both coastal and upland areas. His study will examine the household income structure and consumption patterns in these areas and their linkage with labor utilization, roles of markets and constraints to the system in order to suggest improvements. The arrangement of using SGF to support this project was a part of the negotiations in contracting this host country project in 1982.

b. Water Management Synthesis Project (WMS-II)
Mr. Robert Yoder is a graduate student in agricultural engineering advised by Dr. Gilbert Levine and Mr. Edward Martin is a graduate student in agricultural economics advised by Dr. Randolph Barker. Both Martin and Yoder have been conducting their thesis research in Nepal since November 1981 and will return to the US in August 1983 after assisting the USAID Mission in conducting a water management seminar in late July-early August 1983. These men and their advisors planned their joint thesis research on the topic of "Water Resource Management for Rural Development in Nepal" with USAID/W and USAID/Nepal officials. Both are fluent in Nepalese. Both have been visited by their advisors who did not travel on SGF. Both the students and their advisors have assisted USAID/Nepal personnel in defining the role of rural

irrigation in Nepal's development and the 1983 seminar is a result of this mutual interest. The seminar will be sponsored under the WMS-II project.

SGF are used as only partial support to these two students. The Ford Foundation and Appropriate Technology, Inc. are providing the additional support - another example of the "multiplier effect" in SGF use. Three Cornell faculty, Barker, Levine and Uphoff will also participate in the seminar in Nepal. Not only has these students' research directly served the USAID/Nepal mission, but it has kept their advisors current on conditions in Nepal so they can make meangingful contributions not only to the Nepal seminar but also to the WMS-II thrust.

Finally, should USAID/Nepal decide to expand its interests in Nepalese irrigation and water management, both Yoder and Martin would be likely candidates for providing further service to this country mission through either USAID hire or by employment through a contractor.

Prior to the WMS-II project, a group of Cornell faculty had a USAID grant supporting study of the socio-technical aspects of irrigation. Mr. Douglas Vermillion, a graduate student in rural sociology and advised by Dr. M.L. Barnett conducted his thesis research on Sulawesi, Indonesia with SGF support. His research analyzed the decision making processes related to irrigation utilization in an agricultural resettlement area. His study in a context of farming systems and a regional economy has provided useful information to the Cornell faculty working in the farming systems, resettlement and water management areas. Dr. Barnett is heavily involved in the USAID funded farming systems and water management projects.

c. Nutrition Projects USAID/Cornell

The Division of Nutritional Science (DNS) bridges two colleges at Cornell - agriculture and human ecology. There has been an International Nutrition Program in the DNS for some time and they have a number of USAID funded projects. I apologize for being less familiar with the specific activities of these projects than those previously described but I do have the following pertinent facts on how the SGF have supported USAID project/mission activities in the nutrition area.

First, SGF will partially support the research of Ms. Lenore Launer, a graudate student in DNS advised by Dr. J.P. Habicht. The SGF support for six months, complements a one year Fulbright Scholarship to allow Ms. Launer to complete her research on the variable link between maternal work patterns, infant feeding patterns and growth in Madura, Indonesia. Ms. Launder's advisor is the Principle Investigator of the USAID funded Nutritional Surveillance project in Indonesia and her work is closely related to the USAID supported cooperative agreement on maternal and child nutrition. Ms. Launer will be in Indonesia from January 1983 through June 1984.

Second, SGF provided partial support of the thesis research of Juan Aguilar, M.D. and Demetria Bongga a nutritionist from the Philippines. Both of these student theses directly supported the USAID funded project (AID/DSAN-C-0009) on the prevention of blindness resulting from vitamin A deficiency in the Philippines. Complementing these two students' activities was an advisory trip by Dr. Dennis Miller who gained valuable experience while assisting this project and SGF support to Dr. T. Fernandez, a faculty member of the Cebu Institute of Medicine. Dr. Fernandez had collaborated on the AID funded vitamin A project in the Philippines and while at Cornell, he assisted in the data analysis on that project. This example

of support to two Filipino scientists on SGF could also be questioned as to the effect of strengthening Cornell but there can be no doubt that USAIDs relations with Filipinos who support its projects in the field were strengthened by this action and the SG provided a useful mechanism to provide this supporting activity.

A third activity involved SGF support to Mr. Ted Greiner for travel to and from North Yemen to supplement Rockefeller Foundation support of his thesis research on a pilot project to investigate methods to increase breastfeeding. Mr. Greiner's advisor is Dr. Michael Latham. While in Yemen, Mr. Greiner advised on a national nutrition survey supported by USAID. Mr. Greiner has finished his degree program and will be returning to Yemen shortly to be involved in USAID projects there - another example of SGF providing a "multiplier effect" and a valuable trained person to become directly involved in additional work supported by the USAID Mission.

A fourth and final activity to report in the nutrition area involves SGF support to Mr. Soekirman, an Indonesian nutritionist and senior staff member of BAPPENAS the national planning agency. Mr. Soekirman conducted his thesis research in Indonesia from June 1981 to January 1982 in conjunction with the USAID supported project on infant feeding practices (AID/DSAN-C-0211). On completion of his work at Cornell, Dr. Soekirman will assume a more responsible position in BAPPENAS and will continue to be a resource person for the Indonesian Nutrition Surveillance Project which is supported by USAID funds through a host country contract. Having recently returned from 5½ years in Indonesia, I can assure you that having Dr. Soekirman in this responsible position in BAPPENAS will be a great advantage in the implementation of USAID/Cornell nutrition projects in Indonesia.

2. Examples of graduate students' thesis research directly supporting USAID initiatives abroad.

a. Animal Science

Ms. Nancy Conklin conducted a portion of her thesis research in Costa Rica on nutrition of range livestock in tropical savannah areas from October 1982 to April 1983. While in Costa Rica, she taught in a USAID sponsored short course on the role of treecrops as animal feed. She will return to Costa Rica again in August 1983 to participate in another USAID sponsored training course in agroforestry. Her thesis research related well to the USAID mission initiative in rural development. Forage samples from selected treecrops have been analyzed at Cornell and added to the international data base being collected on tropical forages by Ms. Conklin's advisor, Dr. Robert E. McDowell.

Mr. Michael Sands, also a graduate student in animal science received partial support from SGF to conduct his thesis research in the Kenyan highlands on the nutrition and feasibility of crossbreeding dairy goats to benefit that region. His work was co-sponsored by Winrock International and his research directly supported the USAID-funded Small Ruminant CRSP project at that site. Mr. Sands advisor Dr. Peter Van Soest visited the research site in January 1981 and advised on the research project. Dr. Van Soest is an internationally renowned specialist in his field and the SGF funding mechanism provided his counsel to this AID initiative in the developing country.

Mr. Michael Goe has been conducting his thesis research in Ethiopia under the direction of Dr. Robert E. McDowell. Mr. Goe's study on animal traction is also supported by ILCA under whose sponsorship he is working. Dr. McDowell chairs the ILCA Board of Trustees and thesis research abroad of his students

certainly strengthens his knowledge and response capability in his ILCA responsibilities as well as other cases where USAID missions seek his counsel.

b. Social Sciences

Ms. Diane L. Wolf is a graduate student in rural sociology who conducted her thesis research in Indonesia with SGF support. Her research centered on rural industrialization, particularly the development of modern manufacturing in one area of rural Central Java. Her advisor, Dr. Edward L. Kain visited the research site and gained valuable insights on the international perspectives of his discipline which he has incorporated into his teaching and research activities. Ms. Wolf maintained close contact with Douglas Tinsler head of the USAID's Office of Rural Development and Mr. Robert Dakan in USAIDS Private Enterprise Project. Ms. Wolf reported that there was some discussion of USAID employing her as a sociologist in the Private Enterprise Project if such develops and her experience in Indonesia for thesis research will suit her well to respond to such a request. She also served some Women in Development initiatives and worked with USAID mission officials on these matters.

Mr. Chil Mirtenbaum has recently departed for Bolivia where he will conduct thesis research on the institutional constraints to resettlement projects in that country. Dr. M.L. Barnett is Mr. Mirtenbaum's advisor and has a number of years' service in Malaysia working with resettlement projects. Mr. Mirtenbaum hopes to become a USAID Mission employee when he completes his degree and is maintaining close contact with USAID Mission officials while in Bolivia. His research will add a comparative perspective to the resettlement issue. This research will provide insights to the social aspects of farming systems project activities in which Cornell faculty are involved.

Ms. Irene Whalen conducted her thesis research at the Rural Development Institute of Cuttington College in Liberia on the subject of small farm-plantation interactions from July 1980 to December 1981. In addition to her research, she taught a course at this USAID supported institution. She was visited by her advisor, Dr. M.L. Barnett while there but Dr. Barnett's travel was not paid from SGF. One of our faculty in rural sociology became heavily involved in the Cuttington College/Rural Development Institute project funded by USAID and participated in the Presidential Review team of the USAID assistance to Liberia. Ms. Whalen's experience was a significant contribution to Cornell's competence in responding to these requests for assistance to AID.

c. Plant Sciences

Mr. Kevitt Brown, a graudate student in plant breeding was partially supported by SGF to conduct his thesis research on rice at IRRI. He was advised by both Drs. Sorrels and Coffman. Dr. Coffman came to Cornell after a number of years experience on the IRRI staff and such contacts enable Dr. Coffman to maintain current views on the rice picture in Asia. After having this experience with rice in Asia, Dr. Brown is particularly well suited to his current position as rice breeder in the USAID funded applied agricultural research project in Indonesia where he is employed by a consulting firm.

Mr. Dennis Shannon conducted his thesis research in agronomy at IITA and studied soil fertility in relation to soybean production in Nigeria. Dr. Madison Wright, his advisor, traveled to Nigeria to advise on his research and consult with IITA scientists. On completion of his degree Dr. Shannon was offered and accepted a position in the grain legume program at IITA. The international travel was paid from SGF and IITA provided Mr. Shannon's maintenance while in Nigeria.

GRADUATE RESEARCH/PROFESSORIAL RELATIONSHIPS IN SUPPORT OF USAID MISSIONS AND PROGRAMS.

As mentioned above, we estimate that over 30 full-time faculty equivalents in the College of Agriculture and Life Sciences are devoted to international agriculture activity. Numerous examples have been given which illustrate how graduate thesis research strengthens Cornell faculty in their ability to respond to USAID requests for assistance. The following are examples of use of SGF to support professorial activity abroad.

1. Professor Gilbert Levine - Agricultural Engineer - has shaped his career in irrigation water management research. He has had eight graduate students in his area all of whom have developed careers in international research, some in direct service to USAID. The example of Mr. Yoder refers. This activity of his students has made Dr. Levine a more effective consultant to USAID. He has assisted the Nepal mission in its irrigation sector needs both through his advising of Mr. Yoder as well as through activity in WMS-II. In addition, he consults for the Administrator on technology transfer. He consults for the S&T bureau on research priorities. He consults with the ARTI/Sri Lanka Irrigation Department and the AID Mission there with respect to the Gal Oya Project and irrigation problems in general. He headed the Irrigation Sector Review for Sri Lanka as part of the WMS-I project.

2. Professor Robert McDowell - Animal Scientist - was referred to in relation to thesis research of Ms. Conklin and Mr. Goe. Examples of Dr. McDowell's support to USAID include consultation with the Costa Rica mission on meat standards for export to the U.S. He has been project director of a game ranching project in Kenya and advised that mission on this subject. He is chairman of the Board of Trustees of ILCA and on the External Evaluation Panel for the CRSP on small reminants. He has assisted the mission in the Dominican Republic on poultry production and that in Jamaica on export of cattle.

3. Professor W.R. Coffman - Plant Breeder - has served as a consultant to the State Department on rice seed supplied to Kampuchea. He serves as chairman of our campus committee on the Bangladesh Agricultural Research project and has consulted with the mission staff in Dhaka on two occasions.

4. Dr. Madison Wright - Agronomist - advised Mr. Shannon in Nigeria. This added to his experience in tropical areas and enhanced his teaching in our course on the production of tropical crops.

5. Dr. Randolph Barker - Agricultural Economist - chairs our campus committee on the farming systems project in the Philippines and is also heavily involved in the water management synthesis project. He has made frequent visits to Nepal, Sri Lanka, Bangladesh, Indonesia and the Philippines in support of USAID funded activity and his direct support to the Nepal Mission on water management has been mentioned in the report on Mr. Martin's activity there. Also, he provides leadership for a course on farming systems research in which many of our development oriented students enroll.

6. Dr. Frank Young - Rural Sociologist - was assisted through SGF in French language training to enhance his usefulness in Francophone Africa. He directed the creation and implemention of a Rural Development Information System for the Central Tunisian Development Authority in Kasserine, Tunisia. This experience and his interest in Africa in general has induced him to accept additional campus responsibility in shaping our interests and, we hope, future involvement in Africa.

7. Dr. M.L. Barnett - Rural Sociologist - is active in both the farming systems and water management projects. His expertise in the area of resettlement questions was referred to earlier. His graduate students, working in both Asia and Latin America, are providing excellent comparative perspective on this continuing important question.

There are numerous other professors whose activities deserve mention, especially those in nutrition eg. Professors Michael Latham, J.P. Habicht and Erick Thorbecke all of whom are heavily involved in USAID funded projects and all of whom count heavily on graduate research by their students extending their knowledge and expertise. Professor E. Walter Coward bears a heavy responsibility in administering the WMS-II project which is providing very significant assistance to USAID missions around the world.

CONCLUSION

I request again to be informed in writing of the shortcomings of this report whether in format or content because we strive for excellence at this university and take our international responsibilities seriously.

In this regard, it is relevant to point out that Cornell's response to USAID requests for proposals has increased markedly in the past several years. For the CALS alone our contracted business has increased from $700,000 to over $3 million annually. In addition, we are working with the University of Florida to determine what role we might play in the worldwide Farming Systems Project. We are intensifying our efforts to become involved in Africa and have had discussions with both USAID and government officials of Kenya and Malawi. We have established a faculty committee to review the various RFPs for Africa and will certainly be bidding on opportunities in which we feel we will have something to offer.

We are in the process of presenting a proposal to USAID on international aspects of biotechnology and have discussed this matter with officials of the S and T Bureau. We are pursuing a university-wide interest in Women in Development and are hoping to increase our effective effort in this important area. We do plan to direct a portion of our SGF to these new initiatives on receiving a response to this report and following further discussion with USAID officials on the continued funding of the Strengthening Grant.