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under Strengthening  
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July 9, 1980

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*07/28/80*

*PDWAL45*

ACTION MEMORANDUM FOR DAA/DS/FN, Tony Babb

FROM: DS/XII, Erven J. Long *E.J.L.*

Problem: To obtain your approval of a five-year Matching Formula Title XII Strengthening Grant, as outlined in this memorandum and attached documents, to the University of Wisconsin-Madison, with an initial obligation of \$144,363 for approximately 15 months of activity. This action is in implementation of a recommendation made by the BIFAD to AID on March 27, 1980.

Discussion: The total estimated cost of the first five-year period of this program is \$1,913,591 of which A.I.D.'s estimated contribution is \$831,391, and that of the University of Wisconsin-Madison is \$1,082,000. In addition, all indirect costs of the program are borne by the university. The A.I.D. contribution is funded at less than 10% of the average volume of AID-funded activities for the past three years by the University of Wisconsin-Madison, in accordance with accepted Matching Formula Strengthening Guidelines. This Grant obligates \$144,363 for the first period of activity, which will start on or about July 31, 1980, and will end on October 31, 1981.\*

The level of A.I.D. grant to the University of Wisconsin-Madison, under the formula provisions, will be \$171,807 per year for the second through the fifth years. However, in light of start-up requirements, the University of Wisconsin has submitted a reduced budget for the first period in the amount of \$144,407. A.I.D. has available in the FY 1980 allocation for strengthening, \$144,363, which we are here recommending be obligated for the first period. The university has presented a very detailed and tight budget estimate for the \$144,407. It has indicated willingness to increase the university over-match if necessary to carry out the full first period program.

The proposal is outlined in the attached "condensed proposal," (5 pages) and in detail, including budget, in a proposal of January 1979, and a revision dated May, 1979, plus a final revised budget dated July 9, 1980, and other supplementary materials of record in the file. We have closely examined this file, and find that the objectives of the proposed program are consonant with the purposes of Title XII, and that all of the University of Wisconsin-Madison strengthening program funds from A.I.D. and from university sources, will be used to fund activities in direct support of these objectives.

All material submitted by the University of Wisconsin-Madison has been reviewed and evaluated according to the process approved by Action Memorandum to the Acting Administrator on April 2, 1979.

A.I.D.'s goal in making this Grant is to assist the University of Wisconsin-Madison to "increase in both quantitative and qualitative terms" the University's human resources devoted to the solution of developing country food and nutrition problems. Activities are proposed to accomplish this in

\*As the operational characteristics are the same for all Matching Formula Title XII Strengthening Grants, I have summarized them briefly in Attachment A.

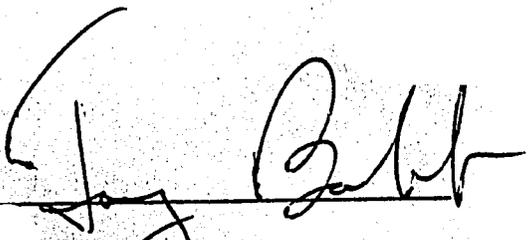
three basic ways: (1) making existing staff expertise and foreign experience more readily available for Title XII work; (2) generating new staff expertise, and (3) expanding and improving the processes of imparting to foreign and domestic students the skills and knowledge relevant to Title XII objectives and programs. Program activities are grouped into: (a) staff development, (b) instructional program development and (c) administrative strengthening. Although the total University will be broadly involved in various ways, activity will be concentrated in the College of Agriculture and Life Sciences, with a secondary level of involvement of the School of Family Resources and Consumer Sciences. Priority subject areas for strengthening are 1) socio-economics; 2) soil and water management; 3) crop management; 4) plant protection; 5) human nutrition; 6) animal health and management; and 7) family resource development. Emphasis will be placed on expanding and strengthening developing country expertise, and involvement in overseas technical assistance work, of staff in the university's tenure-track system. Another emphasis will be to expand opportunities for developing country students to do their thesis work in their home countries (an excellent means of expanding knowledge and expertise of the supervising professors with a great secondary benefit to the foreign student) and for foreign thesis work for U.S. students selected for probable future recruitment into the University faculty.

The University of Wisconsin-Madison has an illustrious history of work with developing countries, extending to the early years of this century. Its central administration is not only supportive of but personally experienced in such work. The President, Vice President and the Vice Chancellor for Academic Affairs have had extended periods of work in Indonesia, Thailand, and Singapore. University policy is designed to provide faculty incentive to Title XII work overseas. A statement of university mission, approved by the Board of Regents in 1973, states in part that: "Assisting in rural development and institution building in the developing countries constitutes a real dimension of our mission."

Recommendation: That you approve this five-year Matching Formula Strengthening Grant to the University of Wisconsin-Madison at an estimated cost to A.I.D. of \$831,591 with an initial obligation of \$144,363.

Attachments:

- A. Operational Characteristics of Grant
- B. Condensed Proposal

Approved \_\_\_\_\_ 

Disapproved \_\_\_\_\_

Date 7/17/80

Clearances:

DS/PO: BChapnick 

BIFAD: EKiehl \_\_\_\_\_

Brief Summary of Operational Characteristics of Matching Formula  
Title XII University Strengthening Grants

The Grant is for a five-year term. The first obligation is for a period of activity, which may not be less than, but may exceed, 12 months according to start-up time requirements of the Grantee. This first period starts on the date of the signing of the Grant and concludes on a date to be indicated in the Grant document. Subject to the availability of funds, subsequent funding will be made annually on the basis of annual reviews. Also at this time, subject to mutual agreement, the term of the Grant will be extended to maintain a five-year advance program plan. For these purposes, a report will be required six months prior to the end of each obligation period. Such report will specify accomplishments and detail expenditures for the preceding year by program budget categories. It will provide also an updated Work Plan for the remaining years of the Grant, in substantial detail for the immediately succeeding year. This report will provide the basis for an evaluation to determine that the planned activities have been carried out, to identify the progress being made in strengthening the university's capacity to work in Title XII and, among other things, to establish that at least that proportion of the strengthening program equal to the proportion of the A.I.D. contribution consists of new activities at the university, as stipulated in the Grant. Decisions on the next year's funding and on extension of the Grant will be based on this review and on recommendations from the BIFAD. The terms of the Grant provide for adjustment or termination of A.I.D.'s contribution to the university strengthening program as a consequence of any failures of the university to work toward the objectives or satisfy the terms of the Grant. Successive-year obligations will be reduced correspondingly with any shortfalls in acceptable university contributions.

In no event may the annual level of A.I.D. support to the university, after the first five-year period, exceed 10 percent of its annual average volume of business for A.I.D. for the preceding three years. For the first five years, annual grants may exceed 10 percent but may not, in such cases, exceed \$100,000. In no case may the A.I.D. annual contribution exceed \$300,000.

In many cases the total estimated cost of the grant includes a university contribution greater than that of A.I.D. because of the ceiling on the A.I.D. contribution under the Matching Formula. In such cases the university will be held accountable only for an amount equal to the A.I.D. contribution. However, the total proposed amount is shown in the documentation to reflect the universities' stated investment intentions in support of their respective total strengthening efforts.

A.I.D., with BIFAD, will conduct an intensive review of the entire university strengthening program after two or three years to determine scope and nature of the future program. The individual university programs will similarly be evaluated intensively at that time, separately and in relation to the entire A.I.D. Title XII university strengthening program.

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## CONDENSED PROPOSAL

## Title XII Matching Formula Strengthening Grant

University of Wisconsin-Madison

I. Introduction

The University of Wisconsin-Madison proposes to link its resources with those of a Strengthening Grant for the purpose of accelerating a long-term effort to create renowned capacity to address the issues of food, nutrition, and rural poverty in those areas of the developing world where mixed agriculture is the predominant life-sustaining enterprise. This effort will be concentrated in the College of Agricultural and Life Sciences and the School of Family Resources and Consumer Sciences, where existing domestic and international expertise provides a solid foundation for a Strengthening Grant Program. The focus on mixed agriculture is consistent with the predominant form of agriculture in the State of Wisconsin, is common to all previous international development work, and is a unifying theme for anticipated involvements of the University in Title XII activities.

The Strengthening Grant Program will consist of three primary elements: (1) staff development; (2) education and training; and (3) administrative strengthening. Of the three, staff development is the most fundamental in that it will strengthen and expand our international expertise. This will in turn permit more extensive involvement in the various Title XII endeavors and foster development of more comprehensive education and training opportunities for foreign students. Administrative strengthening will serve to catalyze, coordinate, and manage the Strengthening Grant activities. Primary responsibility for program management

and the recipient of the administrative strengthening will be the International Agricultural Programs Office in the College of Agricultural and Life Sciences.

On a disciplinary level, initial strengthening efforts will concentrate on the following priority areas: (1) socio-economics; (2) soil and water management; (3) crop management; (4) plant protection; (5) human nutrition; (6) animal health and management; and (7) family resource development. These areas are held to be central to our focus on mixed agriculture and, by virtue of staff expertise and/or concern, are the areas best prepared at this time to participate in the Strengthening Grant Program.

## II. Specific Objectives and Activities

The specific program objectives and the activities proposed as means for achieving these objectives are summarized below:

### A. Staff development

The specific objectives of staff development are to: (1) expand the University and U.S. pool of professionals with international experience and expertise and (2) more effectively apply existing expertise toward building institutional capacity for carrying out international work. Through the grant, new opportunities will be created for younger staff members and select graduate students to acquire international experience and the professional appeal of overseas assignments will be augmented through opportunities for more extensive pre-tour preparation and for post-tour application of newly acquired skills and knowledge.

A key feature of staff development and the Strengthening Grant Program per se is the partial grant funding of tenure-track staff positions in priority disciplinary areas. These appointees will constitute



the core staff of the program. They will assume responsibility for overall development of the program as well as for program activities within their specialty areas.

#### B. Education and Training

The specific objectives here are to: (1) develop formal courses and special training programs that better prepare foreign and domestic students for service in international development and (2) to strengthen the coordination of and support for more relevant educational experiences. Inputs from the grant will provide partial funding of a training officer in the IAPO and teaching and travel grants for staff committed to the development of new courses and training programs, topping-off research grants for foreign students, international internships for U.S. students, expansion of the CALS library collection of bibliographic materials relating to international agriculture and rural development, and informal educational programs designed to enhance staff, student, and public awareness of the needs and issues of international agricultural development.

#### C. Administration Strengthening

Implementation of the Strengthening Grant Program calls for significant expansion of the responsibilities and functions for the International Agricultural Programs Office (IAPO). Heretofore, the IAPO has functioned primarily as a grant and contract management entity providing logistical support to overseas projects. New responsibilities to be assumed include: (1) providing leadership for the planning, implementation, administration, and evaluation of the Strengthening Grant activities; (2) serving as a clearinghouse for information regarding opportunities for staff and students to become involved in international work, study abroad, etc.; (3) providing information and logistical support

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for staff and students traveling abroad; and (4) promoting staff participation in the activities of international centers and networks. To assist in achieving these objectives, Strengthening Grant funds will partially encumber salaries in the IAPO, provide travel grants for CALS and FRCS staff, and meet some of the communications and materials costs arising from the various Strengthening Grant activities.

### III. Management

The Director of International Agricultural Programs and the Dean of the School of Family Resources and Consumer Sciences or their designated representatives will provide leadership for the Strengthening Grant Program. Responsibility for program planning, the establishment of program policies, criteria and norms, and the evaluation of activity proposals will be borne by the program leaders and the core program faculty. Fiscal management and administration of the various activities will be carried out by the International Agricultural Programs Office under the guidance of the Associate Director.

### IV. Evaluation Criteria

Three evaluation criteria will be addressed in annual narrative reports. These criteria are: (1) effectiveness; (2) significance; and (3) efficiency. Successful application of the effectiveness and significance criteria is dependent upon careful and complete documentation of the international capabilities and dimensions of the College of Agricultural and Life Sciences and the School of Family Resources and Consumer Sciences, and upon the elaboration of a realistic and workable annual plan of work. The baseline documentation and planning tasks will be carried out by the core program faculty as soon as the group is appointed and before any substantive program activities are implemented.

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It is anticipated that as the Strengthening Grant Program moves into its second and subsequent years of operation elaboration of the annual plan of work will entail careful consideration of suggestions and/or concerns raised by BIFAD and AID in response to the program's latest annual report. On-campus evaluation of the program by an external team of experts is viewed as a viable approach that may be employed by mutual consent at suitable time intervals.

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