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**PROCEEDINGS**  
**JOINT RESEARCH COMMITTEE WORKSHOP**  
**ON THE**  
**COLLABORATIVE RESEARCH SUPPORT PROGRAMS**

**Washington DC June 9-10, 1980**



**BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT**  
Department of State  
Agency for International Development  
Washington, D.C. 20523

**PROCEEDINGS  
JOINT RESEARCH COMMITTEE WORKSHOP  
ON THE  
COLLABORATIVE RESEARCH SUPPORT PROGRAMS**

**Edited by  
Dr. Glenn Beck  
and  
Jonellen Goddard**

**Acknowledgements**

**The expert assistance of Yolanda G. Ferguson and Helaine J. Burstein  
and other Small Ruminant CRSP Management Entity Staff  
who prepared these proceedings is acknowledged.**

**WORKSHOP FOR EVALUATION  
OF PROCESS, STRUCTURE, AND METHODS OF  
PLANNING, MANAGEMENT, AND IMPLEMENTING  
COLLABORATIVE RESEARCH SUPPORT PROGRAMS (CRSPS)**

Workshop Proceedings

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**WORKSHOP FOR EVALUATION  
OF PROCESS, STRUCTURE, AND METHODS OF  
PLANNING, MANAGEMENT, AND IMPLEMENTING  
COLLABORATIVE RESEARCH SUPPORT PROGRAMS (CRSPS)**

Workshop Purpose and Procedures

This workshop was authorized by the Joint Research Committee (JRC) at its April 1980 meeting. It was planned by the Board of International Food and Agricultural Development (BIFAD) staff, the Development Support Bureau (DSB) Agricultural Production Division Chief and the Program Directors of the Small Ruminant and Sorghum/Millet Collaborative Research Support Programs (CRSP). Its primary purpose was to review and evaluate experiences in planning, in organizational structuring, including management, and in the early implementation of the CRSP. Evaluation of these experiences concentrated on improving and strengthening the entire set of processes for future CRSP activities.

The workshop was designed to provide opportunity for a general background review, followed by specific experiences of individuals actively engaged in current CRSP planning, management and implementation procedures. Discussion of each set of experiences (planning, management and implementation) was first evolved through Task Force groups, then expanded in a Plenary Session of the workshop participants. A list of the participants is appended (Appendix B). Papers presented at the workshop are contained in Appendices C, D, E and F. They are presented in their original form, without editing, except when re-typing was required for purposes of reproduction.

## The CRSP Planning Experience

Early experiences in CRSP planning were reviewed in the opening session (Beck - Appendix C). Specific experiences of current planners were conveyed in a panel presentation (Appendix- D) and expanded somewhat by audience participation. This information formed the background for the Planning Task Force deliberations. The task force evaluation and recommendations drafted by John Yohe and Tony Cunha follow.

### Planning Task Force Report

In order to better define and develop a sharper focus on such Lesser Developed Country (LDC) problem areas as roots and tubers, post-harvest losses, large ruminants, animal health, water management, small farming systems, and alternate energy systems, it would be advisable to begin with an exploratory study.

The exploratory study, employing a variety of techniques, i.e., workshops, conferences, symposia, study papers, and task forces, could be done relatively quickly at a cost of less than \$50,000. There are several options available for managing the study. They include contracting a university or private entity to fulfill the management role, placing the study under the auspices of a scientific task force headed by a JRC member or making the study's management a BIFAD staff function.

The objectives of the exploratory study would be as follows:

1. To describe the problem and document its geographic and economic importance by seeking readily available information from the Agency for International Development (AID) regional bureaus and other sources: National Academy of Sciences, National Science Foundations, United States Department of Agriculture, World Bank, etc.
2. To determine the state of knowledge and identify the factors limiting production/development, and potential improvements in nutritional contributions.

3. To identify the potential long and short term goals and objectives of studies focusing on researchable problems.
4. To ascertain the level of US university and regional bureau capabilities, as well as their degree of interest and possible support of relevant research areas.
5. To recommend the need for and the direction of appropriate research including the potential approaches, i.e., whether it should be a CRSP, a centrally funded program, or a country/regional project.

If a CRSP approach is recommended, the study should provide information useful to JRC in developing its recommendation on an institutional framework and general budget for the planning entity. This entire procedure should utilize the knowledge and advice of both LDC and US scientists.

1. Involve AID, Country Missions and LDC's in the early stages of the process, being particularly careful to include LDC personnel the largest extent possible rather than relying too heavily on US input.
2. Send cables to missions informing them of the potential CRSP in order to solicit their opinion and gauge their interest and approach the host country Ministry of Agriculture and other appropriate ministries, universities, and individuals in the planning process in LDC's.
3. Consider obtaining a letter of interest from the LDC's as they are visited by the planning entity. The three major contact points are:
  - (a) initial contact for interest
  - (b) research design contact
  - (c) final MOU agreement.
4. Determine what steps might be taken to persuade a Mission Director to reconsider a decision to not allow a CRSP in that country if there is a very good reason for its implementation there.
5. A major problem is identification of the research needs of the LDC's. One source of information that could be used in

**exploratory studies is the Country Development Strategy Statement (CDSS) report. To make these more relevant, it would be helpful to change their format and make them more accessible.**

- 6. More time should be allowed to complete a planning contract. The current time limit of up to 24 months is not sufficient to do an adequate job.**
- 7. Evaluate methods of selecting the participating institutions used to date and determine if there is a better method to use.**
- 8. Streamline the procedures for obtaining AID approval for a CRSP after its approval by the JRC and BIFAD.**
- 9. Consider using the contract mode for planning activity procurement in order to allow greater specificity in the scope of work. Consider using the BIFAD/JRC selection process for a planning entity as a variant of AID's university selection procedures.**
- 10. Consider using a newsletter to keep all interested institutions informed during the CRSP planning process.**
- 11. Advance materials sent from AID to JRC members should be stamped first class. Planning entities should endeavor to schedule planning reports so that JRC members can receive copies a few days prior to the JRC meeting. Procedures should be established to enable the JRC to consider committee business during the interim period between full committee meetings.**
- 12. During the planning process, an active effort should be made to foster greater contact with other bi-/and multi-lateral funding agencies to encourage possible collaboration.**

#### **Plenary Session Discussion of the Task Force Report on Planning**

**Exploratory Study. This Task Force recommendation was accepted with some reservations. A question was raised whether this procedure would achieve the highly desirable goal of decreasing the time required for planning, which could only occur if several exploratory studies were combined. It was suggested that 3**

**or 4 studies be conducted simultaneously to assist JRC in establishing priorities and that special attention be given to mechanisms for sharpening their focus.**

#### **Discussion on Recommendation 4**

A question was raised whether the missions should provide a positive or a permissive response to a CRSP proposal. Some missions are already overloaded and not in a position to become actively involved. Others want to be involved. It was suggested that all missions should be given the "right of first refusal". No suggestions were offered as to how missions might be persuaded to become interested in a CRSP if they are opposed or not interested.

#### **Discussion on Recommendation 5**

It was pointed out that current methods of "short-listing" the universities for ultimate selection of those that will participate in a CRSP is a tedious and unduly time consuming procedure. Perhaps the exploratory study will streamline this procedure.

#### **Discussion on Recommendation 9**

There was strong opposition to using the current contract mode for planning activity procurement. The need for a greater specificity in the scope of work was recognized but it was felt that this could be accomplished without reverting to traditional contract procedures.

#### **Discussion on Recommendation 11**

The new chairman of the JRC will appoint an executive committee to handle urgent matters of business arising between regular meetings.

### **The CRSP Management Structure**

Experiences resulting from the establishment of Management Entities (ME) at the University of Nebraska (Sorghum/Millet) and the University of California,

**Davis (Small Ruminants) are presented in papers in Appendix E. Task Force evaluation and recommendations were prepared by William Pritchard and Gerald Donovan for discussion at the Plenary Session.**

**Management Structure Task Force Report**

**The task force focused on the management entity and its role in fiscal and program management, with emphasis on the structure and operational procedures, particularly structure.**

The broad conclusion of the Task Force suggests that:

1. Those who set up the management structures originally were farsighted and did a commendable job.
2. The contract office has followed JRC guidelines in preparing the contracts and has provided flexibility to the CRSPs during the early days of establishing this new mode.
3. The experience of the two CRSPs that have been funded has been useful but will probably not be typical of the experience of those coming along in the future.
4. There is a danger in developing too many hard and fast guidelines too soon because flexibility is needed.

The Management Entity characteristics were defined in the Guidelines developed by the JRC. In summary, the management entity was created for the purpose of administering the resources contributed by AID and for overseeing the individual projects comprising each CRSP. The management entity receives and administers AID grant funds for the CRSP and enters into sub-grants or sub-contracts with participating institutions in the US and Memoranda of Understanding (MOUs) with collaborating institutions in the LDCs.

AID holds the management entity responsible for fiscal and program requirements of the CRSP and accountable for the funds and their appropriate use in all aspects of the CRSP. The management entity in turn holds US collaborating institutions accountable for funds and their use according to budgetary plans. In addition, the management entity is responsible for relationships with collaborating LDC institutions and must handle all legal accountability and sub-contract relationships.

**Special Relationship between Program Director and AID Program Officer.**

There is inevitably a need for a special relationship between the CRSP program director and the AID program officer to facilitate links with Regional Bureaus and Country Mission directors. The program director also needs to develop a direct personal relationship with AID personnel at work in US and overseas.

External Evaluation Panel (EEP) is a group of outside experts, with LDC representation, who critically evaluate, on a continuing basis, the research efforts of the CRSPs. They seem to be working well. They advise the management entity, the technical committee, the Board of Institutional Representatives, the Joint Research Committee and Agency for International Development. The question of whether AID should establish a separate review process needs further examination. In the Sorghum/Millet CRSP a decision has been made to consider the EEP review as the AID review. In the Small Ruminant CRSP a decision has been made to continue the AID review as well as the EEP review.

Operating Procedures. Problem areas which have been identified include the following:

1. The grantee (management entity) is exposed to cost disallowances and administrative system deficiencies of the sub-grantees. A myriad of federal regulations on cost principles, fair labor standards and practices, equal employment opportunity, occupational health and safety, small business and small disadvantage business utilization, overseas defense base act, workmer's compensation, financial management principles and others provide many possibilities for large financial liabilities on the grantee. A system of sharing these responsibilities must be developed between the management entity, participating institutions and AID.
2. The relationship between management entity and LDC institutions as visualized exposes management to international law and other problems of finance and accountability with a foreign entity. It also removes the

**protection afforded official US government staff for management entities' sub-grantee personnel. Management entities must be aware of this and develop proper mechanisms to facilitate the smooth function of the CRSPs in their implementation overseas.**

- 3. Travel policies need to be reviewed to simplify clearance.**
- 4. Women in Development (WID) issues need to be addressed, possibly by including WID competency in management teams and structures since CRSPs need to clearly define responsibilities of the management entity in this regard.**
- 5. Reporting procedures need streamlining. Currently, AID reporting requirements are too numerous and detailed and do not recognize the role and the function of the EEP regarding this matter.**
- 6. The balance between domestic and overseas use of funds requires better guidelines than are presently available to the management entities.**
- 7. To maintain a dynamic program, mechanisms for changing participating institutions need to be developed which would provide for withdrawal of institutions when they have accomplished their work, or failed to achieve their objectives, and provide for inclusion of new institutions with special skills as the need arises.**
- 8. Many other administrative and operational problems clearly exist but they must be worked out with the passage of time. The most important feature of the CRSPs will be to maintain flexibility and avoid excessively rigid administrative regulations.**

#### **Plenary Session Discussion of the Task Force Report on the Management Entity**

**It was recognized that the management entity must be fiscally responsible for the CRSP to AID. To the extent possible, this financial risk should be shared by the collaborating institutions. Special attention needs to be given to international law which would govern financial relations with foreign**

**institutions. The management entity in the US must have a parallel in the LDC with fiscal responsibility.**

AID international travel policies were discussed at great length. It was pointed out that travel was much easier under grants from other federal agencies where clearance for each trip is unnecessary. Apparently, some missions are providing travel clearances for several trips over a period of time. There seems to be individual differences possibly resulting from country restrictions. It was recommended that the JRC appoint a small study group to determine what, if any, changes might be possible.

Policy regarding the balance of funds to be spent in the US versus LDC expenditures needs further clarification. It was generally conceded that it would defeat the purpose of the CRSP if most of the activity is in the USA. On the other hand, the amount of money spent in the LDCs should not be used as a criteria for judging the success of a CRSP. There will be variations among CRSPs in the requirements for and the contributions from research activities conducted in the US laboratories. It must be kept in mind that mutuality of interest is a key principle in the CRSP; therefore, some research activity is expected both in the US and in the LDC.

#### The CRSP Implementation Process

Only the Small Ruminant and Sorghum/Millet CRSPs have reached the implementation state. Active research in the LDCs has not yet started with Sorghum/Millet and is just beginning with the Small Ruminant CRSP. Therefore, the Implementation Task Force was restricted to an evaluation of the processes leading up to the active research stage. Nonetheless, this set of experiences involves a very important segment of the implementation process including such procedures as site location, establishing linkages with LDC scientists and institutions, developing Memoranda of Understanding, financial arrangements, etc. Such experiences were described in the panel presentation (Appendix F). The Implementation Task Force Recommendations were drafted by Hugh Poponoe and

**Worth Fitzgerald,**

**Implementation Task Force Report**

**Recommendations are as follows:**

- 1. Potential LDC institutions should be identified in the CRSP planning process through regional bureau assistance followed by mission contacts and visits. Formal contacts for final program development should be the responsibility of the management entity.**
- 2. Principal investigators should always work through the management entity on technical and business matters when relating to AID and/or foreign institutions.**
- 3. AID missions are encouraged to coordinate their program activities that relate to a given CRSP with the management entity of that CRSP. Interaction is needed between JRC and JCAD with respect to country specific research activities in order to avoid competing programs.**
- 4. The JRC should make an effort to publicize the results of CRSPs through technical reports and newsletters directed toward the general public and to AID missions. An attractive annual report would be helpful.**
- 5. The JRC should explore the possibilities of attracting funds from AID regional bureaus and missions, as well as outside donor agencies for additional CRSP support.**
- 6. The CRSPs should have an important role in complementing the fundamental research and outreach activities of the international agricultural research centers, but their broader role needs further clarification.**
- 7. The CRSPs are beginning to have an important catalytic effect in encouraging scientific cooperation among countries involved in these efforts. Some foreign governments are even providing funds to support collaborative efforts. These trends should be encouraged and publicized.**

**In addition to the above specific recommendations regarding implementation procedures, this task force developed the following general recommendations:**

1. **Improvements have been made by AID in the management of contracts under Title XII, but further improvements are needed.**
2. **Management of the CRSPs should be the responsibility of the management entity and AID's role in the day to day operations should be minimized. It is recommended that individual travel reports submitted to AID be eliminated and management entity reports to AID be on a quarterly basis.**
3. **Mission approval for travel should not be necessary after arrangements have been authorized through a MOU with a country.**
4. **The JRC has devoted most of its attention to the many complexities involved in initiating the CRSPs. It is recommended that the JRC begin to concern itself with other types of research, especially that being sponsored by AID missions in country programs.**

#### Plenary Session Discussion of the Implementation Task Force Recommendations

There was relatively little discussion of the Implementation Task Force report in the Plenary Session. Some items had received attention in the earlier Task Force discussions. Others were deferred for future attention by the JRC.

The discussion centered largely around the potential for introducing multiple sources of funding to support the CRSP. The CRSP program directors were exhorted to seek funds from outside sources and to establish mechanisms for the management entities to use such funds.

The LDC representatives suggested the possible use of PL480 funds in those countries where they are available and where there is participation in a CRSP. It was pointed out that these funds are seldom used to support research but rather are used for capital improvements. It was recommended that BIFAD investigate the possible allocation of PL480 funds, possibly starting with Peru as a test case. It was also recommended that more publicity be given to those situations where LDC governments are supporting CRSPs with their own funds.

## Overall Assessment of the Workshop

It was generally agreed among the participants that the workshop was successful in establishing a useful benchmark for future CRSP activities. Experiences, both positive and negative, were candidly discussed. Good progress has been made in reviewing planning and implementation procedures which have been utilized up to this point.

The collaborative mode started when it was perceived that universities had an interest in the problems of LDCs and a capacity to act upon them. The CRSP is a special kind of program. Most LDCs do not have the capacity to develop science and technology. The long term goal of the CRSPs must be to develop that capacity through a program that is mutually beneficial to LDCs and universities.

The discussions on planning, management, and implementation presented in the preceding sections have illuminated some of the problems and successes that have been encountered, but mostly from the point of view of JRC, AID, and universities. The LDC viewpoint was expressed by two participants from Brazil and Peru who felt that the CRSPs have come at an opportune time. Most of the problems that have been encountered are solvable, i.e:

1. confusion about Title XII, role of BIFAD/JRC, clear definition of the CRSP and principles which govern it
2. logistical problems such as visas, inundation of visitors without the local capacity to backstop, integration of local and US regulations and requirements
3. need for communication with LDCs about their needs, their programs, their priorities, and information about the current status of CRSPs either extant or in the planning stage.

Interest has been stimulated at the LDC level and although there remain problems in budgeting funds and in high level governmental support of research, the collaborative mode is one to be supported and encouraged.

The CRSP idea is complex but correct and promises multiple payoffs. Although there is concern about the length of time required to develop CRSPs, the overall assessment is that good progress has been made in establishing procedures

**and identifying problems. As would be expected, there are areas that will require further study and improvement by JRC/AID and the management entities of each CRSP. The workshop was especially useful in identifying some of the areas which need early attention.**

The purpose of this workshop has been to capture CRSP experiences and build upon them before they are lost. The process for development of CRSPs has been evolutionary and therefore creative. The sharing of those experiences, both positive and negative, will reduce the repetition of effort by the JRC and those who plan, manage, and implement future CRSPs.

WORKSHOP FOR EVALUATION  
OF PROCESS, STRUCTURE, AND METHODS OF  
PLANNING, MANAGING, AND IMPLEMENTING  
COLLABORATIVE RESEARCH SUPPORT PROGRAMS (CRSP'S)

JOINT RESEARCH COMMITTEE

Holiday Inn  
Rosslyn, VA

9:15 a.m. June 9 to Noon June 10, 1980

Program

June 9, 1980

MORNING SESSION

Presiding Officer  
Dr. Elmer Kiehl  
Executive - Director  
BIFAD Staff

- 09:15 a.m. Workshop Purpose and Procedures  
-- Dr. Elmer Kiehl
- 09:20 a.m. The Role of Title XII in International Development ✓  
-- Joseph C. Wheeler, Deputy Administrator  
Agency for International Development (A.I.D.)
- 09:40 a.m. The CRSP Concept - Its Dual Objectives, Characteristics,  
and Multi-Institutional Involvement - U.S. - LDC ✓  
-- Dr. Frederick E. Hutchinson, Vice President  
University of Maine, and Chairman,  
Joint Research Committee
- 10:00 a.m. The CRSP Planning Process, Planning Objectives,  
Models, Flow of Activities - CRSP Planning vs.  
Exploratory Studies  
-- Dr. Glenn Beck, Vice President Emeritus ✓  
Kansas State University
- 10:20 a.m. BREAK

- 10:30 - 11:00 a.m. The CRSP Management Entity, Its Role, Fiscal and Program Responsibilities, and Relationships to AID and Participating Universities
- 10:30 a.m. The A.I.D. - Legal Aspect Selection Process - Contractual Relations
- John F. Owens, Deputy Assistant Administrator  
Bureau for Program and Management Services (SER),  
A.I.D.
- 10:45 a.m. Institutional Relations in Programs - Fulfilling University and A.I.D. Objectives
- Dr. Erven J. Long, Coordinator  
University Relations and Title XII Strengthening  
Program - Office of the Deputy Assistant  
Administrator, Bureau for Development Support  
(DSB) - A.I.D.
- 11:00 a.m. The Role of CRSP's in Meeting the Research Needs of A.I.D.
- Dr. James McDermott, Associate Director for Field Services, Office of Agriculture, DSB, A.I.D.
- 11:15 a.m. Procedures for Panel Discussions - Task Force Organization and Assignments
- Dr. Elmer Kiehl

PANEL DISCUSSIONS

Presiding Officer  
Dr. D. Woods Thomas  
Director, International Programs  
Purdue University  
Former Executive-Director  
BIFAD Staff

- 11:20 - 12:20 p.m. The CRSP Planning Experience (one hour and 40 minutes)
- Moderator
- Dr. John Yohe, Acting Chief  
Agricultural Production Division,  
DSB - A.I.D.

## Rapporteur

-- Dr. Tony Cunha, Dean  
School of Agriculture  
California State Polytechnic University

(1) Specific Experiences In Planning  
- Nutrition CRSP

-- Dr. Samuel Kahn, Nutrition Officer  
Office of Nutrition  
Development Support Bureau - A.I.D.

- Bean/Cowpeas CRSP

-- Dr. Wayne Adams, CRSP-Coordinator  
Professor of Crops and Soil Sciences  
Michigan State University

- Tropical Soils Management-Planning CRSP

-- Dr. Pedro A. Sanchez, Coordinator  
Tropical Soils Program,  
Assistant Professor of Soils Sciences,  
Department of Soils Science,  
North Carolina State University

- Aquaculture (Pond Dynamics) CRSP

-- Dr. Hugh Popenoe, Director  
International Programs  
Institute of Food and Agricultural Sciences  
University of Florida and Director  
State University System of Florida Sea Grant  
Colleges

12:20 - 1:20 p.m.

LUNCH

Panel Discussion - CRSP Planning (Continued)

1:20 p.m.

(2) Bureau and Country Mission Involvement in Planning

-- John Balis, Former Chief,  
Rural Development Division  
Office of Development Resources  
Bureau for Latin America and the Caribbean  
A.I.C.

**(3) Contractual Experience**

-- Morton Darwin  
AID Contract Officer

1:45 - 2:00 p.m.

Discussion

2:00 p.m.

The CRSP Management Structure - Fiscal and Program  
Responsibilities of Management Entity visa-vis A.I.D.  
and Participating U.S. Universities

Moderator

-- Dr. William R. Pritchard, Dean  
School of Veterinary Medicine  
University of California - Davis

Rapporteur

-- Dr. Gerald Donovan, Dean  
College of Resource Development  
University of Rhode Island

**(1) Specific Experience In CRSP Management**

Experience with Sorghum/Millet CRSP (45 minutes)

- From a University Administrator's Viewpoint

-- Dr. R. W. Kleis, Dean  
International Agricultural Programs  
University of Nebraska

- From a University Business Office Viewpoint

-- Dr. Carl Mueller, Grants and Contracts Officer  
University of Nebraska

- From the CRSP Management Entity Director's  
Viewpoint

-- Dr. Earl Leng, Program Director  
Sorghum/Millet CRSP Management Entity  
University of Nebraska

- Summary of Experience with the Small Ruminant  
CRSP

-- Dr. David Robinson, Program Director  
Small Ruminants CRSP Management Entity  
University of California-Davis

(2) Bureau and Country - Mission Experience

- Loren Schultz, Food and Agricultural Officer  
USAID Mission - Peru.

(3) Contractual Experience

- Morton Darwin

Discussion

3:40 - 4:00 p.m.

BREAK

4:00 - 5:30 p.m.

The CRSP Implementation Process and Methods of Program Involvement and Linkages with LDC Institutions, (contracts/agreements, etc.) and Linkages with International Research Centers

Moderator

- Dr. Hugh Popenoe

Rapporteur

- Dr. Worth Fitzgerald, Agricultural Economist  
Agricultural Development Division  
Technical Support Office  
Near East Bureau - A.I.D.

(1) Specific Experience in Implementing CRSP's

- (a) Developing linkages and program involvement with LDC Institutions and International Centers  
Interface with Bureaus and Country Missions

- Small Ruminant CRSP

- Dr. David Robinson

- Experience of the University Administrator

- Dr. A. G. Marr, Dean  
Graduate Division  
University of California-Davis

- (b) Summary Experience with the Sorghum/Millet CRSP

- Dr. Earl Leng

(2) Contractual Experience

-- Morton Darwin

(3) Responsibilities of DSB Project Manager

-- Dr. John Yohe

5:05 p.m.

Discussion

5:20 p.m.

Wrap-up Remarks on Planning, Managing and Implementing CRSP's

-- Dr. D. Woods Thomas

5:30 p.m.

ADJOURN FOR DINNER

8:00 - 10:30 p.m.

Separate Meeting of Three Designated Task Forces

- Planning Task Force

-- Leader - Dr. John Yohe

- Management Structure Task Force

-- Leader - Dr. William Pritchard

- Implementation Task Force

-- Leader - Dr. Hugh Popenoe

Composition of membership will be suggested at meeting. Preferences will be recognized to the extent possible in achieving a balance among attendees.

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Additional Guest Panelists

-- Dr. Carlos S. Valverde  
Sub-Director-Executive  
INIA, Peru

-- Dr. J. M. Pompeu Memoria  
Chefe, Assessoria de Cooperacao Internacional  
EMBRAPA, Brasil

CRSP WORKSHOP (CONTINUED)

Tuesday, June 10, 1980

8:00 to 9:30 a.m. Continuation of Separate Task Force Meetings

PLENARY SESSION OF WORKSHOP ON CRSP EXPERIENCE

Presiding Officer  
Dr. Frederick Hutchinson

9:30 a.m. Report from the CRSP Planning Task Force  
-- Dr. John Yohe

10:20 a.m. Report from the CRSP Management Structure Task Force  
-- Dr. William Pritchard

11:10 a.m. BREAK

11:20 a.m. Report from the CRSP Implementation Task Force  
-- Dr. Hugh Popenoe

12:00 a.m. Wrap-up Remarks  
-- Dr. Frederick Hutchinson  
-- Dr. Elmer Kiehl

12:15 a.m. Completion of Workshop

LUNCH

Reconvening of Regular JRC Meeting after lunch (1:20 p.m.)

CRSP WORKSHOP ATTENDANCE

Holiday Inn, Rosslyn, VA  
June 9 - 10, 1980

ATTENDANCE

- |                             |  |
|-----------------------------|--|
| 1. Wayne Adams ✓            | Mich. State Univ., B/C CRSP              |
| 2. J. Lawrence Apple ✓      | No. Carolina State Univ.                 |
| 3. A. Richard Baldwin ✓     | Cargill, Inc./JRC                        |
| 4. Glenn Beck               | BIFAD Consultant                         |
| 5. Charles A. Breitenbach ✓ | DS/AGR                                   |
| 6. Earl Brown               | Univ. of Maryland                        |
| 7. Rebecca Burt             | LAC/DR/RD                                |
| 8. Keith M. Byergo          | DS/AGR                                   |
| 9. George E. Cooper         | Tuskegee Institute/JRC                   |
| 10. David Cummins           | Univ. of Georgia                         |
| 11. Tony J. Cunha           | Cal Poly/JRC                             |
| 12. Morton Darvin           | AID/SER                                  |
| 13. Harry Dickherber        | USAID/NIGER                              |
| 14. Gerald A. Donovan       | Univ. Rhode Island/JRC                   |
| 15. Hugh Dwelley            | AID SER/CAO                              |
| 16. Curtis Farrar           | IDCA                                     |
| 17. Worth Fitzgerald        | NE/TECH/AID                              |
| 18. Lloyd Frederick         | AID/DS/AGR                               |
| 19. Charles French          | AID                                      |
| 20. Jonellen Goddard ✓      | Univ. Calif., Davis                      |
| 21. Scott Goddin            | AID DS/AGR/Fish                          |
| 22. Clare Harris            | USADA/SEA/JRC                            |
| 23. Charles E. Hess         | Univ. Calif., Davis                      |
| 24. R. F. Holland           | DeKalb AgRes/JRC                         |
| 25. Chuck Hopkins           | S.E.C.I.D.                               |
| 26. Irwin Hornstein         | AID/DS/N                                 |
| 27. Frederick Hutchinson    | Univ. of Maine/JRC                       |
| 28. Curtis Jackson          | Univ. of Georgia                         |
| 29. Robert I. Jackson       | DS/AGR                                   |
| 30. William F. Johnson      | BIFAD/Staff                              |
| 31. S. G. Kahn              | AID/DS/N                                 |
| 32. Elmer R. Kiehl          | BIFAD/AID/Director                       |
| 33. David Kincaid           | USDA/OICD/IRD                            |
| 34. John R. King            | SECID                                    |
| 35. James E. Lannan         | Oregon State Univ.                       |
| 36. Louis Lazaroff          | Intl. Coun. Dev. of Underutilized Plants |
| 37. Earl R. Leng            | Univ. of Nebraska, GS/PM CRSP            |
| 38. E. J. Long              | AID                                      |
| 39. Nick Luykx              | AID                                      |
| 40. Pat Barnes - McConnell  | Mich. State Univ.                        |
| 41. John L. Malcolm         | AID/DS/AGR                               |
| 42. Allen G. Marr           | Univ. Calif., Davis                      |
| 43. J. Pompeu Memoria ✓     | EMBRAPA/BRAZIL ✓                         |

|                           |                          |
|---------------------------|--------------------------|
| 44. Frank Moncado         | AID/SER                  |
| 45. Donovan D. Moss       | Auburn Univ.             |
| 46. Ray Nightingale       | USDA/FED/Ag. Development |
| 47. J. F. Owens           | AID/SER                  |
| 48. James Oxley           | AID/DS/AGR- Livestock    |
| 49. Don Plucknett         | ASIA/JR/ARD              |
| 50. Hugh Popenoe          | Univ. of Florida/JRC     |
| 51. William Pritchard     | Univ. Calif., Davis/JRC  |
| 52. Mike Recheigl         | AID/DS/PO/RES            |
| 53. David W. Robinson     | Univ. Calif., Davis      |
| 54. Charlotte E. Roderuck | Iowa State Univ./JRC     |
| 55. Pedro A. Sanchez      | No. Carolina State Univ. |
| 56. Loren Schulze         | USAID/PERU               |
| 57. Mark A. Smith         | AID/DSB/AGR              |
| 58. Ralph Smuckler        | RAC/Mich State Univ./JRC |
| 59. Darl E. Snyder        | Univ. of Georgia         |
| 60. J. L. Taggart         | BIFAD Staff              |
| 61. George Tchobanoglous  | Univ. Calif., Davis      |
| 62. D. Woods Thomas       | BIFAD Consultant         |
| 63. Barbara A. Underwood  | MIT/JRC                  |
| 64. Carlos Valverde       | INIA/PERU                |
| 65. James L. Walker       | AID/OA/DSB               |
| 66. Joseph C. Wheeler     | AID                      |
| 67. Harry White           | AID                      |
| 68. Robert D. Wildman     | NOAA/Sea Grant/JRC       |
| 69. Handy Williamson, Jr. | Tennessee State Univ.    |
| 70. J. R. Wilson          | AID                      |
| 71. John Wilson           | AID/DS/AGR               |
| 72. John M. Yohe          | DS/AGR/AP                |

**General Papers**

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## The Role of Title XII in International Development

Joseph C. Wheeler

Deputy Administrator - AID

### Talking Points

#### 1. Toward a Better Understanding of Roles

Although AID and the US university community have been working together in development for nearly 30 years, we have gotten to know one another much better through Title XII. Much of the time taken to implement Title XII has been spent in gaining a more thorough understanding of the needs of the developing countries, and how the special abilities of the US universities and of AID can contribute to development. We are all still learning, and the work you are engaged in here is an important part of our learning.

#### 2. Settling the Function of CRSPs

Both AID and US universities have matured in their thinking about CRSPs. Earlier, AID tended to see CRSPs as a specifically defined research project, much like a longer-term research contract. They are not. The problem or opportunity must be well identified, but the approach to the solution and the resources needed (including the talent), must evolve as we better understand the problem, or as approaches prove inadequate. Some US universities tended to see CRSPs as simply a source of grant funds to do research that was in some way beneficial to developing countries. This is not sufficient. AID is a development agency. We can fund research when we perceive the results having a quite direct impact on a developing country problem or opportunity. This perception may make the CRSP components much less attractive to US universities, but it is essential for AID involvement.

#### 3. The Developing Country and the AID Mission

The planning of each CRSP to date has been markedly individualistic. The planning process has evolved to provide early inclusion of developing country

scientists and administrators. We fully endorse this trend and encourage the development of processes that assure full understanding of the problem or opportunity within its developing country context. This may result in more planning effort and in less comprehensive CRSPs, but we will better serve the developing nations. AID mission directors must understand the CRSP objectives and working arrangements. The planning process must provide for developing that understanding, and for gaining their support. The mission director will see a CRSP as a part of a total development effort in that country. In many countries, AID and other donors are helping develop a national agricultural research capability. The place of a CRSP in that effort must be given special consideration.

#### 4. What A CRSP Is, and Isn't

The perception of the Role of CRSPs in developing countries is still evolving. AID sees CRSPs as technology-producing instruments. The technology produced is expected to directly help developing nations. They are not designed to develop national research capabilities, although they will usually help do so. They are not designed to train either developing country or US scientists, but they will do some training. They are not designed as national commodity production programs, but they can be a major asset to such programs. CRSPs may have a number of positive attributes, and to the extent feasible, CRSPs should be as helpful as possible in the development process, but we need to keep their primary purpose - technology production - clearly in mind during their planning and implementation.

#### 5. Getting the Right Degree of Definition

The degree of specificity reached in the planning of CRSPs (prior to AID's funding the project) is not yet defined, and its perception varies among AID offices and among collaborators. At the extremes are the scientists wanting money to do research to "improve wheat" and the AID person who wants to know what size test tubes one plans to buy three years hence. Surely, the problem or opportunity (within its context) must be clearly perceived and defined. Also, the research approaches to be tried have to be fairly well agreed upon before one can identify needed resources. Does the present planning process allow the needed flexibility for fine tuning the program during the first year or two? Would we get better CRSPs by defining the apparent problems and opportunities; selecting the likely

**collaborating institutions; and funding a start-up year that would have the participants jointly define the research to be done and the resources needed (within a fairly firm dollar guideline)? It seems we have almost arrived at this point in the evolution of CRSP planning. Would this procedure result in more efficient and effective CRSPs, or would it increase planning costs without significantly affecting program direction, pace or efficiency?**

## **THE COLLABORATIVE RESEARCH SUPPORT PROGRAM CONCEPT**

**Frederick E. Hutchinson  
Chairman, Joint Research Committee  
Vice President for Research and Public Service  
University of Maine at Orono**

During the period since passage of the International Development and Food Assistance Act of 1975, there has been an intensive effort within the Agency for International Development (AID) and within the U.S. agricultural university community to define a new research program specified in the Act. In section 297(a) of the Title XII Amendment to the Act there is reference to "... to provide program support for long-term collaborative university research on food production, distribution, storage, marketing and consumption."

The Board for International Food and Agricultural Development (BIFAD) appointed in 1976 soon created two committees, one of which was the Joint Research Committee (JRC). The Board gave the JRC specific responsibilities concerning research planning for agricultural development in the developing countries. One of those responsibilities was to further define and implement the "collaborative university research" cited in the Act. This process eventually led to the publication, on October 11, 1977, of "JRC Guidelines for Collaborative Research Support Programs" and to a revised document on October 10, 1979. Both of these documents clearly outline the concept for CRSP's.

The Collaborative Research Support Program (CRSP) concept arose from a mutual interest within AID and the U.S. agricultural universities to build upon the capabilities for long-term agricultural research at these institutions in support of agricultural development in the LDC's. All parties were convinced that this capability needed to be "harnessed" through a collaborative mechanism which would accomplish the same objective for foreign agricultural development that the Hatch Act has accomplished for

domestic agriculture. The task of the JRC was to design a new mechanism which would meet that objective. As stated in the Guidelines, "the CRSP is designed as an instrumentality capable of mobilizing this talent and permitting it to play a significant role in high-payoff, problem-oriented, research programs on key food, nutritional, and rural development problems which confront developing countries."

The JRC proceeded to create draft documents which outlined the new CRSP concept and subsequently the procedures to be followed in prioritizing CRSP topics, planning and implementing a CRSP, and the selection of planning and management entities. Each draft of the document was subjected to thorough discussion within the JRC, the BIFAD, the U.S. higher education community and AID. These reviews led to continual revision of the document, and eventually it was approved by the BIFAD in July 1977.

It should be noted that during the period from July to October, 1977, the JRC was busy initiating the planning process for CRSP's on Small Ruminants, Sorghum/Pearl Millet, and Fisheries/Aquaculture. At the same time it was deeply engrossed in defining the concept and procedures for CRSP's. This may appear to have been premature but the BIFAD and AID were adamant that this new research program be activated as soon as possible in order to satisfy the concerns of the Congress and the U.S. higher education community. They realized we were in essence "attempting to make the engine run before the engineers had completed designing it." However, these early attempts to implement CRSP's were invaluable in helping the JRC to test various approaches and they also enabled us to identify many of the constraints, especially within AID policies, which had to be improved upon if the CRSP concept was to be implemented effectively and expeditiously. For example, the JRC was originally informed by the Agency that any institution

involved in the planning of a CRSP would be ineligible to participate in that CRSP when it was ultimately implemented.

The major constraints encountered in the process of establishing the CRSP concept were as follows:

1. Eligibility of institutions as planning agents
2. Time required to negotiate planning grants/contracts
3. Selection of planning agents
4. Transition of Plan from planning agent to management entity
5. Role of AID membership on JRC in 'accepting' and 'approving' CRSP's
6. Selection of a management entity to administer the CRSP
7. Availability of funds to implement high priority programs.

Each of these constraints were identified as the process unfolded in the initial CRSP's, and were eventually dealt with in a manner which strengthened the program. The details of each will be discussed by subsequent speakers so I will leave them at this point, except to elaborate further on item No. 5.

When the first CRSP (Small Ruminants) reached the completion of the planning phase by Research Triangle, Inc., a plan was submitted for approval by the JRC, and subsequent recommendation to BIFAD. If approved by BIFAD, it would go to AID as a recommendation for implementation. When the plan reached the JRC for discussion and a vote, it became apparent the AID members on the JRC were uncertain of their role at that point because they realized they might be required by the Agency to participate in another review of the CRSP plan if it were approved and forwarded to AID by BIFAD. This issue led to ambivalence on the part of some JRC members when each CRSP plan had been brought forward, although the issue may be less serious now that the process has been completed on four CRSP plans. It is a matter the JRC, BIFAD and AID need to clarify in the near future if CRSP's are to be planned and implemented more smoothly.

## SUMMARY

The CRSP approach links U.S. universities, U.S. federal agencies, and LDC institutions in organized programs on selected problems which require long-term research for their solution. During the last three years much has been accomplished to define the concept for such research and to develop the appropriate strategies for prioritizing, planning, implementing, and evaluating these programs. Now the JRC, BIFAD, AID, IDCA, the LDC's and the U.S. universities have a new opportunity to capitalize upon this exciting collaborative research mechanism to provide new knowledge which will be the basis for a marked improvement in the world food situation.

None of the problems encountered in the process of developing this new program have been insurmountable, although some changes in AID policy required extreme patience on the part of the university community. At times this patience wore thin, but it has never disappeared, and today the CRSP's being implemented on Small Ruminants, Sorghum/Pearl Millet, Fisheries, and Human Nutrition justify the effort which has been expended.

## THE CRSP PLANNING PROCESS, PLANNING OBJECTIVES, MODELS, FLOW OF ACTIVITIES - CRSP PLANNING VS. EXPLORATORY STUDIES\*

This is a background paper, intended primarily to set the stage for a more detailed and penetrating discussion that should ensue during the panel presentation and task force deliberations. As such, it would seem to be most useful to briefly review some of the early experiences in planning, pointing out major problems encountered and some of the policies developed in an effort to minimize these problems.

At the outset, you should be reminded that the Collaborative Research Support Program is a new venture without precedent to guide the early planning efforts. The planners were ill-prepared for some of the unforeseen problems that arose. The JRC members and the BIFAD/AID staff were ill-prepared for advising the planners on how to cope with these problems. Furthermore, there was general lack of understanding among universities as to the CRSP concept. Even worse there as resistance within AID, especially in the missions, to this foreign body being painfully thrust into their anatomy.

The first CRSP planning contracts (Sorghum/Millet, Small Ruminants, and Fisheries) may have been premature. In retrospect, it might have been better to delay another six months even though 20 months had already elapsed since Title XII was signed by the President. Guidelines undergoing review at that time could have been completed and the missions better informed concerning the CRSP concepts and procedures. However, there were certain unknowns in the CRSP planning process that could only be surfaced through actual experience. A vote of thanks is due the three contracting agencies (University of Missouri, Raleigh Triangle Institute, Resources Development Associates) for their pioneering efforts under difficult circumstances. Everything considered, they did a very commendable job.

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\*Presented by Glenn H. Beck at the \*Workshop for Evaluation of Process, Structure, and Methods of Planning, Managing, and Implementation Collaborative Research Support Programs (CRSP'S). June 9, 1980

**A review of the factors creating problems for these early planners is pertinent to this Workshop. As a result of these early experiences, policies have been established which eliminate or at least alleviate many of the procedural problems. However, some problems are inherent to the CRSP and must be dealt with as they arise. Specific examples will undoubtedly be presented in the panel discussion.**

References to various sets of problems that occurred during the early planning stages may be observed by perusing the JRC minutes beginning in August, 1977. Following is a categorical summary of the major problems.

Understanding the CRSP concept. It was clearly evident from the project proposals submitted by university scientists that they did not understand the CRSP concept. They tended to regard this as potential support for expanding what they were already doing with little concern about application in the LDC's. Likewise, the missions were confused by the intrusion of a research system which they did not understand. This is a communications problem that has now been alleviated but still exists to some extent.

Lack of guidelines. The CRSP guidelines were still undergoing revision when the first planning contracts were let. The Scope of Work defined the objectives of the planning exercise but did not offer guidelines as to how these objectives were to be achieved. The current CRSP Guidelines (October-1979) responds to many procedural matters that have been improved through experience. Additionally, the JRC is now providing a supplement to the AID approved guidelines that is even more specific in assisting the planners.

Research design. The need to plan research directed toward small farm application in the LDC's is emphasized by AID. US scientists think this is carried to an extreme. They question how it is possible to show mutuality of benefit to the American farmer if the CRSP orientation is widely different than domestic needs. Another design problem relates to the balance of research activity conducted in the US and in the LDC's. There are those who feel that more basic research should be supported in the United States. Others want this held to a minimum. Then there is the question of determining the disciplinary balance needed in the CRSP. Some contend that US scientists are too production oriented, disregarding such elements as social acceptance, nutrition, economics of production, and market potential. It would seem unwise to cast each CRSP in the same mold with respect to these kinds of questions. Careful planning should

**reveal the best approaches to fit the widely varying circumstances peculiar to a particular research subject.**

Institutional requirements for a CRSP. Eligibility of institutions to participate in Title XII was an unsolved issue in early planning. This has now been clarified, but still remains a sensitive issue. A closely related problem is that of limiting institutional participation to a reasonable number. The JRC is now attempting to limit the number of eligible institutions to about eight per CRSP, with selected non-eligible institutions participating through a contractual arrangement.

Interface between the planning agency and JRC/AID. Planning agencies have been most critical of the inconsistencies experienced in the information and advice received from the JRC and AID. This was especially troublesome in the early planning stages because of the lack of experience on the part of JRC and AID advisors. Planning was complicated by what was perceived to be changes in AID signals, such as changes in funding levels, country involvement, relationships with other AID projects, etc. This remains a serious problem caused in part by changes in personnel, in policies, and in a mutual understanding of what a CRSP is all about.

Early involvement of the Regional Bureaus and Missions in planning. Initially the JRC was reluctant for the planners to contact the missions and the LDC's until the program began to take shape. The feeling was that it might arouse false expectations that might prove difficult in determining site locations later. This proved to be a mistake. It resulted in confusion and ultimately delayed the acceptance of the CRSP's by AID. Now there is an effort to determine possible LDC needs and interests by early contacts with the Regional Bureaus and some Missions. These kinds of contacts should be encouraged throughout the planning process.

Financial matters. Early planners were faced with such uncertainties as allowance of overhead, methods of cost sharing and how much, pass-through funds for overseas operations, etc. Policies and procedures have now been established by the AID Contract Office that should cover most of these matters.

The end-product of planning. There have been differences of opinion among AID, the JRC, and the CRSP participants as to what should be acceptable as a final product from the planning agencies. AID was reluctant to approve the

**Sorghum/Millet and the Small Ruminant CRSP proposals because they lacked specificity regarding LDC sites, working relationships, and fund distribution. The Principal Investigators (PI's) were confused about where they would work, with whom, and under what circumstances. Until they became personally involved they could not develop specific project plans, nor provide specific cost estimates. It is hoped that earlier involvement of everyone concerned including the PI's and their LDC counterparts will result in more sound planning. Even so, it should be expected that final operational planning must be delayed until the management entity, its committees and PI's are in place and can participate in this fine-tune planning.**

During the past year the JRC appointed a special study group to focus attention on ways and means of improving the planning process. As a result of this study the JRC adopted in June 1979 a supplemental set of detailed guidelines regarding the CRSP planning process. These were not intended to replace the official AID approved guidelines, but rather to serve as supplement. It would seem to be important for the CRSP Planning Task Force at this Workshop to examine these supplemental guidelines to determine if they are adequate, need to be amended or expanded, or entirely re-drafted.

Special attention should be directed to the section on the exploratory study. As stated in these guidelines the exploratory study is intended as a screening process which, in addition to addressing LDC relevance and US capacity and interest, should sharpen the focus and the objectives of a major planning effort if a decision is made to proceed. The objectives of the exploratory study are quoted from these guidelines as follows:

1. To describe the problem, documenting its geographic and economic importance, seeking readily available information from the AID Regional Bureaus and other sources (i.e. National Academy of Sciences, National Science Foundation, United States Department of Agriculture, World Bank);
2. To determine the state of knowledge and factors limiting production, development, limitations and potential improvements in nutritional contributions;
3. To identify potential goals and objectives (researchable problems both short and long term);
4. To ascertain the level of US university capacity and interest in and

- possible support of the research area (also regional bureau support);**
- 5. To recommend the need for such research and the potential approaches i.e., whether it should be a CRSP, a centrally funded or a country/regional project;**
  - 6. If a CRSP approach is recommended, the study should provide information useful to the JRC in developing its recommendation in a institutional framework and a general budget for the planning entity.**

**There are good and valid arguments that all CRSP planning efforts begin with an exploratory study.**

STATEMENT BY MR. JOHN F. OWENS TO THE WORKSHOP FOR EVALUATION OF  
THE COLLABORATIVE RESEARCH SUPPORT PROGRAMS (CRSP's)  
JOINT RESEARCH COMMITTEE

Discussion

Due to the need for early action the AID Contract Staff utilized existing contractual arrangements to begin planning for:

- small ruminants                      - Research Triangle Institute
- sorghum and pearl millet - University of Missouri
- nutrition                              - University of California (Berkeley)

Work orders were issued under the Indefinite Quantity Contract (IQC) with RTI and Missouri and a direct contract with California at Berkeley.

Early on we were faced with the need to develop a new framework to permit accessing the institutions to plan the research effort, identify institutions capable of achieving results, and countries where activities could be carried out.

It seemed to some of us that in view of extensive effort to be made by the institutions themselves it was appropriate to use a grant system rather than the contractual mode used in the early cases.

In turning to the grant mechanism there were two considerations which needed to be covered:

- how we selected the planning entity (competition)
- avoiding organizational conflicts of interest.

The selection of the planning entity does require use of publicizing in Commerce Business Daily as well as BIFAD and Institutional journals and selection made from those submitting proposals. The JRC evaluates the proposals against previously established criteria and recommends to BIFAD those ranked highest.

If BIFAD agrees, the recommendation is endorsed to AID which selects and funds the planning grant.

It is essential that the planning entity be carefully selected because all of the subsequent actions depend on the adequacy of the planning.

The planning entity is responsible for identifying the other participating institutions which will later decide on the management entity to administer the CRSP. Of course JRC, BIFAD and AID have heavy responsibilities for review, endorsement and funding but essentially if the planning entity has done its work well and funds are available the result will normally lead to a CRSP.

A problem that vexed us early on was that of organizational conflict of interest. Generally stated, it is a situation resulting when an entity is engaged to develop a project in which it is influenced in its initial work by the prospect of future work and thus may bias the report or study to favor areas in which it perceives that its own expertise will give it an advantage over others for follow-on work.

We dealt initially with this problem by concluding that the planning entity should not be eligible to participate in the CRSP. This would normally lead those institutions with prime capability in a research area to decline the role as planning entity. However, since the role of planning entity is really critical to the successful development of a CRSP we needed the most talented capability for the planning effort.

We now recognize that the planning entity may well be considered for CRSP work including the role of Management Entity and that such is in the best interests of both BIFAD and AID.

We expect that each case will be reviewed on its merits and of course the legal responsibility of AID to prevent organizational conflicts of interests will be carried out; but our expectation is that in the long process of planning the CRSP the discussions with JRC/AID and finally the peer review of the planning entities products by those who will participate and contribute establish built-in protections against organizational conflicts.

We are still in the beginning of implementation and as we move ahead it appears to me that we should work with the institutions which already are managing CRSP's to find out what could have been done better at the planning stage, ie,

- what problems of an administrative or financial nature have arisen or are likely to arise so that when new CRSPs are funded all can benefit from experience.

### Recommendation

I would recommend a close continuing dialogue between AID, JRC and the planning and management entities to serve as a working level forum for making needed adjustments as we go forward.

The following are some of the issues which have arisen:

- Responsibilities as between management entity and participant institutions
- Costs not identified and not included in CRSP's (site selection, travel costs)
- Local cost financing of activities.

These and others which will arise deserve quick surfacing by the parties to CRSP's and be resolved or recommendations for resolution made by the representatives of the Management Entities, AID and others as needed from the working level staffs involved.

June 9, 1980

**Institutional Relations In Programs - Fulfilling  
University and AID Objectives.**

Erven J. Long

Coordinator

University Relations and Title XII  
Strengthening Program, AID

Why do we have a management entity in the first place? Because CRSP programs require more than one university to work together and because universities have many more people and are better equipped to meld the participating universities into a working team than AID is. In a sense, the idea of a management entity is an act of faith by AID that universities could and would solve the problems which have surfaced already and basically, this is what we are paying for. AID could lay down neat, hard rules but it is fortunate that we have not. The Joint Research Committee (JRC) could have done the same and that would probably be worse! The worst thing that could happen would be to try to take all the tensions out of the system by a set of tight rules. Besides, as Program Director Robinson so dramatically indicated at the MUCIA talks this system works. Earl Leng could probably indicate this as well.

**Management Entity-Institutional Relations**

The point to start with is that CRSPs are support grants to universities as well as to LDCs. AID does not have the staff, even if we were to try, to take on the responsibility of constantly weaving the CRSP participants into a single fabric. So at heart, the idea of a management entity is for the universities which have been selected to tie themselves together in such a way that they operate (for this purpose) as if they were a single entity. The key then, is that the management entity should be the creation of the universities whose individual wills become, to a large degree, subordinate to the entity. A corporation (consortium) is probably the best model in concept, but this takes time to implement, so we move to the choice of a single university which itself assumes some of the functions (serving as a fiscal unit, for example) but more importantly, assumes the nuclear responsibility to create arrangements through which all participating institutions play their appropriate roles.

An inherent tension exists in the system, but it is a creative tension, rather like the executive, congressional and judicial tension. The university which provides the management entity function is held responsible to AID for performance, but it is performance by others. That is one set of interactions - the nuclear managing university

**with the other US universities.**

**A second set, is the entire entity (board plus management entity) interacting with each of the universities as individuals. The key here is that the requirement of the program must control the flow of the funds. Prior funding decisions must not control the program. The real test will come when some universities fail to perform, (I believe we have one such case now), or some research break through makes their role obsolete. If we drift into fixed patterns of funding based on some sense of "rights" of the participating universitites, we have lost the game. The last set of interactions is the relationship both of the whole system and of individual universities with collaborating LDC institutions. Joe Wheeler stated the problem perfectly, which is how to achieve maximum adaptability to local involvements without warping the program pieces so they won't fit together in a way that gets the job done.**

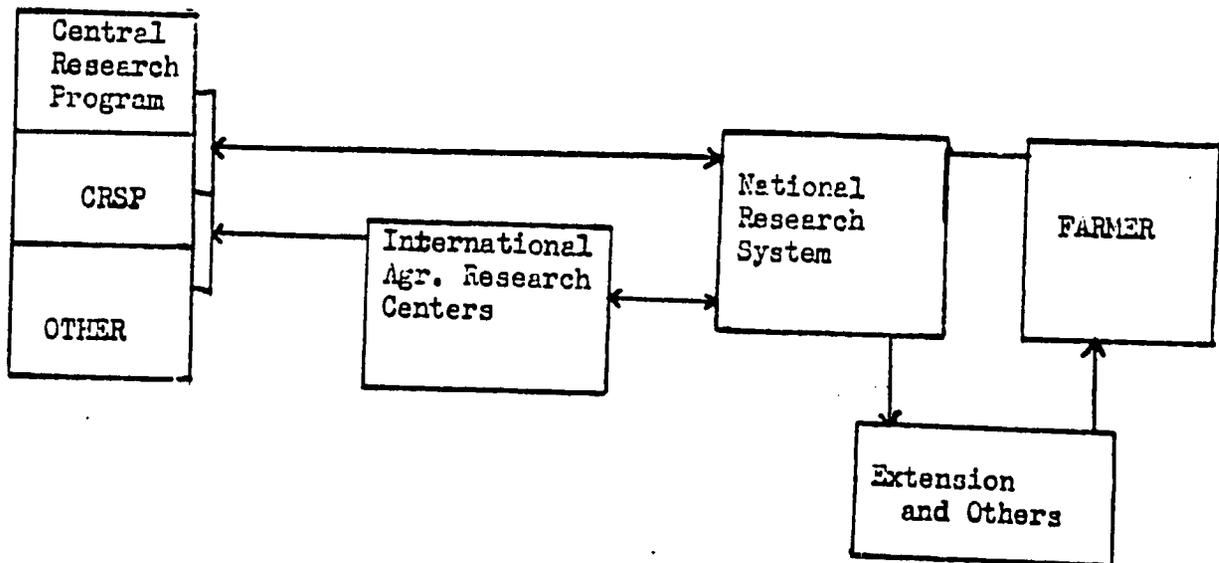
## Role of CRSP's

### Meeting Research Needs of AID

J.K. McDermott - 6/9/80

#### CRSP Workshop

1. This title demands some understanding of what are the "Research Needs of AID," an important issue for this group to face. It assumes that AID as an organization has "research needs."
2. The Collaborative Research Support Program is one of four forms in which the Agency supports research: 1, Support to the international agricultural research centers; 2, support to national research services; 3, central research; and 4, CRSP's. In fact, the CRSP could be considered a category under Central Research.
3. Given this breadth of support, I'm tempted to think in terms of the "AID Research System." My conceptualization of "research needs" flows from this thinking (or fantasizing), and so what I will be talking about is "CRSP's Role in Meeting the Needs of the AID Research System."
4. The AID Research System can be pictured as follows:



a. Everything starts with the farmer. If the entire system doesn't support him, it does nothing.

b. Each LDC needs its own research capacity. None of us can do anything of significance without some national capacity. And one of the most important capacities is that to know and understand the client and his needs. Developing a national R&D capacity has got to be the Number One priority of AID in the field of agricultural development. And AID is investing fairly heavily in this area-- just how effectively, we don't know.

c. The National System should solve the problems that it can.

d. It should have recourse to the international system when it confronts a problem that it cannot solve.

e. There are several sources of help. The IARC's are an important source. There are many other sources in the world if the information already exists, and certainly information exists to solve many of the LDC problems that are beyond the capacities of some of their R&D Systems.

f. The role of the CRSP is to solve or help solve the problems for which the answers are not known and the information does not exist to help arrive at the answers. Note that in the diagram, the CRSP and other sources also support the IARC's. The IARC's do not have many resources in relation to the tasks they are charged with. They do concentrate heavily on technology. And they face now or can be expected to face serious problems that only science can solve.

g. In my judgment, the role of the CRSP is, then, to address those problems in agricultural technology and science that (1) are causing real trouble to other actors in the system and (2) that are beyond their resources to solve. The CRSP should be the last resort, i.e., if CRSP can't solve the problem, it can't be solved.

5. There has been a lot of confusion with respect to the CRSP role. There is or has been a tendency to hold the CRSP responsible for developing the LDC research capacity and for developing technology of specific value to farmers. This is a serious role confusion. It tends to put the CRSP to the same task assigned to others. At the same time it diverts resources from problems that no one else can address.

6. One other concept is important, that is the distinction between science--an analytical process--and technology development--a synthesizing process. Farmers can use only technology. They cannot use science. We are getting a real appreciation of that fact, and many LDC institutions are addressing technology, not science. For

many LDC's that's the correct strategy, and I'm all for it. It's the practical, down-to-earth approach. But we have got to keep our eye on the science needs of agriculture. CRSP's need to be very sensitive to that need.

7. In summary, the role of CRSP's has to be conceptualized as part of a process--not as substance. There is a role that needs to be performed that no other actor in the system is equipped or assigned to perform. The CRSP operation must make the right decision on substance and then get on with the task.

**Planning Papers**

**Experiences in Planning Nutrition CRSP**

**S. G. Kahn**

**A Resume of Beans/Cowpeas Planning Experiences or  
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## EXPERIENCES IN PLANNING NUTRITION CRSP

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The planning of a nutrition Collaborative Research Support Program is a many faceted effort, parts of which are rewarding and others, frustrating. The planning of the Nutrition CRSP, in particular, is interesting since it's contract differed in certain ways from the other planning CRSP. Moreover, the type of end-product and its inter-disciplinary approach make it unique among CRSPs.

The planning contract was different from its beginning in that it did not exclude the contracting institution from being considered for the follow-on CRSP, providing the contracted institution, University of California, Berkeley (UCB) did not prejudice itself while carrying out the contract. The Nutrition CRSP was started in April, 1978, and was completed May 31, 1980. Prior to its initiation, a year was spent in getting the planning contract to a point of starting. It took this amount of time because of repeated policy and substantive reviews and the concern about the legality of engaging a planning contractor who would be eligible for the follow-on CRSP. It was our belief that a contractor with substantive expertise who is interested in the follow-on research would be more involved in planning the program and would produce a better planned project ready for implementation. To date, this type of contract arrangement has worked well.

In carrying out the contract, UCB had to give special attention to:

- (a) the notification of roster and non-roster institutions inviting participation,
- (b) the careful evaluation of all submitted proposals,
- (c) the synthesis of a feasible research design, and
- (d) the submission

**of a justifiable collaborative research support program. Essentially, these functions have all been performed but not without some difficulties.**

Notification of roster institutions was not a problem; however, unlike planning other agricultural CRSPs, many qualified nutrition institutes are not eligible for roster listing. Nevertheless, these institutes needed to be notified in order to ensure that all expert nutritionists and other needed scientists be made aware of what we were planning to do. Some of this expertise would be useful in planning and, eventually, the execution of the program. However, these institutions had to be informed of the fact that only roster institutions could be considered for direct funding as a management entity and that non-roster institutions were eligible for CRSP funds only as sub-contractors. There was a degree of confusion on this point during the early phase of the planning CRSP. This probably would not happen today because most institutions are better informed regarding eligibility and funding under Title XII.

Very early in the process, UCB brought together a steering group of eight, made-up of individuals who were expert in one of each of the disciplines essential to the program's development and who, also, represented both roster institutions and U.S. government agencies. This group met several times, its members served in workshops and on special tasks, and the group was invaluable in assisting the project coordinator, Dr. Doris Calloway, in planning a workable program design.

The principal areas to be researched had previously been defined in a report of a workshop held at the National Academy of Sciences and which was sponsored by A.I.D.. Working from this report, UCB brought together experts from a variety of needed disciplines to participate

in five separate workshops. Each workshop ran five days and included about fifteen persons. A total of approximately seventy-five participants took part in working out recommendations that were considered the most important topics for research in each of the five functional areas of interest; in addition, general approaches to the design of a project were described in several of the workshop reports. Approximately fifteen percent of the participants were from LDCs. A larger number were invited, but several LDC individuals found it difficult to accept the invitation on such relatively short notice. In general, the workshops were successful, though, perhaps they could have accomplished more if they had been several days longer.

A sixth workshop was held that brought UCB together with representatives from LDCs and UN agencies. The workshop reports and the general research approach to be formulated were discussed. Perhaps, prior to the start of the workshop series, it would have been advantageous in having a group of LDC representatives meet together to define general areas of interest from an LDC perspective, and to follow the workshops with a meeting of the same LDC group to review how well the workshop recommendations fit their interests.

A precis was prepared by UCB and distributed to all institutions which had received the original notification of the program and to institutions that indicated subsequent interest. The precis invited submission of research proposals within three months. This period was limited because of contract time constraints. Nevertheless, thirteen proposals were received which represented twenty-five U.S. and thirteen LDC institutions. If more time were allowed, six months, several additional institutions would have submitted proposals. Still, the response in three months was very good.

During the period when proposals were being developed, UCB sent teams to visit potential overseas research sites so as to: (a) evaluate the research facilities available, (b) meet with LDC researchers and staffs, (c) familiarize USAID Missions with the program, and (d) discuss the program with appropriate LDC government officials. It's obvious today that greater effort should have been put into familiarizing Missions with the nutrition CRSP. It is essential that Missions be exposed earlier and frequently to the program as planning develops, even though this increases the cost and extends the time of the planning phase. In addition, AID/W staff should accompany contractor's teams on country visits, and no country should be ruled out prior to a country visit based solely on Washington staff presumptions (as was the case with the Philippines).

Review of the proposals had to be done very carefully, expertly and fairly. Criteria had to be established and questionnaires developed. Each project was reviewed by each steering group member and by four outside peers, each representing a different specialty. Fifty-two peer reviewers had to be carefully selected in order to avoid conflict of interests. In all, the whole review process went swiftly and well. Criteria for judging the proposals were established before the review process started, except that one point of measure, the recommendation that one project should be started in each region before initiating a second site in a region, was proposed and agreed to by the steering group during the process of review. Though not an action to be condemned, it is suggested that all criteria be set before any review begins in order to avoid future misinterpretations and challenges to planning recommendations.

**Synthesis of the total program** was a combined effort of the planning contractor (UCB), the steering group and expert consultants brought in by UCB. The first draft took months. Subsequently, the principal institutions and their LDC counterparts were brought together to modify and update protocol designs so as to develop a stronger unified program. Budget figures were sharpened. A draft of the final report was submitted to JRC in February of this year. It was at this time that questions were again raised regarding policy and substantive significance of the program. This further delayed the progress of the planning program, and an expert panel again had to be brought together to resolve these issues. Following this, the JRC recommended to the BIFAD that support be given the program. On March 27 of this year, the BIFAD recommended that AID fund the nutrition CRSP.

To date, because of budgetary constraints, the decision to fund the nutrition CRSP has not been made, and the program waits to find out about its future. Chances for funding the CRSP in FY 80, if funds become available, are doubtful because of programmatic constraints. In fact, funds needed may not become available. Meanwhile, several U.S. institutions and their counterpart LDC institutions wait for word on this program. By mid-summer of this year certain key staff personnel of these institutions will have been lost to the program, and the total program effort may have been put into jeopardy. This problem would have been avoided if funds had been earmarked in Title XII legislation or by the Agency for the CRSP program area. Planning the Nutrition CRSP has taken three years and the efforts of hundreds of individuals. The program is ready to go. Our problem now is to find the money that will ensure its going. Failure to do so will challenge the Agency's credibility.

**Experiences learned from planning the nutrition CRSP would suggest that:**

- (1) at least two years or more are needed in planning a CRSP to a point when the experimental field operation is ready for implementation;**
- (2) it is important that the contractor, country, mission, and AID/W staffs begin cooperating on the planning of a CRSP as early as possible in the program's development;**
- (3) greater LDC representation in the planning of CRSPs should be encouraged;**
- (4) adequate time must be given institutions to prepare their proposals;**
- (5) all criteria for judging proposals and for making final recommendations should be established before the judgements are made;**
- (6) monies should be made available and reserved for the funding of CRSPs;**
- (7) the procedure of approval through which a CRSP must go must be made faster and more efficient.**

## A RESUME OF BEANS/COWPEAS CRSP PLANNING EXPERIENCES

or

### "20/20 Hindsight" in Planning CRSP's

M.W. Adams, Pat Barnes-McConnell  
Michigan State University

#### I. Objective:

To plan a comprehensive Collaborative Research Support Program in beans (*Phaseolus vulgaris*) and cowpeas (*Vigna unguiculata*), in which scientists from selected U.S. institutions would collaborate with counterpart scientists from selected host countries in Africa and Latin America to address universal problems in production and utilization of these two major food grain legumes.

#### II. Organizing to Achieve Objectives:

The Plan of the Bean/Cowpea CRSP was developed by a planning team located at Michigan State University and consisting of Dr. Wayne Adams as Chief Planning Officer, Dr. Don Wallace (on leave from Cornell Univ., October 1978 - June 1979) as Planning Coordinator, Dr. Pat Barnes-McConnell (May 1979 to present) as Assistant Planning Coordinator, succeeding Dr. Wallace, and Mrs. Kay Carter, secretary.

The planning team was assisted by a local advisory group consisting of men and women with a diversity of professional skills, and having backgrounds in international work. Personnel of the University African and Latin American Studies Centers were particularly helpful.

In the first several months, Drs. Wallace and Adams, the latter not being relieved of his teaching duties for the term, shared major decision making roles; subsequently, Wallace assumed particular responsibility for contacting the cowpea workers of the U.S. and making efforts, with the help of Dr. Creighton Miller of Texas A & M, to bring them more fully into the planning process. He also assumed major responsibility for outlining and making arrangements for contributions to the Bean/Cowpea S.O.T.A. (State-of-the-Arts) document. Dr. Wallace has remained a strong ally and frequent consultant to the program.

Dr. Barnes-McConnell, on sabbatic leave from her position in the College of Urban Development at Michigan State, joined the team in May, 1979, at about the time Dr. Wallace returned to his regular job at Cornell. Her role initially was seen as representing the socio-cultural dimensions in the planning process, but she quickly adapted herself to the total scenario, and has been an invaluable co-worker throughout the planning period.

As an adjunct to developing and editing the S.O.T.A., and to serve as a source of documentation of constraints, we employed for several weeks a young graduate student in agro-economics, Ms. Caroline Hoisington, to build up a small library of papers, booklets, and reports dealing with all facets of beans and cowpeas.

### III. Procedures or Methodology Followed:

Our activities in this respect can be described in the following categories:

- a) determination of interest among U.S. institutions. This was attempted by a letter sent from our Agric. Expt. Sta. Director to a list of nearly 300 institutions.
- b) determination of interest in Third World Countries. This was accomplished by AID-Washington through the Bureaus and country missions.
- c) determination of production and utilization constraints. This was accomplished in many ways: personal travel by planning team, attendance at regional and international workshops, symposia, professional society reunions, etc., travel teams sent by the planning group to various countries, from annual research progress reports, from journal articles, review papers, from our own consulting trips and personal contacts and experiences, and from special groups convened by the planning office.
- d) solicitation of research proposals from U.S. workers in address of the constraints.
- e) review of the proposals by a peer review panel composed of internationally accredited scientists of several different institutions, countries, and disciplines.
- f) Refining and prioritizing of the constraints by a special panel of individuals representing Third World countries.
- g) submittance to each country of a list of researchable constraints selected by the planning team as appropriate to the particular country concerned, with the request that the scientists of that country again rank the constraints and return the information to the planning office.
- h) selection by the planning office of U.S. scientists competent in and appropriate to particular constraint areas to visit foreign regions and particular countries and scientists in those regions to work out jointly a series of brief research outlines and suggested budgets, within guidelines established by the JRC and the planning office.
- i) consolidation of these joint research designs into a global plan for the CRSP, and presentation of this tentative plan to a convention of representatives of 2 individuals from each of the 10 U.S. institutions approved by JRC for participation.
- j) interspersed among these 9 key steps were several interim meetings with advisory groups, with the JRC and AID, numerous communications by phone with Dr. Yohe of AID, and the various trips to LDC's made by members of the planning team.

All steps are throughly chronicled in the final report to JRC.

#### IV. Constraints Encountered

##### a) Communications:

Our initial letters soliciting institutional interest in the CRSP were addressed to Title XII representatives in the various institutions. In several instances, we later learned, the Title XII representative did not disseminate our letter promptly or thoroughly (to all disciplines) within the institution. This failing resulted in certain potential collaborators not being informed in sufficient time to prepare adequate or timely responses.

With overseas scientists we have had very irregular and delayed communications in some instances, and no responses at all in one case of importance to us. The TELEX service to IITA has been completely unusable.

##### b) Diplomatic:

For certain technical purposes, we early-on had thought it desirable to have a collaborative linkage with INIA of Chile. We were informed bluntly and with absolute finality by US/AID officers in Santiago that we would not be permitted to have a program in Chile because the U.S. State Department, which was in the process of negotiating (unsuccessfully) with the Chilean government for the extradition of an alleged participant in the Washington assassination of a former Chilean ambassador to the U.S. had decreed no new collaborative institutions would presently be permitted.

- c) The length of time needed to secure country AID Mission clearance for visits to an LDC was sometimes a real constraint, sometimes a simple inconvenience.

##### d) Planning Guidelines:

The JRC, during the early months of our planning, had not completed the writing of the guidelines we were to follow. This led to misunderstanding on such questions as number of U.S. institutions acceptable in the CRSP, number of sub--contracting institutions allowed, extent of need for LDC participation in the planning process, and how far the planning process should go in establishing LDC linkages.

#### V, VI. Elaboration of Certain Procedures, Lessons Learned and Recommendations

- a. Questionnaire: The University of Missouri Sorghum-Millet planning group used a questionnaire as a part of the process of identifying constraints. They did not recommend it highly to us, but stated it helped organize discussions in the interviews they had with sorghum-millet workers.

We developed an elaborate questionnaire, had it translated into Spanish, took it with us on our first Latin American trip in January-February 1979, and distributed copies at the PCCMCA meeting with requests for filling out and turning back. We had positive returns only when we used the questionnaire in our own interview, none elsewhere.

Considering the amount of work we invested in developing the questionnaire, we would have to admit our expectations were not fulfilled and we would not strongly recommend its use. The greatest benefit came from the requirement that in developing the questionnaire we were forced to think of every possible problem that might constitute a constraint. Thus it provided us with the impetus needed to form a comprehensive overview of possible constraints, and it became the background for eventually categorizing constraints into the 9 major constraint groups we ultimately settled upon.

b. Request for Research Proposals from U.S. Institutions:

After we had identified major constraint areas but before we had determined, by any objective criteria, which constraints were major and universal, we invited research proposals to be presented to us from U.S. scientists. Despite rather detailed guidelines from the planning office that emphasized the problem solving and small-farm orientation of the invited research, and that pointed out what we thought the major problem areas were, the proposals received were often wide of the mark. They tended to reflect an unfamiliarity with the agriculture and the social-cultural character of developing countries, and often seemed to reflect more the U.S. scientists personal interests in research than a serious effort to employ his/her particular skills in attacking a production or utilization problem in one of the Third World countries.

One of the shortcomings from the standpoint of proper planning procedure was that we asked for particular research proposals before we had completed the task of prioritizing the constraints.

Secondly, U.S. scientists were asked to indicate in which country they preferred to work, when we (they) had no indication that the problem the U.S. scientist proposed to work on was of importance to the country he/she had targeted for the research linkage.

Thirdly, we asked that research proposals be prepared using the format of the USDA/SEA Competitive Grants Program. Proposal preparation thus was very demanding of the writer-preparer; in retrospect, since we determined that LDC collaborators should have a greater role in designing and approving the research, it was probably wrong to ask the U.S. scientists at that early stage to prepare and submit such comprehensive proposals.

c. Proposal Evaluation:

In June 1979 we convened a proposal peer review panel. We think this was a first rate panel and feel the review process was fair and objective, and conducted in a highly professional manner.

a) We had both a peer review panel and an advisory group. The panel consisted of eminent scientists from several disciplines none of whom were directly involved as submitters of proposals, and several of whom were from other countries than the U.S. Both international centers (CIAT and IITA) were represented.

The advisory group to the panel consisted mostly of U.S. scientists having personal experience in beans or cowpeas and knowledgeable with respect to research in these crops.

- b) Some 64-5 proposals had been received up to that time for evaluation. By constraint area they were subdivided, assigned and mailed in advance to particular individuals knowledgeable in the appropriate constraint discipline to be pre-viewed and reported on at the meeting. The entire panel took part in the ensuing discussion and then filled out an evaluation form for each proposal.
- c) Not every panelist responded fully to all proposals, so we cannot claim a perfect response. We do feel, however, as stated above, that the panelists on the whole produced a valuable set of recommendations.

d. Taking Advantage of Workshops, Conferences, etc:

During the planning period, several grain legume workers meetings have been held around the world. These provided unparalleled opportunities for meeting potential collaborators and for sharing views on problems. In several of these meetings we were asked to present a report on the Title XII B/C CRSP. Let me list several of these meetings to suggest their geographic breadth and content.

- a) World Legume Symposium, Royal Botanic Gardens, Kew, England. July-August, 1978.
- b) F.A.O. to explore possible Caribbean-Central America network of collaboration in grain legume research, held in Santo Domingo, Dominican Republic, February, 1979.
- c) P.C.C.M.C.A. XXV Annual Reunion (25th meeting of Crop Science Society of Central America) held in Tegucigalpa, Honduras, March, 1979.
- d) Regional Workshop on Tropical Grain Legumes, held in St. Augustine, Trinidad, June, 1979.
- e) American Society of Agronomy and Crop Science Society of America Annual Meeting, Fort Collins, Colorado, August, 1979.
- f) East African Grain Legume Symposium, held University of Nairobi, Nairobi, Kenya, August, 1979.
- g) Bean Improvement Cooperative Meeting, held Madison, Wisconsin, November, 1979.
- h) Workshop on Potentials for Bean Production in East Africa, jointly sponsored by Bunda Collage and Centro Internacional de Agricultura Tropical (CIAT), held at Lilongwe, Malawi in March, 1980.
- i) PCCMCA XXVI Reunion, held in Guatemala, C.A., March, 1980.

e. Travel Trips to LDC's:

During April-June 1979, we dispatched 4 3-person travel teams from among potential U.S. collaborators to East Africa, West Africa, Caribbean, and South America, respectively.

The teams were balanced with different disciplines, including at least one socio-cultural or economics person, and, in 2 teams, at least one woman.

Their purpose was to visit national research institutions in as many potential CRSP linkage countries as feasible, from among those that had earlier, through the Country AID Mission, expressed a primary interest in collaborating with the B/C CRSP. During each visit their objectives included securing information on current bean or cowpea research needs, current activities, personnel involved, facilities, and interest.

In assessing the value of these team visits to the CRSP planning, the following conclusions are drawn:

- a) An orientation and fact-finding visit "early-on" to selected countries is needed.
- b) Two-person teams, not three, would be adequate, one a biological and one a social scientist.
- c) If possible, the planning team itself should make these trips, or comprise one member of the team.
- d) It is very important to make full arrangements well in advance of the projected travel time, and to allow plenty of time at each place.
- e) Be very careful in choice of individuals sent as team members--they cannot be socially abrasive, "pushy", or, as in one of our cases, so culturally inflexible that the entire visit to one country consisted of sitting in the hotel room, while other members of the team went about their appointed business.

In a second case, one of our team members, professionally very competent, became persona non grata to two AID officers in two different country missions because of over-aggressiveness in trying to achieve his goals in a limited time period; when we sought entrance to the countries a second time around, our requests were refused, causing a lot of dislocation in our plans and a lot of expense for naught.

f. LDC Prioritizing of Constraints:

Through various means, we arrived at what we deemed the major, the most important, constraints to bean/cowpea production and utilization. The means alluded to included all of our early travels and participation in conferences, workshops etc., published reports, travel team reports, and the long-time experiences of ourselves and various colleagues in the field. We were supremely confident that the major problems had been correctly identified. There had been, in our judgement, ample input from LDC persons into the findings.

At this point, we were ready to prepare a global plan. Our AID advisors thought otherwise and pointed out that we had not actually submitted our constraint list to an independent body of LDC consultants for prioritizing.

Accordingly, in October 1979, we convened a small group of LDC representatives, only one of whom had previously had any involvement with the CRSP as a consultant, for the purpose of prioritizing the major constraint areas, and the numerous items within each area.

The results with respect to the main constraint areas themselves were quite consistent from one person to another, but within those areas the results were more heterogeneous. We might add that the results on the principal constraint areas were not different in any significant way from our own prioritizing.

Of what value, then, was LDC prioritizing? Credibility, we suppose, was the chief benefit, and making it possible to say, to Congress or other questioners, that the constraints being recommended in the CRSP are precisely those judged most important by LDC representatives themselves.

One may still raise the issue that LDC small farmers should have been consulted, their perception possibly differing from that of their scientifically educated non-farmer countrymen.

g. Development of Collaborative Research Designs:

At a late stage in planning we came to realize with great conviction that the CRSP linkages could not be truly collaborative unless and until the LDC researchers joined with their prospective U.S. counterparts in agreeing upon and writing, in abbreviated format, each individual country program, each "CRSPY," as Julio Lopez-Rosa called them.

Funds and logistics prevented our carrying this ideal out in every case. What we undertook was first to send each country a 1-page listing of a major constraint together with several line problems relevant to that constraint, which in our collective global judgement seemed most appropriate to that country, and requested the principal workers therein to respond by ranking the various line items most in need of research support and most important to their program.

Our thinking was that when returned to us that information would enable us to proceed more confidently with the second step, that is, in selecting the individuals from the U.S. who might most appropriately be asked to work with that country program.

With extra funds provided by JRC-AID, we followed through with that strategy. We could not take all U.S. collaborators, but we could take at least one, in a few cases, two U.S. people from each U.S. university that, by this time, had been approved by JRC for further planning involvement, to the selected LDC to meet the local scientists on their home ground, to see their agriculture, their society, their schools, and glimpse a portion of their problems. They might then be better prepared to develop a more realistic research proposal jointly with the LDC scientists.

Taking advantage of previously scheduled regional workshops or commodity meetings held in East Africa and Central America, we first brought designated U.S. scientists to the general meetings and then, splitting up, returned to individual countries to proceed with the objectives noted above.

We felt then and still do that this move was one of the more inspired actions of our planning process. Better than any other thing, it brought U.S. and LDC scientists together, under LDC circumstances, in a context of joint endeavor, and at a stage when the LDC scientists could truly feel that no decisions had yet been made by others concerning their role in the program.

**This was the way the plan was supposed to work when we conceived it. To major degree it worked out in practice, but there were some failings:**

- one, we could not afford to take every potential U.S. collaborator to the indicated country.
- two, we encountered some differences among LDC scientists within a given country as to what was desired from the CRSP.
- three, some LDC scientists hoped to subvert the CRSP funds to other components of the country program and this endangered the generally collaborative spirit of the designated participants.
- four, we made a couple of unfortunate choices of U.S. scientists. They are now out of the picture.
- five, one country program director had not responded to our request for ranking of constraints, and when he appeared at the PCCMCA meetings for preliminary negotiations we discovered he had abandoned the constraint area we had planned for that country and substituted an area demanding quite different professional skills than we had been prepared to offer. This forced us to have to withdraw one U.S. university team from that country and re-assign it to another country.
- six, one country AID mission officer disagreed sharply with our plan for that country and with the country program leader himself, and insisted the CRSP adopt his priority. We abandoned the country so far as further CRSP involvement there is concerned. We did offer to cooperate with his priority provided he would put in a major share of the money from the country AID program, but he didn't respond to this suggestion, so we pulled out.

- h. Meshing individual country needs, capabilities and hopes with U.S. scientists' expectations and skills within a set of global constraints and global objectives of the CRSP.

This proved to be no easy task and there appeared no obvious pattern of persuasion that could be employed in bringing all parties to a consensus.

Based on all the information we had for each selected country and the several U.S. institutions, and keeping the global goals of the CRSP constantly in mind, we made tentative match-ups of problems with LDC's and U.S. institutions-- a kind of trial marriage in each case.

With minor adjustments, the "arranged marriages" appeared harmonious in Malawi, Tanzania, Nigeria, Kenya, Cameroon, Senegal, the Dominican Republic, and Guatemala. As match-makers, we were somewhat less successful initially with Honduras, Ecuador, Brazil and Guyana.

In Honduras, the problem was essentially one where the collaborator had experienced unsatisfactory relationships with AID-sponsored programs in the past and was reluctant to become involved again.

In Ecuador, the program leader wanted only a social science program, and we felt that any social science research should be associated with a production or evaluation component.

Brazil, we found, had already begun some of the work we had thought might be undertaken jointly.

Guyana became a site of misunderstanding largely on the part of the U.S. team which was sent there, in that we chose inappropriate individuals, or rather, allowed the designated collaborating university to send inappropriate individuals as its representatives. One member of the team, although professionally competent, upon arrival in the country, chose not to participate in the field trips and further planning. We did not have enough advance information on the country or on that individual to have been able to anticipate the problem.

Nevertheless, with superb cooperation and general good will, our U.S. representatives and the LDC persons reached agreements on all issues, and proceeded to develop collaborative proposals which we have incorporated in the global plan.

Finally, it should be noted that having suggested that U.S. scientists from two U.S. universities work cooperatively in a given LDC, we found in some cases the U.S. scientists were not prepared to work collaboratively, exhibiting signs of lack of mutual understanding or appreciation of the other's discipline and/or ability to contribute usefully to the project. Inter-personal rivalry may sometimes play a part in these situations. Fortunately, we did not encounter these attitudes more than once or twice, and eventually, as the persons involved became better acquainted and realized the absurdity of their behavior, they were able to overcome their initial difficulties and produce a joint research proposal acceptable to the planning office.

In closing permit a personal observation on the planning process. It is a very cumbersome, very wearying, time-consuming, and costly process. It is also a very important, very necessary task. But it is a task which in our case at least, from hindsight, might possibly have been accomplished in less time, at less expense, and perhaps with less wear and tear on the program planners.



# SOIL MANAGEMENT CRSP NEWSLETTER

NUMBER 1

FEBRUARY 20, 1980

The purpose of this Newsletter is to inform, on a periodic basis, the many individuals involved in the development of the Soil Management Collaborative Research Support Program, presently supported by a planning grant awarded by AID to North Carolina State University under the provisions of the Title XII Program of the United States Board for International Food and Agricultural Development (BIFAD). Through this mechanism, we will keep you up-to-date with the very rapid developments that will take place during the next several months and call to your attention needed institutional action or assistance in developing this program.

## SUMMARY OF ACTIVITIES TO DATE

### May 1979

1. Planning Grant awarded to North Carolina State University May 8, 1979. Pedro Sanchez and John Nicholaides appointed grant coordinators, John Malcolm and Fred Hutchinson as grant monitors from AID and the Joint Research Committee (JRC), of BIFAD, respectively. Assessment phase begins.

2. A seven-member External Advisory Panel composed of outstanding scientists and administrators with ample experience in developing countries was recruited to assist NCSU in various phases of the grant, including travel to various countries and participating in the decision-making process. Panel members are: John Coulter (World Bank), Peter Hildebrand (Rockefeller Foundation), Amirul Islam (Bangladesh), Frank Mcormann (Netherlands), Kenneth King (ICRAF), Marlowe Thorne (Illinois) and Carlos Valverde (Peru).

### June 1979

1. Inquiries sent to all USAID Missions informing them of the CRSP and requesting expressions of interest from national research institutions and USAID Missions. Forty-one missions responded, 23 of them expressing strong interest from the national research institutions and themselves.

2. A seven-member team participated in the Soil Constraints Conference held in Los Baños, Philippines, June 4-8, 1979 in which 70 soil scientists from 31 countries discussed ways to alleviate soil constraints. The conclusions were most helpful in defining research priorities for the CRSP.

**3. Visits were made to international centers (IRRI, ICRISAT, ILCA, ILRAD, ICRAF, IITA, CIP) and to Thailand, Sri Lanka, India, Philippines, Kenya, Nigeria, Peru, Bolivia, Brazil and the Dominican Republic, to assess research priorities and determine potential collaborative soil management research for U. S. universities and national institutions.**

**July–August, 1979**

1. Further assessment of research priorities was done via personal communications or correspondence with scientists and administrators from developing countries. Each opinion was recorded as an "assessment report."

2. First circular to Title XII representatives was sent July 4 requesting assessment of research priorities by U. S.-based scientists. A total of 68 individuals from 31 institutions responded and each opinion was recorded as an "assessment report."

3. An informal meeting was held during the American Society of Agronomy Annual Meeting in Fort Collins, Colorado to describe the planning grant and activities to date. A total of 64 individuals from 41 institutions participated.

**September 1979**

1. The information gathered from the USAID Missions and in 97 assessment reports was assembled. A total of 197 individuals from 46 countries representing 118 different institutions contributed their assessment of research priorities.

2. The first meeting of the External Panel, NCSU and AID staff was held in Raleigh, September 3-6, to make decisions on research priorities based on the materials assembled and on intensive discussions. The Panel recommended a) that the CRSP be structured along agroecological zones, b) twelve criteria to be used for establishing priorities, c) the following priority research areas and potential primary sites: 1. Humid Tropics (Peru and Indonesia); 2. Seasonal Non-Acid Tropics (Upper Volta and Tanzania); 3. Seasonal Acid Tropics (Colombia and Brazil); 4. Steeplands (no sites identified); and 5. Wetlands (Bangladesh), and d) a list of principal research components for each priority and for all agroecological zones as well. A detailed report of this meeting is available. The Panel traveled to Washington and presented the results to AID officials on September 7.

3. The Joint Research Committee of BIFAD, at its September 12 meeting, unanimously approved the Panel meeting recommendations and thus set the research priorities. The JRC also agreed that a) funding be allocated in accordance with the established priorities, i.e., Priority 1 is to be fully funded before Priority 2 is funded, etc., b) now that research priorities, potential locations and main research components are identified and while arrangements are being made to travel to potential primary sites, the potential interest of Title XII eligible institutions be canvassed.

**October 1979**

1. The Technical Program Committee for Agriculture (TPCA) of AID/Washington formally approved the Panel Report on October 16. Assessment phase of the grant terminated.

**2. A call for preproposals was developed according to guidelines received from AID and JRC monitors and was sent to all Title XII-eligible institutions on October 17. It requested institutional expressions of interest specifying a) the executing agency within the institution and potential principal investigator, b) portion of the CRSP of interest, including which potential primary research sites, c) justification for such interest, d) potential participants, and e) complementarity with domestic activities. Only those institutions sending a preproposal by December 17 would be eligible for further involvement in the CRSP.**

**November 1979**

1. Arrangements for visits to potential primary sites were developed through correspondence. The purpose of such visits is to assess the interests of collaborating institutions, research sites and resources and to discuss with national institutions or international centers, the nature of cooperative programs at the primary research sites. After consultation with AID and JRC it was decided to develop a Memorandum of Intent with each relevant institution if discussions were of sufficient mutual interest. Such a document would describe the framework for cooperative work and the contribution of the national institution or international center.

2. Given time limitations it was decided, after consulting with AID, that only the most promising primary research sites will be visited. These are Peru and Indonesia for the humid tropics, Upper Volta, Niger and Tanzania for the seasonal non-acid tropics, and Colombia and Brazil for the seasonal acid tropics. The following potential primary sites were then identified for the stepland project in consultation with AID: Sri Lanka, Dominican Republic-Haiti, Peru and possibly others in Latin America. Also, on AID's recommendations, plans were postponed for travel to Bangladesh, the priority 5 site.

**December 1979**

Twenty-three Title XII eligible institutions sent preproposals by the December 17 deadline. Their names, principal areas of interest, countries and the name of the potential principal investigators are outlined in Table 1. These are the universities eligible for participating in the Soil Management CRSP.

**January 1980**

1. Field visits to Peru and Colombia were made. After intensive consultation with many Peruvian officials, including the Minister of Agriculture and site visits, the first Memorandum of Intent was signed with the Instituto Nacional de Investigaciones Agrarias del Peru (INIA) on January 14. The Lima USAID Mission strongly supported these efforts. The terms of agreements are in accordance with the research components listed for the Humid Tropics priority. Activities will be headquartered at the Yurimaguas Station as proposed.

**Table 1. Summary of preproposals received.**

| University                 | Priority Areas <sup>1/</sup> | Countries <sup>2/</sup> | Special Subject Matter Interest | Potential Principal Investigator(s)   |
|----------------------------|------------------------------|-------------------------|---------------------------------|---------------------------------------|
| 1 Arizona                  | II                           | UV                      | S3                              | T. C. Tucker, I. L. Pepper            |
| 2 Clemson                  | I,II,III                     | PE,CO,BR,BO             | S4,S5,S7                        | B. R. Smith                           |
| 3 Colorado State           | II,III,IV                    | UV,TZ,BR,BO             | Economics                       | G. T. Rafsnider                       |
| 4 Cornell                  | I, III                       | IN,BR,CO                | S5,S6                           | A. R. Van Wambeke                     |
| 5 Florida                  | I,III                        | Unspecified             | S6                              | W. B. Blue                            |
| 6 Georgia                  | I                            | IN, other               | S6,S7                           | M. E. Sumner, K. H. Tan, L. M. Shuman |
| 7 Guam                     | I                            | Other                   | S3,S4,S7                        | J. L. Demeterio                       |
| 8 Hawaii                   | I                            | IN                      | S6                              | P. P. Rotar                           |
| 9 Illinois                 | I                            | PE                      | S4                              | W. M. Walker                          |
| 10 Kentucky                | III,IV                       | BO,TH,BR,EC,GU,IN       | S1,S6                           | G. W. Thomas                          |
| 11 Minnesota               | III,IV                       | BR,CO,BO,EC,GU,DH       | S6                              | W. E. Fenster                         |
| 12 North Carolina State    | I,III                        | PE,IN,CO,BR             | S6,S7                           | P. A. Sanchez, J. J. Nicholaides      |
| 13 Ohio State              | I,II,III,IV                  | Unspecified             | S1,S4,S6                        | T. G. Arscott                         |
| 14 Penn. State             | All                          | CO                      | S8 (data base)                  | R. L. Cunningham                      |
| 15 Prairie View A&M        | I,II                         | Unspecified             | S6,S8                           | E. Brams                              |
| 16 Puerto Rico             | I,III                        | CO,BO,BR,PE             | S4,S5,S7                        | R. Perez, F. H. Beinroth              |
| 17 Purdue                  | I,II,III,IV                  | UV,BR,PE,TH             | S1,S4,S6                        | S. A. Barber                          |
| 18 Southern                | I,II,III,V                   | ZB,NI,BR,TH,BG          | S6                              | P. S. C. Reddy                        |
| 19 Texas A & M             | II                           | UV,NI,TZ,ZB             | S6                              | F. G. Calhoun                         |
| 20 Vermont                 | IV                           | Other                   | S4,S7                           | F. P. Magdoff, W. M. Murphy           |
| 21 Washington State        | I,III                        | Unspecified             | S4                              | J. A. Kittrick, C. F. Konzak          |
| 22 West Virginia           | I,II                         | PE,TZ                   | S6                              | W. Bryan, R. Keefer                   |
| 23 Wisconsin – River Falls | I                            | IN                      | S6                              | A. P. Simons, T. W. Simpson           |

<sup>1/</sup>I = Humid Tropics, II = Seasonal Non-Acid Tropics, III = Seasonal Acid Tropics, IV = Steeplands, V = Wetlands.

<sup>2/</sup>Only those considered as potential primary sites are listed. BG = Bangladesh, BR = Brazil, BO = Bolivia, CO = Colombia, DH = Dominican Republic/Haiti, EC = Ecuador, GU = Guatemala, IN = Indonesia, NI = Niger, PE = Peru, SR = Sri Lanka, TH = Thailand, TZ = Tanzania, UV = Upper Volta, ZB = Zambia. Those listing other countries are identified as "other."

<sup>3/</sup>Listed only when university indicates a strong special interest. S1 = soil physics and erosion, S2 = chemistry, mineralogy, S3 = N fixation, S4 = fertility and plant nutrition, S5 = land resource evaluation, taxonomy, S6 = management systems, S7 = fertility evaluation, S8 = technology transfer. Those universities interested in involvement in all or most research components for each priority are listed as S6.

**2. A second Memorandum of Intent was signed on January 16 with the Centro Internacional de Agricultura Tropical (CIAT), again with full support of the Bogota USAID Mission and the Instituto Colombiano Agropecuario. The agreement sets the stage for field operations in the Seasonal Acid Tropics priority at the Carimagua Station plus land resource evaluation and soil fertility evaluation activities headquartered at Palmira. The text of these Memoranda of Intent are available upon request.**

### **PLANNED FIELD VISITS: FEBRUARY—APRIL**

**The following visits are scheduled to complete the field portion of the Program Development Phase:**

**February 18—March 5: Indonesia (humid tropics), Sri Lanka (steeplands).**

**March 23-30: Senegal, Upper Volta, Niger (seasonal non-acid tropics), in coordination with Claude Charreau of ICRISAT.**

**April 7-14: Tanzania (seasonal non-acid tropics).**

**April 23-30: Brazil (seasonal acid tropics).**

**May 5-16: Dominican Republic, Haiti, Peru (possibly other steepland sites).**

### **TIMETABLE FOR COMPLETION OF THE PLANNING GRANT**

Upon completion of the travel phase, the interests of the LDC institutions will be clearly established as will the operational technical and administrative framework of the CRSP at specific sites. Therefore, the research priorities, the eligible universities' interests and LDC institutional interests will be sorted out and matched as much as possible. The "General Soil Management Research Program Proposal" will be developed and submitted to AID and JRC for concurrence. This document will specify the different levels of efforts according to funding alternatives by AID and BIFAD. The principle of developing a quality program with sufficient resources will be strictly adhered to. The eventual magnitude of the Program, including in how many countries it will operate, will depend on available resources and not on a dilution of efforts.

A second Panel Meeting is tentatively scheduled for May 28-30 in Raleigh in order to develop this Research Program Proposal and the criteria for selecting the participating institutions. The results will be quickly communicated to the 23 eligible institutions.

As soon as AID and JRC concurrence is obtained, the eligible institutions will be requested to prepare formal proposals. Given the time limitations, we wish to alert the eligible universities that there will be less time available for preparing the formal proposals than the two months given for the preproposal; this activity will take place during the summer months. We ask for your understanding and cooperation, and suggest you plan ahead.

## **TENTATIVE TIMETABLE**

**May 28–30. Second Panel Meeting. Preparation of "General Soil Management Research Program Proposal."**

**June. Obtain AID and JRC concurrence.**

**July. Solicit formal proposals from eligible institutions.**

**August 15. Formal proposals due.**

**September 2–5. Third Panel Meeting to select participating institutions.**

**Mid–September. Selected institutions meet and determine Management Entity.**

**October. Preparation of Final Proposal to AID and JRC by Management Entity.**

**November. Concurrence by AID and JRC.**

**December. Termination of Planning Grant. Program operations begin.**

## **SUPPORT**

This work is supported by Grant AID/DSAN–G–0133 of the U. S. Agency for International Development.

**Pedro A. Sanchez and John J. Nicholaides, III**  
**Coordinators, Soil Management Planning Grant**  
**Soil Science Department**  
**North Carolina State University**  
**Raleigh, North Carolina 27650**



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# SOIL MANAGEMENT CRSP NEWSLETTER

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## PROGRESS IN SITE SELECTIONS

Since the publication of the last Newsletter, the Program Development Phase is continuing well and the process of site selection has begun in Asia and Africa. Field visits and discussions with LDC institutions have been made in Indonesia, Sri Lanka, Niger and Upper Volta. Copies of the trip reports are available upon request. These visits plus previously reported visits to Peru and Colombia provide the beginnings of an operational framework of the CRSP as follows.

Priority I — Humid Tropics. Memoranda of understanding have been signed with the Instituto Nacional de Investigaciones Agrarias (INIA) of Peru and with the Soils Research Institute, Central Research Institute of Agriculture and Bogor Agricultural University of Indonesia to conduct cooperative soil management work in the humid tropics of Peru (Amazon) and in the transmigration areas of West Sumatra, Indonesia. The Lima and Jakarta USAID Missions were most helpful and are very much in support of these activities.

Work locations are Yurimaguas (Peru), and Sitiung-Rimbo Bujang transmigration projects (Indonesia) with the project headquarters at Bukittinggi or Padang in that country. The desired level on-site CRSP personnel consists of: Three senior scientists in Peru (cropping systems, soil fertility, technology transfer) and three senior scientists in Indonesia (soil management, soil fertility evaluation and technology transfer) plus a full contingent of graduate students and short-term faculty assignments in both countries.

Priority II — Seasonal Non-Acid Tropics. An agreement has been signed with ICRISAT for cooperative research at ICRISAT's Sahelian Center outside of Niamey, Niger and at Ouagadougou (Kamboinsé and Saria stations) in Upper Volta. CRSP scientists will work in both countries, as logistics permit this possibility. The CRSP would join the ICRISAT research teams at both locations. The desired level of CRSP input is three senior scientists (soil fertility, soil physics-water management and ground cover agronomist) plus graduate students with emphasis on training personnel of the Institute Nationale de Recherches Agronomiques du Niger (INRAN) and the Service du Sol d'Haute Volta. Close cooperation

with these two national institutions is an important part of this project. Short-term assignments and basic work of the chemistry of soil hardening is envisioned. Both the Niamey and Ouagadougou USAID Missions are strongly supportive. Travel to an additional possible site in Tanzania will take place during this month.

Priority III – Seasonal Acid Tropics. An agreement has been signed with CIAT for cooperative research at Palmira headquarters and at the Carimagua station, the latter jointly with the Instituto Colombiano Agropecuario. The desired level of CRSP effort is two senior scientists at CIAT-Palmira to work at the Latin American level on land resource evaluation and soil fertility evaluation, and one soil fertility agronomist at Carimagua to integrate annual crop production with the more developed pasture production systems and proposed ICRAF agroforestry work. An additional site visit to the Cerrado Research Center of EMBRAPA near Brasilia, Brazil is programmed for mid-April to explore activities there.

Priority IV – Steeplands. Discussions in Sri Lanka failed to materialize an agreement for a steplands project there. A team will travel to the Dominican Republic and Peru in early May.

Travel for completing the Program Development Phase will be concluded by mid-May.

## SECOND EXTERNAL PANEL MEETING

The second meeting will take place in Raleigh on May 28-31. Its purpose is to arrive at recommendations to AID and JRC on the Program Development Phase, specifically: Overseas locations, collaborating LDC institutions, personnel, level of effort, initial work plan and proposed budget, all in order of priority. One representative for each of the 23 interested universities has been invited to attend a special one day session where NCSU staff will present to them and the Panel the results of the field visits and recommendations. The idea is to interact with the interested universities and keep them fully abreast of the steps being taken. The Panel recommendations will be presented for approval to the TPCA Committee of AID on June 2 and to JRC on June 10-11.

After this phase is over, the 23 universities will be requested to submit formal proposals for participation. The third Panel meeting will be held in September 1-5, to select the participating universities. A representative from the cooperating national institutions or international centers with whom the CRSP will be working will join the Panel and participate in the selection process.

We were fortunate to have a BIFAD Board Member, President Gerald Thomas of New Mexico State University, join the planning team in our discussions and field visits at Ouagadougou. He contributed to our negotiations and we appreciate the opportunity of having him see the planning process first hand.

This newsletter is also published in Spanish and French.

**Aquaculture CRSP**  
**Dr. Hugh Popenoe, Director**  
**International Programs**  
**Institute of Food and Agriculture Sciences**  
**University of Florida**

The subjects of fisheries and aquaculture have been the most difficult topics so far for JRC to define specific research. Since these areas are mentioned in the Title XII legislation, JRC decided to proceed with a planning grant to identify problem areas and institutions. An Indefinite Quantity Contract (IQC) was awarded to Resources Development Associates (RDA), to review the topic. After an elaborate exercise, RDA recommended three subject matter areas to JRC as high priorities. However, RDA did not propose an implementation plan for subsequent research. JRC appointed a Fisheries Work Group to decide subsequent steps to be taken and make recommendations back to JRC.

The Work Group decided to proceed with Aquaculture as a CRSP, convene a conference to analyze research topics in fisheries stock assessment, and use consultants to define program areas in postharvest handling.

Since RDA had already done much of the work normally called for in planning grants, the Work Group suggested to JRC that a modified process be used for Aquaculture (pond water quality) to develop a CRSP. They recommended that eligible universities be solicited for expressions of interest in the subject and indications of capability. From the submissions, the Work Group would use pre-established criteria to select the three most capable institutions, who would then convene themselves, select a Management Entity, and develop a CRSP plan for presentation to JRC.

After approval by JRC, the above process was implemented. Sixteen institutions submitted expressions of interest. The Work Group selected three to proceed, and these were approved by JRC. The three institutions selected a lead entity and initiated work with AID/Fisheries, to develop a CRSP work plan. They also solicited recommendations from AID missions on possible field work sites.

The final CRSP plan was approved by JRC as a recommendation to BIFAD and AID.

## **Bureau and Country Mission Involvement in Planning**

**Dr. John Balis**

**Former Chief**

**Rural Development Division**

**Latin America Bureau, AID**

Agricultural officers do believe in research and extension as an integral part of country programs, but may not always agree with all the rubric that surrounds the implementation of research programs. In Latin America, for example, as much as 25 % of the country mission program resources may be devoted to research and extension. It is true that much of it is applied research, but it is research nonetheless.

The country development strategy statement (CDSS) can be a resource for those projects and programs and it should be carefully read by prospective researchers intending to settle in a particular country. There may be times when the CDSS is not conducive to research implementation or it may require a better definition of terms. In any event while the regional bureaus can always help with communication the answer to a successful program will always be in the field.

It is essential to know the local mission objectives upon which any outside program will be imposed. The CDSS statement would be a good place to start. When the collaborative research support programs (CRSP) understand where the country's program is heading, they too will be able to plan for a future input.

Generally speaking, the CRSPs have a longer perspective and have been designed with a farther look into the future than most programs. Research is a long term investment which does not show quick returns but has a high pay-off in the long run. The sector analysis document may also be a relevant reference document since it too takes a longer view.

Mission personnel, directors, ambassadors and even governments change, and this is a real problem for missions. This creates problems with linkages and with how the research programs and their progress can be monitored. The CRSPs should be aware that from the vantage point of foreign governments the mission is the negotiating body with the LDC. Also the mission has several other programs which place great demands on people's time and the time of local LDC experts who also have to work on a number of their own projects. Mission personnel and CRSP personnel alike will find great differences between the work with their own institutions and those of the LDCs or small

**farmers.**

**CRSP personnel should know that while it is generally no problem to find someone in the LDCs to express enthusiasm for an incoming project it is a different matter for them to find local resources to support the program. In fact if the CRSP were attractive enough many young professionals would even move from their posts to collaborate with it and this could deplete the expertise in other critical areas.**

**The key to success is therefore a better planning process, one that synchronizes with country mission programs and regional bureau country strategies and ensures the best use of local talent both in the mission and the host government to capitalize in the best possible way on available resources. The CRSP should focus on devising solutions to existing problems that can be utilized in a practical context since many LDCs do not have well developed extension services. The future application of research findings cannot be ignored by the CRSPs or they will do excellent work, spend a lot of money but never see the successful application of their efforts.**

**CRSP Information**  
**AID-SE R/CM Input**  
**Morton Darvin**  
**Contract Officer, AID**

**Planning:**

1. The mechanism is a grant. (Initially work orders under Indefinite Quantity Contracts (IQCs) were used as were contracts -- and they worked - but the grant is the most appropriate mechanism).
2. The Purpose of the planning effort is to:
  - A. Determine the nature and magnitude of the needed effort in the area being considered, e.g., small ruminants, crop protection, as related to problem situations in LDCs.
  - B. Develop a summary of complete and on-going work in the area.
  - C. Identify new research needed.
  - D. Ascertain level of US university and LDC interest in the area.
  - E. Make recommendations for proceeding with the CRSP.
  - F. Identify potential participating institutions and solicit proposals from them for research efforts.
  - G. Develop a program that fits the CRSP mode.
  - H. Coordinate closely with JRC and AID.
  - I. Identify a Management Entity.
3. Changes and/or additions to planning effort should be definitized as soon as possible and incorporated into the grant by amendment.
4. Estimated completion dates and report submission dates should be closely monitored.

**Management Papers**

**The CRSP Management Structure (The Sorghum/Millet CRSP)  
from a University Administrator's Viewpoint**

**R. W. Kleis**

**JRC Workshop for Evaluating CRSP Experience -  
Experience in CRSP Management from the  
Business Office Viewpoint**

**Carl Mueller**

**Managing a Coordinated Research Support Program -  
Management Entity Program Director's Views**

**Earl R. Leng**

**Fiscal and Program Responsibilities  
of the Small Ruminant CRSP/Management Entity**

**David W. Robinson**

**The CRSP Management Structure - Fiscal and Program  
Responsibilities of Management Entity visa-vis  
AID and Participating US Universities**

**Loren Schultz**

**CRSP Information [AID-SER/CM Input] Management**

**Morton Darvin**

**The CRSP Management Structure  
(The Sorghum/Millet CRSP)  
From a University Administrator's Viewpoint\***

R. W. Kleis  
Dean of International Programs  
University of Nebraska

Each of the CRSP development processes has been somewhat different as has the resulting management and implementation structure and operating format. Reasons include subject matter peculiarities and the personalities (including institutional) involved. But the primary factor is the newness and thus the continuing evolution of the processes based upon increased background.

In the Sorghum/Millet CRSP the planning was done by an institution (University of Missouri-Columbia) which was well qualified and willing to do it even though it precluded their implementation participation. This CRSP development was also rather unique in that five U.S. universities have had several years of previous AID contract research in sorghum and millet and were already staffed and tooled up for this type of work.

The University of Missouri is to be commended for a very effective planning process even though at that stage the procedures, requirements and guidelines were ill defined and changing. The final plan developed by Missouri included:

- The identification of constraints needing attention.
- The solicitation, receipt, screening and selection of institutions and projects to be involved (12 U.S. institutions at that stage).
- The formulation of an integrated research program plan.
- The general structure providing for a management entity, a Board of Directors, and Administrative Council, the Technical Committee, the project scientists and a standing internal evaluation panel.

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\* Comments presented at the "CRSP Planning and Implementation Workshop", Washington, D.C. June 9, 1980.

- The identity of the institutions and individuals involved in these functions.

Just prior to their final report the University of Missouri chaired a meeting of technical people and administrative representatives of the 12 institutions at which:

- The Management Entity (University of Nebraska) was selected from several contenders by the 12 administrators in a secret ballot.
- The Board of Directors (five institutions to designate individuals) were selected by the 12 administrators.
- The six technical representatives to serve on the technical committee were selected by the scientist group.

The University of Nebraska as the Management Entity then immediately took over the initiatives and activities leading to the grant and activation of the CRSP nearly a year later. In connection with this transition it should be noted that there was considerable overlap and rather complete continuity because: (1) Missouri had involved all the participating institutions to a maximum degree in the planning and decision making process, (2) Nebraska continued the same format and Missouri people continued to be available and helpful.

The Board of Directors was immediately organized and developed its rotation. One member rotates off and is replaced each year except that the ME membership is permanent and is not to be an officer. The Board of Directors started and continues to meet regularly and function really as the governing unit.

The Technical Committee also organized promptly and started functioning as the technical and programmatic guiding unit.

The Administrative Council meets at least annually to, among other items, clear future budgets and elect Board of Directors' replacements. The external

evaluation panel composition has been formulated by the Technical Committee, ratified by the Board of Directors and recommended to the Joint Regional Committee.

Between July 1978 when the Management Entity was identified and July 1979 when the grant was executed, several important activities took place:

- The organization and activation and functioning of the program groups previously cited.
- The establishment of a pre-grant cost recovery authorization (the ME still gambled to the extent of \$20,000 plus salaries and indirect costs that the grant would come).
- The recruiting of a Program Director. The Technical Committee served as the search and screening committee and submitted three nominees to the Board of Directors. Both bodies participated in the interviews and the final selection along with the ME personnel.
- The Program Director designated immediately started serving as a consultant (until the grant and his appointment could be executed)
- The proposed budget was reduced in AID and the program had to be adjusted accordingly. This grim task was done heroically by the Technical Committee in recommendations to the Board of Directors which resulted in reducing the participating institutions from 12 to 8 and reduced funding to the 8.

The grant became effective in July 1979 and the implementation process began. Dr. Leng will discuss that.

The primary deficiency of the sorghum/millet planning and management process to date is the slowness in developing the LDC program components. This was not done as part of the original plan by Missouri and as a prerequisite for approval and funding. This was unique to this CRSP. Other CRSP developments

**are handling it early. This must evolve for sorghum/millet promptly.**

**An important but not deliberately planned condition is the mix of international and research program directors on the Board and in the Council. This is considered desirable in that the CRSP research must be internationally relevant but must also be integral with the institutional research structure.**

As a research and an international programs administrator I have had no regrets or second thoughts about assuming the ME role. An appropriately experienced and astute Program Director is essential and we have such in Dr. Earl Leng. As an ME, we believe that if there is any institutional recognition in that role (and there is), it will be of desirable form only if the program is effective and all participants are enthused about their relationship. That results only from equal and real involvement to the maximum degree possible. We are trying to act accordingly and remind our colleagues to advise us of any stress clues before they fester.

The AID contract office makes it easy for the ME to assume a heavy hand because in all their contacts they make it clear that they look only to the ME as the bearer of sole program responsibility. Indeed, the ME does have special responsibility and procedurally the program operation must comply with the operating mechanisms and rules of that institution (e.g., the Program Director must be acceptable to the appointing institution). But, this has not hindered the vital and continuing roles of the Technical Committee, the Administrative Council and the Board of Directors. We believe it is working well but our colleagues from other institutions can better judge that.

**JRC Workshop for Evaluating CRSP Experience**  
**Experience in CRSP Management from the**  
**Business Office Viewpoint**

Dr. Carl Mueller  
Grants & Contracts Officer  
University of Nebraska

The formulation process leading up to the award of the CRSP grant AID/DSAN/XII-G-0049 for the Integrated Sorghum/Pearl Millet project allowed the awardee institution sufficient time to assess the immediate problems and develop a plan and procedures for implementation of the grant. The terms and conditions of the grant document, being a new funding tool for AID, was relatively error free and quite liberal in the flexibility of management which it provided.

The local resources available to implement and manage this new program were very limited. The grant budget included a part-time management position, the Universities' resources were not able to provide any additional manpower. The decision reached was that by using the flexibility provided by the accounting system the project could be administered and managed without additional personnel.

A plan of subgranting, as provided for in the grant document, was devised that would pass on to the subgrantees all of the applicable regulations of the grant in a uniform single document. This was supplemented by amendments to the subgrantees for each domestic research project. Following this plan a basic agreement was negotiated with each participating institution which would stand unchanged until the termination of the basic grant document unless modifications were made in the basic grant. Individual one page amendments to the agreement provided the funding and time period of individual research plans. The subgrantees were given the same funding and financial reporting requirements that the CRSP grant required of the grantees.

The accounting system is being used in such a manner that it provides monthly reports of cash payments, costs reported and a budget status report for each subgrantee project by the subgrantees. The accounting system also records costs and provides budget status reports on a monthly basis for the Management Entity, the technical assistance category and LDC subagreements.

**The grant document was received on July 2, 1979, by 30 September, 1979 all but one participating institution was on line and beginning implementation. The ongoing relationships between the grantee and the subgrantees at this time appear satisfactory.**

**There are problems yet to be encountered and resolved in two basic areas. One area is the exposure of the grantee to cost disallowances and administrative system deficiencies of the subgrantees. The myriad of federal regulations; cost principles, fair labor standards and practices, equal employment opportunity, occupational health and safety, small business and small disadvantage business utilization, overseas defense base act workman's compensation, financial management principles and others provide many possibilities for large financial liabilities on the grantee.**

**The other area is the relationship between the grantee and LDC organizations. The basic philosophy of the CRSP is that link ups be established with LDC organizations which is a change from the historical AID procedure. This exposes the grantee to international law and the other problems of financial and accountability with a foreign entity. It also removes the protection as official government staff for grantee or subgrantee personnel.**

**It is our firm belief that this program can be successful and that it can be successfully managed with a minimum of adverse exposure by the grantee if reasonable and prudent management practices are observed.**

## MANAGING A COORDINATED RESEARCH SUPPORT PROGRAM (CRSP)

### -Management Entity Program Director's Views-

Earl R. Leng  
Program Director, INTSORMIL

#### I. INTRODUCTION.

Being a largely new and untried organizational framework, the CRSP structure and format has strong elements of experimental design. One position which initially seemed easy to define in this framework was that of "Program Director." Obviously, this person was to be the focal point for organization and day-to-day coordination and execution of the program.

Considering all the interfaces and interactions actually involved in this position, the role of "program Director" appears less easy to define in practice than it might have been in theory. Very likely, each CRSP will choose a different type of director, and individual styles and situations being different, each director will conceive and execute his functions somewhat differently.

Therefore, in this presentation, I will deal chiefly with the Sorghum/Millet CRSP and my own perceptions of the director's role and functions in managing it. In some cases, I believe that general principles can be enunciated which will apply generally to most or all of the other CRSP's.

#### II. PRINCIPLES OF CRSP GOVERNANCE AND INTERACTIONS.

The major governance principles adopted by the Sorghum/Millet CRSP were:

- A. The Board of Directors will set major policy and be involved directly in decisions relating to policy implementation.

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\* Prepared for presentation at JRC/AID Workshop on Collaborative Research Support Programs (CRSP's), Rosslyn, VA., June 9-10, 1980.

B. The Technical Committee will have an active and continuing role in formulating policy, by making recommendations to the Board and also by direct communication with the Program Director.

C. Each participating institution and its component projects in the CRSP will administer its internal affairs according to institutional policy, and any administrative actions relating to the CRSP will follow normal institutional channels. One institutional representative will be the formal channel for administrative communications to the program Management Entity.

D. The Program Director will serve as a coordinator, communicator, "chief of staff" and action agent for the Management Entity. He may propose policy recommendations or actions to the Board, Technical Committee, or Management Entity, but will not take major actions on his own initiative unless he has cleared them with the Board or its representatives.

E. Internally in the Management Entity, the Program Director will concern himself with planning and execution of CRSP activities for the program as a whole, but not with details of the Nebraska program. His relation to Nebraska participants is exactly the same as to those from other institutions.

F. The Grants and Contracts Office of UN-L will provide the actual business office services (accounting, disbursements, etc.). The role of the Program Director in these functions will be limited to that of approvals and general monitoring.

G. The headquarters structure of INTSORMIL will be kept as small and economical as is consistent with accomplishing its duties.

H. The Program Director is the focus for interactions with AID/W, field Missions, BIFAD and its committees. Any communication by INTSORMIL participants with these agencies or bodies should be made only with full knowledge of circumstances by the Director.

### III. SELECTION OF THE PROGRAM DIRECTOR.

The Board of Directors was charged with selection of the Program Director. In the INTSORMIL case, this procedure was carried to conclusion after JRC approval of the CRSP plan, but several months before the CRSP authorization actually was issued by A.I.D. A screening committee received nominations, and reduced the number of candidates to a "short list" of three. These candidates were then interviewed at Lincoln by the interim Technical Committee, the selected Board of Directors, and key University of Nebraska administrators. The final selection was made some six months before the grant was issued; therefore, as Director-

designate, I had ample opportunity to participate in final development of the grant agreement and particularly in the major budget revision which became necessary between the "Missouri Plan" and the final grant document.

One selection principle which emerged in practice, and which I had previously advocated while still in AID/W, was that the Program Director not be an active staff member of one of the participating institutions; particularly, not an active research worker in such an institution. I hope not to give offense by this observation to any CRSP group which may choose a different policy, but I am firmly convinced that the potential problems relating to evenhandedness are so great that all CRSP's would be well advised to consider this policy carefully. In the Sorghum/Millet CRSP case, all three final candidates were in fact not identified with active CRSP projects, and two of the three were not from participating institutions.

Above all, the Program Director needs an understanding of A.I.D. policies and operating methods, both in AID/W and in the field. For this reason, prior working experience with A.I.D. or an A.I.D.-funded overseas contracts appears almost an essential qualification for a prospective Program Director.

#### IV. PRINCIPAL ACTIVITIES.

##### A. Establishing the Headquarters office

This essential operation was made easy in our case by excellent cooperation from the University of Nebraska. A small but adequate set of offices was assigned in the Plant Pathology departmental suite (not a major participating department). We obtained needed office equipment and supplies through University channels and with minimal delay. Having decided that a combined administrative aide/executive secretary was all the direct support staff needed, we set up such a position through normal UN-L civil service procedures, advertised it, interviewed a number of candidates, and hired a very highly qualified lady who has fulfilled the duties even more effectively than had been hoped. In summary, we kept the headquarters as lean and spare as possible, and have had no problems at all with its operation.

##### B. Internal Administrative Arrangements

For management purposes, I answer administratively to Dean Kleis and

he to Vice-Chancellor Massengale, thus providing a simple flow to high university administrative levels. Business transactions are centered for approval in our office, are transmitted through Dean Kleis to Carl Mueller (Grants and Contracts), who in turn reports to the Vice-Chancellor for Administration. The simplicity and effectiveness of this system was best evidenced by the speed with which the sub-grants were put into place.

#### C. Sub-Grants to Participating Institutions

After establishing the headquarters office, our first major task was to put the sub-grants into effect. We followed strictly the planned allocation of projects and financial resources, as authorized in the grant document. Using as a basis the Memoranda of Understanding, signed by all eight participating institutions in May and June 1979, UN-L issued sub-grant agreements and "amendments" to each. One sub-grant agreement per institution and one amendment per approved project (we have 41 of the latter) was signed by UN-L officials and signed for acceptance by senior officials of participating institutions. The amendments contained a money authorization; this was the full 2-year budget for each project except that at Florida A&M. A one-year authorization, later amended to 2-years was issued to Florida A&M.

Thus, all the domestic structure and the two-year funding authorizations were finalized within a few weeks after I took office. No difficulties were encountered and the program as launched has not been altered thus far.

#### D. Relations with A.I.D.

From the beginning, we have attempted to involve the AID/W Program Officer and his Division Chief in all phases of the CRSP effort. Most particularly, they are our communications link with the Regional Bureaus and the overseas Missions. It should be noted that we have found it useful to also make direct contact with key Regional Bureau staff and overseas Mission personnel, but always in coordination with Drs. Jackson and Yohe if they are actually in station. This personal contact has extended to participation by RB personnel in our Investigators' Workshop, meeting of the Technical Committee with each RB's agricultural staff, and a planned Technical Committee meeting with RB representatives during this Workshop.

#### E. Contact with Participating Personnel

We have attempted to establish and maintain close personal touch with each of the eight participating institutions and the approximately 65 investigators involved in the 41 projects of the program. I have personally visited each participating institutions' main campus (except College Station, Texas) at least once for detailed program discussions with administrators and research staff. All investigators met at a 2-day workshop in Lincoln in mid-January 1980. A workshop oriented toward socio-economic studies was held at Purdue late in May 1980, attended by representatives of 6 of our 8 participating institutions. All investigators will assemble at Lubbock, Texas, for five days in September 1980, to discuss the general program and to participate in the External Evaluation review.

Telephone contacts with individual investigators, particularly the senior staff at each institution, are a more or less daily event. On the average, each institution participates in at least one such conversation once or more per week. This type of contact is exceptionally valuable in promoting understanding of individual problems and activities on a prompt basis.

## V. CONCLUSIONS.

### A. Duties of the Director

The Program Director of CRSP will, in general, be more effective if he serves as a coordinating focus and "chief of staff" than if he attempts to "run the program" with strong central authority.

### B. Selection of a Director

Though the Management Entity carries formal responsibility for administering the program, it is likely to be best served by choosing a qualified Director from outside its own staff, and if possible from outside the projects directly involved in the program. A knowledge of A.I.D. procedures, both in Washington and overseas, is a virtually essential additional qualification.

### C. Headquarters Organization

The headquarters staff should be as small as is consistent with meeting major requirements. Business transactions should be handled by the Management Entity institution through its normal procedures. Delays in processing administrative or fiscal documents must be kept at minimal levels if the program is to function.

### D. Relations with A.I.D.

The closest possible working relations must be established with A.I.D. and maintained by constant communication. This has been quite easy in our case because of prior contacts and experience, but even had this not been so, the principle would remain the same.

### E. Communication within the CRSP Group

Every effort must be made to establish communication between the Program Director and all participants in program projects. This should include personal visits to the participating institutions, meetings and workshops - particularly of interdisciplinary focus, and frequent telephone contacts.

Above all, the Director needs to remember that academic research personnel have a strong tendency to be competitive and to focus on their own discipline and speciality; the strengths of these tendencies should be exploited but their drawbacks must be overcome if a coordinated program is to be successful.

**Fiscal and Program Responsibilities of the Small Ruminant  
CRSP Management Entity**

**David W. Robinson  
University of California, Davis**

## **Definitions of the Management Entity functions**

**Grant No. AID/DSAN/XII-G-0049 defines the role of the Management Entity as follows:**

On recommendation by the Principal Investigators of the component projects and by the institutional representatives of the Title XII eligible participating institutions, the University of California, Davis (UCD) was selected and designated by BIFAD and AID to be the Management Entity for the Small Ruminants CRSP. The Management Entity shall be the legal and fiscal institution which receives and administers AID grant funds and which sub-allocates them to the Participating Institutions in the United States and in foreign countries.

In the first Annual Report (1980), the role of the Management Entity as defined from experience on the job was elaborated as follows:

The ME staff consists of the Program Director, the Business Manager, (50 % time), a Staff Research Associate, an Administrative Assistant (50 % time) and a Senior Clerk, whose names are provided in Table 1. The staff of the ME are responsible within the University of California at Davis, to the Dean of the Graduate Division (Dr. A. G. Marr).

The role of the ME is carefully defined in the Grant document and the BIR Bylaws (1,5). Practical realities indicate that the primary responsibilities of the ME are to:

1. Receive on behalf of the SR-CRSP, the funds committed by AID and assume accountability for their use.
2. Provide funds to the participating institutions for SR-CRSP activities, and ensure compliance with the Terms of the Grant.
3. Provide a focal point for the interaction among the TC, BIR, and EEP within the SR-CRSP and AID, JRC and BIFAD outside the SR-CRSP.
4. Execute the decision of the TC, BIR and EEP.

5. **Maintain liason with Regional Sub-Programs through the Directors of the overseas collaborating institutions and Site Co-ordinators and service them through provision of MOU's.**
6. **Generate the documents of the SR-CRSP including Minutes of the TC, Minutes of the Board, Report of the EEP, the Integrated Program Plan, Annual Reports, the Budget and the Fiscal Reports and provide these to AID and external auditors.**

In the past year the ME has worked with every meeting of the TC, Board, EEP and visited all five overseas for the purpose of developing the MOU's. Representatives of ME have visited 6 of the 13 participating institutions in the US. The ME has also represented the SR-CRSP at meetings of the JRC in Washington on five occasions, presented a series of written program reports to the JRC (5), and has been instrumental in the development of CRSP Liason Meetings sponsored by BIFAD (6).

The Management Entity has worked in concert with the five important components of the SR-CRSP which are:

- The Technical Committee (TC)
- The Board of Institutional Representatives (BIR)
- The Agency for International Development (AID)
- The External Evaluation Panel (EEP)

Considerable progress has been made in a very short time working with this complex organisational structure. However, it has not been entirely easy to work with from a domestic viewpoint for two primary reasons.

1. The TC and BIR are frequently in conflict on important issues.
2. The AID has not relinquished managerial functions to the Management Entity.

These are critical issue that will need to be addressed in the future.

From a programatic viewpoint, some of the issues that need to be debated are:

1. Pragmatic issue in management.
  - Travel - approvals, US carriers and the proper modes.
  - Purchasing - equipment, vehicles and restricted goods.
  - Clearances - tax and duty free concessions.
  - Visas and work permits - who needs them and for how long.
  
2. Relationship with AID.
  - Staff turnover with AID.
  - Program review in AID.
  - The role of the Regional Bureaus in program development.
  - The role of overseas missions in program development.
  - Sensitivity to US AID Mission protocols in country.
  
3. Relationships outside the SR-CRSP.
  - With JRC, JCAD, BIFAD and Congress
  - With International Agencies, FAO, UNDP, World Bank, etc.
  - With other International Research Institutions.
  - With the Collaborating Institutions overseas.

From a fiscal viewpoint, some issues that need to be addressed are:

1. Relations with AID Grants and Contracts Office.
  - Amendments as the need arises.
  - Flexibility in fiscal management.
  - Augmentation of funds.
  - The inflation factor.
  - Durability of the funding horizon - a vista or mirage?
  
2. Relations with Participating Institutions.
  - The draw down system of program funding.
  - The responsibility for accountability and the audit.
  - Responsibility for overseas expenditures.
  - Cost sharing at home.
  - Carry over funds and the 'pipeline philosophy'.

**3. Resources for overseas work.**

- The ratio of US : Overseas expenditures.
- Matching funds from overseas governments.
- How to spend the funds.
- Training - how much of what kind?
- The salary supplementation issue.

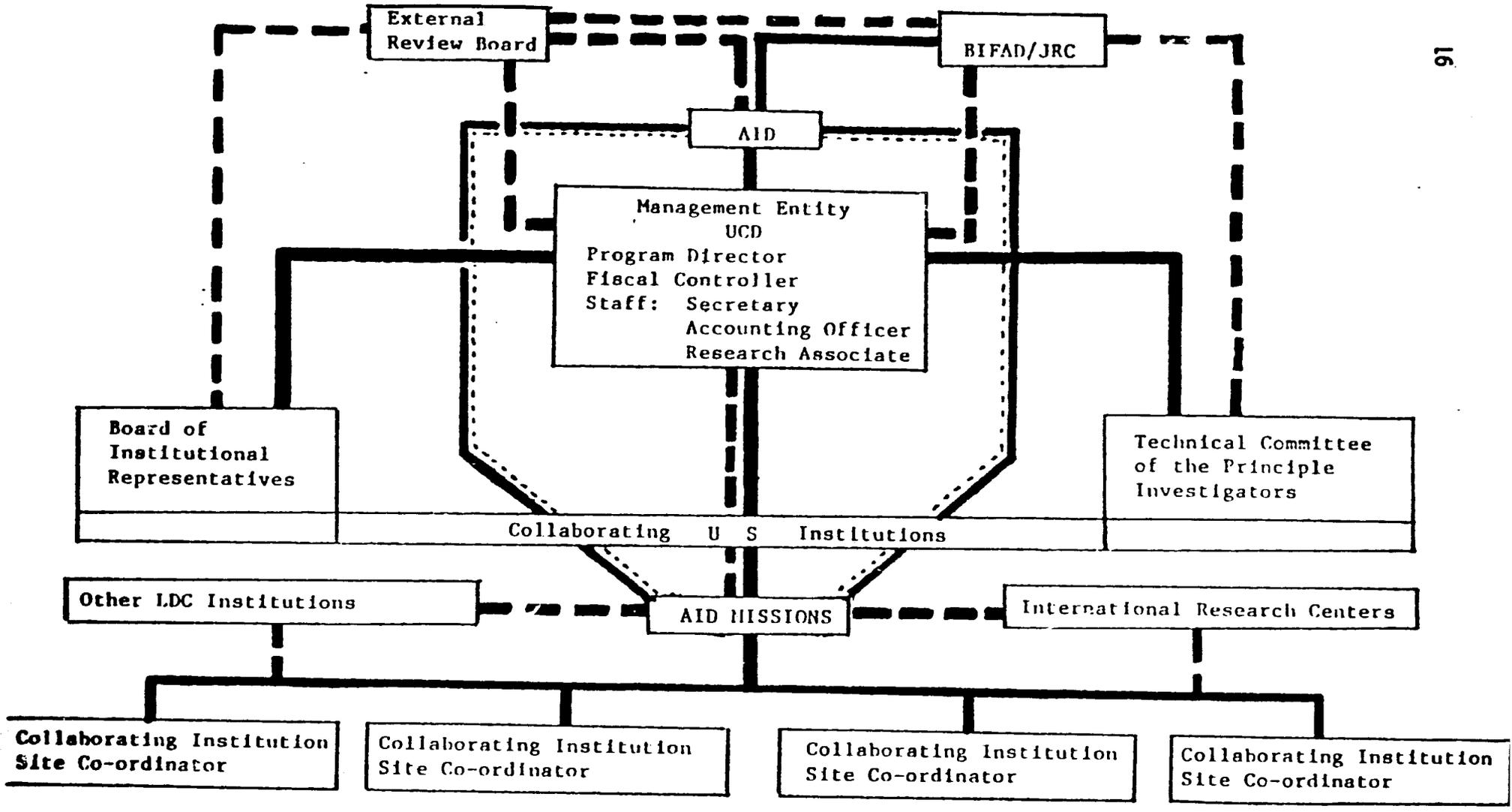
**4. Options for change in the SR-CRSP structure.**

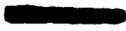
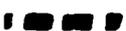
- How do we drop institutions for poor performance? Whose decision?
- How do we bring new institutions into the program?
- How do we bring in new overseas institutions into the program?
- How do we change our internal structure?

**5. Internal Institutional Problems.**

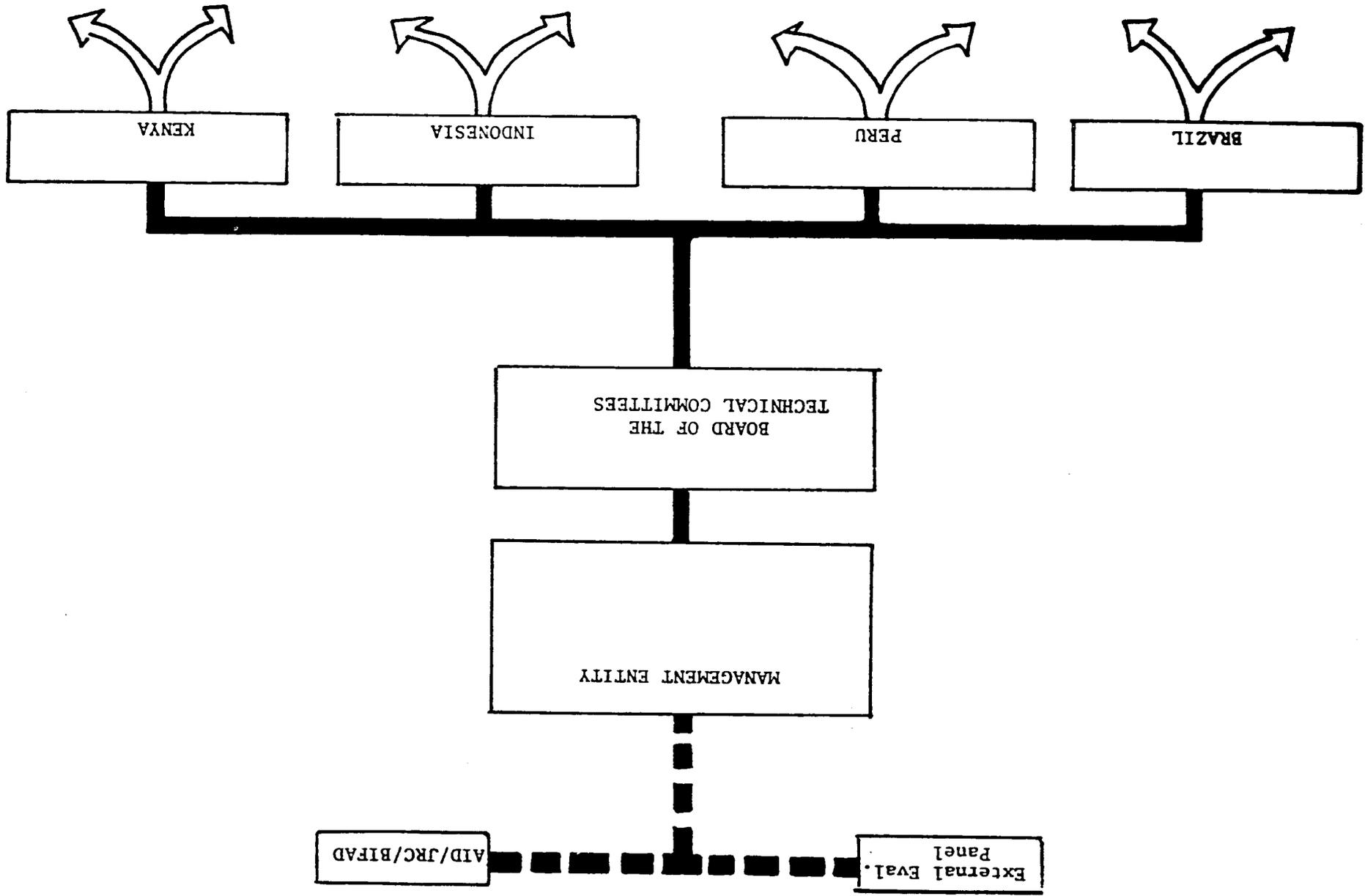
- Are the campus and AID fiscal and procurement systems compatible.
- Can participating institutions legally open overseas accounts.
- Can institutions use State provided funds for matching contributions.

Each of these issues needs thorough debate, perhaps on a continuing basis between and within the CRSPs. Clearly there are many issues to be resolved but the experience of the Management Entity of the SR-CRSP has been that AID in the DSB, the Contract Office, the Regional Bureaus and in some Overseas Missions has been outstandingly helpful in facilitating CRSP implementation. Our relationships at all levels are very good and given the resolutions of mutually frustrating problems, are likely to be excellent during the implementation of the SR-CRSP.



-  AID Washington & Overseas Communication
-  Executive Lines of Communication
-  Advisory Lines of Communication

ORGANIZATIONAL CHART  
 COLLABORATIVE RESEARCH SUPPORT PROGRAM  
 ON SMALL RUMINANTS



**The CRSP Management Structure - Fiscal and Program Responsibilities  
of Management Entity visa-vis AID and Participating US Universities.**

**Dr. Loren L. Schulze  
Chief, Agriculture  
USAID/PERU**

**I. Bureau and Country - Mission Experience**

The following are the observation of one agricultural officer and are based on experience with a limited number of CRSPs. The documents do, however, reflect the real CRSP implementation situation of Peru and I anticipate that they will be of value to universities as they proceed with CRSP activities with other USAID missions. My presentation will address the following:

- (a) Relationship of the CRSP to the mission program
- (b) Responsibilities of the universities in CRSP management
- (c) Responsibilities of the mission in CRSP management

**II. Relationship of the CRSP to the Mission Program**

In the preparation of the mission's latest Country Development Strategy Statement (CDSS), the Peru Mission considered as part of our development strategy the activities of the following CRSPs: Small Ruminants, Tropical Soils Management, and Integrated Crop Protection. The Mission is faced with the reality of trying to "do more with less" and we view the potential contributions of these three CRSPs as complementary to our development program.

In 1978, when the airgram requesting an expression of interest in CRSP's was sent to our Mission we were in the process of initiating a Title XII Baseline Study of Agricultural Research, Extension, and Education. The Baseline Study proved to be the basis for a \$9 million loan and \$2 million grant to strengthen the Peruvian institutions involved in preparation and transfer of production technology in corn, potatoes, rice, small grains, and grain legumes. The CRSPs are potentially able to assist in providing additional information that will be fed into the research, extension, and education system, strengthened through our loan-grant project. The Small Ruminant CRSP will include research activities in the sheep, llama, and alpaca. The Tropical Soils Management CRSP will provide guidelines in the management of the agricultural soils of the low jungle regions

(the new agricultural frontier of Peru). The Integrated Crop Protection CRSP will produce research information which will be of value in the production of the five commodities included in the Project.

The Peru Mission has limited its involvement in the CRSP process to the three CRSPs mentioned above for three reasons.

1. The three CRSP's will contribute to our present and future agricultural program.
2. Mission staff time does not allow for additional administrative responsibilities.
3. Most importantly, it is our opinion that the present research system of Peru does not have the absorptive capacity to become involved in additional research activities.

Peru is presently involved in agricultural research, extension, or education programs with 33 development entities. Additional activities would require an increased demand on Peruvian professional personnel and operating funds during a difficult period of public sector austerity.

### III. Responsibilities of the Universities in CRSP Management

In my opinion, it is the responsibility of the universities to assume the maximum amount of the implementation as possible with a minimum of dependence on the mission. The universities should communicate matters involving their research programs. However, in order to keep the mission informed of the progress of the CRSP, the universities should send copies of all correspondence to the missions. In the event that a particular CRSP may not have permanent personnel in the country, then if the mission Title XII officer is up to date on the CRSP activities, this officer will be able to respond to day to day implementation problems and save both time and money.

There are a few activities that the universities must conduct directly through the official channels for example, our Ambassador requires of USAID/PERU that we inform him of the names, locations and activities of all official US personnel in the country at all times. For that purpose, mission clearances are required for all individuals entering the country for short or long term visits. It is not the intent of the mission to limit or control the presence of researchers in Peru, we simply must know of their presence. If the mission has been adequately kept up to date, the clearances will be quite routine and rapid.

**The clearance process involves a request from the management entity or lead university to the CRSP project manager in Development Services Bureau (DSB). The CRSP project manager in DSB then cables the mission. Mission clearance must be received by the CRSP project manager in DSB for each individual before that person arrives in-country. Only the mission can issue mission clearance.**

In Peru, country clearance must be granted for official US personnel who will remain in country for longer than ninety days. This is a Peruvian requirement expressed in our Bi-lateral Assistance Agreement and in a rather complicated process. The Mission formally presents a request for country clearance along with the purpose of the visit and resume of the individual to the Agricultural Sector Planning Office. It is then passed to the National Planning Office and eventually to the Ministry of Foreign Relations where country clearance is or is not granted. US technicians planning to stay in Peru for longer than ninety days, then receive a visa status which allows them to legally work in Peru. The visa is based on the country clearance from the Ministry of Foreign Relations and only the Ministry of Foreign Relations can issue country clearance.

The clearance processes are unavoidable necessities, they are not designed to delay or impair implementation of a CRSP, but do require time. Careful planning can give both the mission and the Peruvian officials ample lead time to respond to the clearance request. Do be aware, however, that clearances are considered by both the Mission and the Peruvian officials and are not automatic.

#### **IV. Responsibilities of the Mission in CRSP Management**

A few responsibilities fall directly on the mission because during CRSP planning and early implementation processes, certain routine activities must be conducted before any long-term US technicians from the CRSP are in place in the country. In an attempt to assist in the initiation of the Small Ruminant CRSP in Peru, the Mission covered with Mission operating funds, some local expenses of Peruvian official representatives so they could travel with the visiting investigators. Later, CRSPs benefited from the experiences of the Small Ruminant CRSP and programmed the expenses into their planning budgets. In all cases, our Mission has worked closely with the CRSP counterpart institutions to plan meetings, make in-country travel arrangements, and prepare 2(two) schedules of activities for the initial visits.

The Mission has assigned mission vehicles to transport the CRSP and

**Peruvian personnel on visits to field locations when Peruvian vehicles have not been available. I have traveled with the groups as much as possible and have found it to be a tremendous learning experience. However, our resources and my time are finite and the universities should rely on them only when absolutely necessary. In other words, where at all possible, utilize resources from the CRSP before turning to the mission. The mission should not be requested to meet the CRSP personnel at the airport nor make hotel reservations, etc. These activities can be assumed by the individual universities. Furthermore, occasions can arise that may require a mission service (i.e. vehicles) and therefore alternate plans may have to be arranged.**

I am sure that the university community can appreciate the fact that as the Agricultural Officer, I have many responsibilities, in addition to assisting in the planning and implementation of CRSP activities. When a situation involving one of my Mission projects arises, my first obligation is to respond to it. If that action results in a decrease in my efforts toward a particular CRSP, so be it.

In closing, since my arrival in Peru in April 1978, the USAID/PERU Mission has demonstrated the willingness to involve the CRSP concept as part of our Mission program. I hope the university community can benefit from the experiences our Mission has had with the CRSPs. Missions are unique, however, as are the CRSPs. Know the missions with whom you are involved.

## **CRSP INFORMATION**

**AID-SER/CM Input**

**Morton Darvin**

**Contract Officer, AID**

### **Management**

Close collaboration is needed among the management entity, AID, and the participating institutions. For the most part, the need is seen first by the management entity and must be initiated by it.

1. Don't underestimate the magnitude and varieties of activities that the management entity will need to undertake.
2. The duties of the management entity as they are perceived by the management entity should be defined in the early planning efforts. These duties should be discussed with AID and participating institutions, reduced to written form and included in the CRSP proposal for incorporation into the CRSP.
3. Make certain that the responsibilities and duties of both the participating institutions and management entity are defined in the agreements between the parties.
4. Be certain that the reporting requirements that the management entity must satisfy for AID and the BIFAD are properly backed up by reporting requirements from the participating institutions to the management entity.
5. Participating institutions should deal with the management entity, not directly with AID.

**Implementating Papers**

**Developing Linkages and Program Interface at Home  
and Overseas in the Small Ruminant CRSP**

**David W. Robinson**

**Considerations and Problems in Implementation by  
a University of Large International Programs**

**Allen G. Marr**

**CRSP Implementation of LDC Linkages - The Sorghum/Millet  
(INTSORMIL) Experience**

**Earl R. Leng**

**CRSP Information [AID-SER/CM Input] Implementation**

**Morton Darvin**

**Responsibilities of DSB Project Manager**

**John Yohe**

**Developing Linkages and Program Interface  
at Home and Overseas in the Small Ruminant CRSP.**

**David W. Robinson  
University of California, Davis.**

## **Developing Linkages and Program Interface at Home and Overseas in the Small Ruminant CRSP.**

The Small Ruminant CRSP (SR-CRSP) was the first of the CRSPs to be launched by the signing in September 1978 of the Grant No. AID/DSAN/XII-G-0049 between AID and the University of California which was to be the Management Entity (ME).

At that time there were minimal the linkages between the SR-CRSP and the four important constituencies of:

1. LDC Institutions
2. International Centers
3. Regional Bureaus of AID in Washington
4. AID Country Missions.

This was not necessarily bad, and it may even have been intentional to allow the University community to establish its own linkages in its own way in this new venture. But, however good the intentions may have been, the absence of these linkages before the launching of the SR-CRSP created an administrative nightmare. The essence of the problem involved the participating institutions which felt they were ready to be funded while AID did not. In the end a compromise solution was worked out whereby the participating institutions were provided with a small proportion of their potential first year funding in order to establish the overseas components of their project but not yet to indulge in research. Following establishment of each component project overseas, the balance of program year one funding was released and research began, albeit eight months later than had been anticipated.

AID were right in objecting to the initiation of the SR-CRSP without the overseas component in place. In spite of the temporary frustration this caused, it has had two far reaching benefits: first, it brought each of the Principal Investigators into a vital working relationship with each of the others, so valuable that the Technical Committee of the SR-CRSP (consisting of all 17 Principal Investigators) has worked smoothly, efficiently and with outstanding success. Second, we have a better program now, having been made to pause and work out in detail our commitments, than had we run headlong into massive expenditures in the USA in the first year. Had we not paused, the overseas program would have been bent to match the US program needs, while now it can be safely stated that the overseas priorities are those which have moulded the SR-CRSP without a doubt. This will be an enduring strength.

## Placement of the Overseas Worksites

At the time the Grant was signed, very little work had been undertaken to place the overseas component of the SR-CRSP. While this was to prove a difficult, time consuming task, it did allow the participating institutions to become deeply involved in the worksite selection process. The advantages of this personal involvement by Principal Investigators in the selection of the overseas worksites will be seen in the future to have greatly outweighed the disadvantages of a slower start to the SR-CRSP.

The placement of the overseas worksites was the most difficult preoccupation of everyone in the SR-CRSP during Program Year One. That four out of potential five sites have been finally set in place with signed Memoranda of Understanding, US scientists in each location and foreign students from those sites already in the US, is another example of the team effort that operates in the SR-CRSP. The sequence of events leading to the placement of the overseas worksites has been:

- A lengthy comprehensive cable describing the SR-CRSP was dispatched to every USAID Mission overseas from the Development Support Bureau (DSB) of AID in September 1978. (21)
- Responses to that cable were summarised and evaluated by USAID in DSB and the Executive Committee of the TC, ME and several Board members in October 1978.
- Based upon the following responses from USAID Missions: not interested at all, not interested at present, interested, the TC convened to plan the future selection for the overseas sites at the Denver, 1978, November, TC Meeting.
- This strategy entailed sending teams consisting of two PIs and one AID (Washington) person to each of the regions represented by AID's Regional Bureaus:
  - Latin America
  - Africa
  - Near East
  - Asia
- Each of those teams prepared reports (22,23,24,25) for the TC and BIR to consider at the Spring, 1979 meetings, and based upon these deliberations, Brazil, Peru, Kenya, Morocco and Indonesia were recommended as the Overseas Worksites.

- **The selection took into account several factors:**
  - the need for work related to each Regional Bureau's interest.
  - the need to cover the arid, semi-arid, highland, humid tropics and Mediterranean ecosystems where Small Ruminants are important.
  - the desire to cover LDC's in Spanish, Portuguese, Francophone and Asiatic language zones in order to facilitate future extension to other relevant countries by SR-CRSP trained personnel.
  
- Following these decisions the Program Director began an extensive travel schedule to discuss Memoranda of Understanding (MOU's) with these overseas countries. Essentially the task of the ME was to:
  - determine which agency in each country was appropriate to enter into an agreement with the SR-CRSP.
  - decide what the terms of such an agreement should be on behalf of all institutions.
  - identify potential scientific collaborators for PI's and set the stage for individual visits by PI's to confer with the scientists in the selected agencies.
  - distribute full reports on the Program Director's site visits to all concerned (26,27,28,29,30).
  
- **By April 1980:**
  - every scientist in the SR-CRSP had visited in-country with their overseas counterparts.
  - every MOU had been signed (31,32,33,34) with the exception of Morocco with which negotiations are still proceeding.

--top ranking scientific administrators had come to the US to meet with the ME, BIR and TC to discuss SR-CRSP collaboration, and attended the TC and BIR meetings at Texas A&M University (November 1979).

In summary, the placement of the overseas sites has been an extremely successful venture given the time available and the large volume of work to be done. Much of the credit should be given to the diligent and professional work of the USAID's Mission Staff in countries where agreements are in place. In some countries their effort were so outstanding as to prompt an unsolicited letter from the SR-CRSP Program Director to the Administrator of AID drawing his attention to the work of the field staff.

The Memoranda of Understanding (MOU) An early decision of the ME, fully supported by the TC, BIR, AID and the JRC, was to negotiate entry into the overseas worksite locations by way of Institute to Institute Memoranda of Understanding (MOU) rather than by Government to Government agreements which would likely become ensnared in multi-ministry bureaucracy. In short, the University of California, as the recipient of Grant No. AID/DSAN/XII-G-0049, acting as ME, would enter into agreements with the specific collaborating institute in the overseas site. A template MOU was developed in the ME, cleared through the University of California legal offices and provided to the following collaborating institutions, determined following the administrative site visits of the Program Director:

Indonesia - AARD (The Agency for Agricultural Research and Development).

Brasil - EMBRAPA (Empresa Brasileira de Pesquisa Agropecuaria).

Peru - INIA (Instituto Nacional Investigaciones Agraria).

Kenya - MINISTRY OF AGRICULTURE (In association with the  
Ministry/FAO/UNDP Sheep and Goat Project).

The template MOU was the subject of intense debate throughout program year one between the ME and the above collaborating institutions overseas. Some MOU's went through six revisions before acceptable refinements were made incorporating the individual needs of each country. It was perhaps unfortunate that, while the US side was able to keep the MOU negotiation at the Insititue level, each of the overseas collaborating institutions were obliged to clear the MOU through Ministries of Planning, Finance, Agriculture, etc., which led to inevitable delays in SR-CRSP implementation.

However, on the positive side, this experience created the need to establish close working relationships between US and overseas colleagues that will have lasting value.

The MOUs have been distributed to all concerned as part of the Integrated Program Plan and are cited in the Bibliography of the present report (31,32,33,34).

The Overseas Site Co-ordinators Throughout the development of the MOUs by the ME and the technical program by the PI's a search has been in progress for Site Co-ordinators. The position of Site Co-ordinators was agreed upon in the earliest phases of the SR-CRSP by the TC, BIR, and ME. It was agreed that each sub contract would provide funds to be retained by the ME for the purpose of appointing one scientifically trained, but administratively competent person to co-ordinate the SR-CRSP work on site, overseas in each of the regional sub-programs. This person would be selected by the joint action of the TC and the ME. With such a mutually agreed upon strategy in mind, the ME followed the routine outlined below:

- The draft of a job description was developed by the ME for discussion by the TC, where the draft was refined, improved and redrafted to everyone's mutual satisfaction.
- The position announcement was advertised internationally in Nature, nationally in the Journal of Animal Science and Rangelands, inter-institutionally by sending a copy to Animal Science Department Chairmen of US land grant universities with an interest in international agriculture and it was circulated among SR-CRSP overseas sites by forwarding the announcement to our overseas collaborators.
- The job announcement was discussed at UC Davis with the Academic Personnel Office to ensure compliance with our equal opportunity, affirmative action standards.
- No closing date was indicated in the announcement and by April, 1980 some 60 worldwide applications had been received.
- Program Director prepared a detailed chart of the names, qualifications,

**experience and prospects of every candidate and short listed four for each of the five CRSP sites, in a report to the PIs and BIR (35).**

- **The CV's of each short listed candidate were copied and sent to every PI according to which Regional Sub Program group they belonged to.**
- **Simultaneously, each short listed site co-ordinator was informed of their status and the first indication of salary range, benefits and perquisites was made.**
- **At the April, 1980 TC meeting in Estes Park, each Regional Sub Program Committee made its first and second choice known to the ME.**
- **The ME, on the basis of TC recommendations has since made tentative offers of appointment, subject to the approval of our overseas colleagues and the UC- Academic Staff Organization Committee.**

Scientist Exchanges. One feature of the Program Year One activities has been an encouraging start to the exchange of scientists between the overseas regional worksites and the US, supported by the SR-CRSP resources. The main flow of this exchange has inevitably been from the US to the overseas locations because of the rejection by AID of the Phase II Integrated Program Plan (see later). AID insisted that not until every PI had made direct contact with their overseas counterparts and revised their Program Plans to reflect the combined thinking of both US and overseas scientists would they consider first year program funding by ME to be appropriate. However, the PI's have to a degree attempted to support an exchange in both directions which may be summarised as follows:

- **Every PI has traveled to the overseas sites in which they will work and personally conferred with their prospective counterpart investigators.**
- **ME and PI's have sponsored the travel of the following overseas administrators and scientists participating in SR-CRSP for conferences, meetings or extended study in the US.**

|                            |                   |
|----------------------------|-------------------|
| <b>J.M. Pompeu Memoria</b> | <b>Brasil</b>     |
| <b>Carlos Valverde S.</b>  | <b>Peru</b>       |
| <b>M. Panjaitin</b>        | <b>Indonesia</b>  |
| <b>Z. Owiro</b>            | <b>Kenya</b>      |
| <b>Jorge Flores O.</b>     | <b>Peru</b>       |
| <b>Felix Palacios R.</b>   | <b>Peru</b>       |
| <b>Domingo Martinez C.</b> | <b>Peru</b>       |
| <b>Hugo Sameme</b>         | <b>Peru</b>       |
| <b>Dora Husman</b>         | <b>Peru</b>       |
| <b>Elsio Figueiredo</b>    | <b>Brasil</b>     |
| <b>William Odenya</b>      | <b>Kenya</b>      |
| <b>B. Gessous</b>          | <b>Morocco</b>    |
| <b>Benjamin Quijandria</b> | <b>Costa Rica</b> |

In addition to these visits made to establish the SR-CRSP program several long term resident scientists have already taken up SR-CRSP supported positions in the overseas locations as follows:-

Indonesia - Dr. Levine, Dr. Thomas

Brasil - Dr. East, Mr. Gutierrez, Mr. Miller

Peru - Dr. Lotterman, Dr. Primov, Dr Jamdtgaard, Dr. Quiandria.

Kenya - Dr. Sands, Dr. Quick, Dr. Sayer

### Integrated Program Plan

One of the early responsibilities of the ME was to develop an Integrated Program Plan for the SR-CRSP as an entity which went beyond the documents presented by RTI. RTI's Phase 1 Plan was considered by both AID and ME to be a draft, and was essentially a compilation of 17 individual sub-plans submitted by the principal investigators for early consideration.

The ME undertook to revise the RTI (Phase I) Integrated Program Plan following several months of exchanges between Principal Investigators, and no less than three full Technical Committee meetings.

**However, the Phase II Integrated Program Plan was rejected by AID on the basis that:**

- 1. Principal Investigators had not been overseas to talk to their specific collaborators.**
- 2. The plans required revisions which included the inputs of the overseas collaborators.**
- 3. The plan lacked the conclusion Memorandum of Understanding with any of the overseas locations.**
- 4. The plan lacked any evaluation by the formally constituted External Evaluation Panel.**

While ME was not obliged to have approval for the Integrated Program Plan by AID ("review" was the term used in the grant), it was clear that the comments of AID were valuable and credible, and that they should be fully attended if good relations were to be maintained between AID and the SR-CRSP. A strategy was agreed upon whereby a third, (Phase III) Integrated program plan would be developed which attended to the points listed above, but that time should be given for the overseas components to be done thoroughly. Also, it was agreed that sub-grant could not be held up for the Phase III Integrated Program Plan because considerable ground work was required at every US campus to prepare for the entry of SR-CRSP activities. Sub-grants were therefore released as soon as the ME had confidence that each PI had indeed an overseas counterpart and had re-submitted a workplan which included their thinking. It has been a very painstaking process to develop the Integrated Program Plan slowly as each PI returned from discussions overseas, re-drafted their plans, and engaged in numerous discussions with their colleagues to ensure full collaboration within the SR-CRSP.

The Phase III Integrated Program has now been published in 6 parts (36,37,38,39,40,41). It is later than was hoped but even at the present time not all PI's have been able to go to some of their foreign worksites due to the time constraints imposed by their other commitments or where breakdown in negotiations (Morocco) has been a factor. Where these failures have occurred it has been recommended that funds provided for work not undertaken be returned to the general funds of the SR-CRSP for re-allocation. The Integrated Program Plan has been circulated to all concerned and will form the basis of the SR-CRSP's five year program for the US and overseas.

## The Impact of the SR-CRSP On US Participating Institutions

The impact of SR-CRSP on participating institutions has been considerable. Evidence of the original intent of Title XII, that US institutions should direct their research towards making more effective contributions to food production in the LDC's, has certainly been visible in the participating institutions on this CRSP. Examples of changes in US campuses that have already taken place and that would otherwise not have been made include:

- new courses in tropical smallholder sheep and goat production systems.
- new facilities targeted specifically for the training of overseas students on overseas problems.
- expenditures by College Deans of Institutional funds (not AID funds) on the participation of AID personnel in work relevant to the LDC's. This is a very encouraging return of some of the 'overhead' to development work.

### Non-Federal Resources and the SR-CRSP

Federal support of the SR-CRSP is limited to less than 75% of the total cost since participating institutions were required to provide a minimum of 25% matching funds from non federal resources. However, as time progresses the Federal contributions as a percentage will diminish sharply as more funds are added into the SR-CRSP from other resources. In Budget and Program Years One, the participating institutions provided \$1,038,214 of a total of \$3,708,469 or some 38% of the funds. While the SR-CRSP did not request or solicit funds from any of the collaborating institutions overseas, it was clear that the SR-CRSP would attract very substantial funds from Governments which have warmly welcomed the SR-CRSP.

In Indonesia, at the signing of the MOU it was announced that BAPENAS (the Government Budget & Planning Office) would allocate some Rp100,000,000 (US\$165,000) per annum for five years to the collaborating institute, the Lembaga Penelitian Peternakan to support the SR-CRSP work. This amounts to a commitment over the five years of \$825,000 and represents probably over 50% matching of US federal funds.

In Kenya where the second MOU was signed the Government added into the MOU the working of their own commitment which for the five year period was stated to be Kf 1,497,786 (US\$ 4 million).

In Brasil where the third MOU was signed, the signing was timed to coincide with the opening of the new National Sheep and Goat Research Center and the SR-CRSP was cited as the type of collaborative program the laboratory would now be able to attract. The specific amount of the Brazilian contribution to the SR-CRSP has not been defined but will be very substantial indeed.

In Peru, where the fourth MOU was signed the current lack of resources has not permitted a specific contribution to be made. However, again as an index of the enthusiasm with which the SR-CRSP has been received the collaborating Institution there immediately applied for use of PL 480 funds to match the SR-CRSP contribution. The outcome of this application is pending but the signs are positive that it will be granted.

# CONSIDERATIONS AND PROBLEMS IN IMPLEMENTATION BY A UNIVERSITY OF LARGE INTERNATIONAL PROGRAMS

Allen G. Marr

Dean of Graduate Studies and Research

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Davis, California

Although land grant universities have been participating for years in a variety of international activities, the management responsibilities for research programs under Title XII and for large international research and development programs which are Title XII-like is new to most universities. Based on our experience at Davis in implementation of such programs I can identify three categories of problems and other important considerations:

- (1) intra-university matters,
- (2) federal-university relationships, and
- (3) host country-university relationships.

## INTRA-UNIVERSITY MATTERS

The fundamental matter is academic policy: should international programs be embedded in the institution or should they be added on? Appropriate administrative structures and a number of subsidiary policies flow from this decision. At Davis it was decided insofar as possible to embed international activities and to modify existing policies and procedures as necessary for effective management of international programs.

We have encountered significant problems in personnel policies, business and legal affairs, and financial affairs.

### 1. Personnel Policies

Since a decision was made to embed international programs, it is necessary for the institution to provide incentives for the regular faculty to participate. This has raised questions of how international activities will be evaluated in the review of the faculty for merit and promotion and of whether to provide a salary differential for faculty on overseas assignments.

## 2. Business Affairs

The University of California is a multi-campus system with substantial delegation of authority from central administration to campuses. Nevertheless, international programs entail some matters that require attention not only of campus administration but also of the system-wide administration or the Regents. We found at all levels insufficient experience and competence in the development and review of contracts and other agreements, in procurement of material for delivery overseas, and in logistic support. This lack of experience at all levels has led to serious delays.

## 3. Financial Affairs

We discovered the need for special comptroller functions. The University had little experience in establishing and managing local currency accounts and dealing with other special disbursements. The matching requirement on Collaborative Research Support Programs as yet has not proved to be a serious difficulty. However, if CRSPs are directed away from research and more toward overseas development activities, the present matching requirements could prove serious.

## FEDERAL-UNIVERSITY RELATIONSHIPS

All of us--USAID, BIFAD, JRC, ME, and participating universities--have faced uncertainties in role and responsibility and some confusion of goals. Perhaps the universities have assumed that what's good for the university is good for the world but are confronted with dictum "do it overseas." I am optimistic that with experience this tension can be resolved in a manner which will permit universities to make great contributions to agricultural development overseas. But insofar as international programs move further away from research toward development, the ability of American universities to make important contributions will be reduced.

Just as universities lack familiarity with responsibilities of management of large overseas activities, USAID is unfamiliar with the sponsorship of research. Several rules and procedures peculiar to USAID impede the ability of the universities to manage. These rules and procedures fall in the areas of procurement, travel approval, review of plans and agreements, and financial detail. I have noted considerable improvement and expect more.

## **HOST COUNTRY-UNIVERSITY RELATIONSHIPS**

Perhaps the most serious difficulties thus far have been in the development of memoranda of understanding and host country contracts. Other problems include the pay scale for local hire, import restrictions, real estate matters, and mission review and approval.

In summary, land grant universities are learning executive management of international programs. I believe there is a substantial intersect between the purposes of land grant universities and the needs for research and development abroad. We have identified many of the problems of management of large overseas programs and have solved some of them. Through its charge and composition the Joint Research Committee can be helpful in the solution of many more.

**CRSP IMPLEMENTATION OF LDC LINKAGES**  
**-The Sorghum/Millet (INTSORMIL) Experience-\***

Earl R. Leng  
Program Director, INTSORMIL

I. THE PROBLEM.

The CRSP concept was new and untried as the Sorghum/Millet program was being planned in 1977 and 1978. One of the restrictions placed on the planning process for this CRSP (since changed for later CRSP's) was that the planning entity should not be an institution likely to participate in the actual program. Some of the other implications of this situation may have been discussed earlier in this Workshop; in the case of planning overseas linkages for the Sorghum/Millet CRSP, its net result was that virtually no detailed planning was done for overseas portions of the program.

Thus, one of the major problems confronting INTSORMIL when it was established was to develop appropriate LDC and international center linkages. This was spelled out in the grant document as a requirement for the Management Entity to

"work with the Regional Bureaus, A.I.D. Missions and host country institutions to develop the portions of the program to be done in the developing countries."

A closely related requirement was to develop

"collaborative research relationships between universities participating in the GS/PM CRSP, appropriate LDC institutions, closely associated international centers, and organizations such as STRC in Africa and CATIE in Latin America."

As of the date of the present workshop, and despite intensive efforts to work out the desired arrangements and relationships, virtually no structure is in place in any LDC which could be considered unique to the CRSP mechanism.

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\* Prepared for presentation at JRC/AID Workshop on Collaborative Research Support Programs (CRSP's) Rosslyn, VA, June 9-10, 1980.

## II. WHAT WE HAVE DONE OR TRIED TO DO.

Since no overseas work plan was in place, early efforts were made to develop such a plan, involving all agencies with significant roles to play.

The first step was carried out by Dr. Jackson and others in DSB/AG. In coordination with the four Regional Bureaus, a circular cable was sent to all field Missions, outlining the proposed CRSP activity and requesting an indication of Mission and host country interest, on a scale of 1 (great interest) to 3 (no interest-information only).

As might be expected, replies were received over a period of time and reflecting varying levels of Mission attention to the problem. However, it was possible to derive some useful indication as to which countries and Missions might be most receptive to CRSP contacts.

The INTSORMIL Administrative Council, meeting in July 1979 soon after the grant document was received, and the Technical Committee, meeting early in August, reviewed the responses with Dr. Jackson and the newly-selected Program Director, and developed a list of priority countries and agencies for program-wide initial involvement. This concept perhaps warrants further explanation since it differs from the practices followed in other CRSP's.

INTSORMIL considers that, for overseas involvement to have maximum effectiveness, as many as possible of the component projects and personnel should be available for direct contact with counterparts or interested agencies in the LDC's. This concept of program-wide LDC involvement obviously has limitations but is considered preferable to the alternatives. In particular, one-on-one relations between institutions or research workers, though obviously useful in specific instances, cannot achieve the overall goal of establishing an effective interdisciplinary program.

Countries and organizations were selected for program-wide involvement because of expressed interest, apparent needs, and presumed feasibility of operations.

Also, a deliberate effort was made to establish at least one such linkage for each A.I.D. Regional Bureau. The list as finally selected was:

|                              |  |
|------------------------------|--|
| <u>Asian region</u>          | ICRISAT (international)<br>India                                   |
| <u>African region</u>        | SAFGRAD (Pan-African)<br>Sudan (East Africa)<br>Mali (West Africa) |
| <u>Near East region</u>      | Yemen Arab Republic<br>Egypt                                       |
| <u>Latin American region</u> | Guatemala<br>Honduras<br>(Haiti)<br>(Brazil)                       |

In the above list, Haiti and Brazil are indicated parenthetically for different reasons. Initial involvement in Haiti was felt likely to be only in the food utilization speciality, but it was hoped for expansion to other disciplines. Brazil, an A.I.D. "graduate" country, has no USAID Mission and had indicated a "3" level interest, but it was known from informal contacts that EMBRAPA (the national agricultural research organization) actually has a high interest in cooperation with the CRSP program

As soon as possible, after this list had been developed and initial organizational steps completed for the domestic INTSORMIL structure, travel was undertaken by INTSORMIL and DSB representatives to further the establishment of actual linkages. Each of the listed countries and organizations was visited, except for Haiti, Brazil and SAFGRAD headquarters. In each case except ICRISAT, the local response basically was "we need more information on details of your program, then we'll talk more." ICRISAT, being much better informed as to the nature and details of the program, essentially agreed to full cooperation in a variety of activities.

In the next few months, summaries of each INTSORMIL project were prepared and a packet of informational material was forwarded to each proposed collaborating country and the respective USAID Mission. Basically, very little response has been

received although some five months have passed since the packets were sent out. A specific example is India. Friendly and productive preliminary talks were held with ICAR (the National Council for Agricultural Research) late in September 1979. The informational packet was sent in December 1979. Late in May, a cable from USAID/Delhi stated that ICAR had not yet considered a response, and that therefore "no useful purpose could be served" by a proposed visit of the INTSORMIL Program Director in June 1980!

Similar or related problems have been encountered with each individual country or USAID Mission in the above list (except Brazil, where there has been no response at all from EMBRAPA). On analysis, it has become clear that at least one unexpected major problem has led to major difficulties in linkage development with several countries. This will be discussed under "Difficulties and Constraints" below.

A second round of visits by the Program Director to most of the selected countries was planned for June 1980, but has been delayed because of negative responses received from three of the major countries to be visited.

Recently, ICRISAT has proposed a joint INTSORMIL-ICRISAT program for Latin America which appears to have much merit and which would result in an effective, regional coordinated program coming into place. Early reaction of the INTSORMIL Board and Technical Committee is favorable; we hope to get a preliminary reaction from AID/W and JRC during this week and to proceed promptly with site visits and a staff study so that a fully-developed plan can be available for review within the next two months.

Although the above efforts sum up to little progress, a positive note should be sounded in another direction. Two highly successful technical assistance team missions have been (or are being) carried out; one to Mali and Upper Volta related to food uses, and one now in progress in Tanzania, involving plant breeding and varietal improvement. Also, a successful and complex field evaluation

of the large Ethiopian sorghum collection was carried out in Mexico, through ICRISAT/CIMMYT collaboration and assistance, and the Texas A&M/Guatemala sorghum improvement project has continued to yield promising results

### III. DIFFICULTIES AND CONSTRAINTS.

The above presentation has indicated that INTSORMIL has encountered a number of difficulties and constraints, which have seriously hampered its effectiveness in developing overseas linkage activities. These may be summarized under four headings:

#### A. Lack of information by Missions and host countries.

The site visits by the planning group and the summary information sent to Missions by AID/W proved insufficient to provide Mission and host country research administrators with a clear picture of the GS/PM CRSP objective and capabilities. Even the more detailed project summaries sent as a follow-up to the liaison visits may not have been sufficient. It is clear that extensive and detailed, personal contacts will be necessary before most Missions and host countries feel comfortable with the CRSP concept.

#### B. Residuals of INTSORMIL participants' prior involvements.

Though not a serious problem, and in many ways a source of strength, the prior overseas involvements of many INTSORMIL participants and individuals have residual effects not always positive to the new programmatic CRSP activities. Individual researchers, in particular, tend to think of one-on-one relationships with former students or long-time professional associates as the most effective method of operation; they may be right in particular, but some of these associations do not further program-wide planning at the national level and occasionally may have negative effects.

C. Existing or planned USAID-host country activities in closely related programs.

At first glance, it would appear that active USAID Mission and host country programs to improve cereal grains would be highly positive to CRSP involvement in such LDC's. In practice, exactly the opposite has resulted. Specific cases will serve to illustrate the point:

A. Egypt. A "Major Cereals Project," including sorghum research, has been approved, contracted, and the project team is in place. USAID/Cairo has consistently resisted INTSORMIL involvement with the Egyptian national sorghum program, on the grounds that this would "divert attention" of Egyptian researchers and reduce chances for success of the project. CID, with the New Mexico State University as executing agent, has the Major Cereals contract. Neither it nor the selected project leader has any research background in sorghum improvement. No involvement of CRSP institutions, planners or concept was included in the project preparation or plan. Despite these limitations, we have worked out a tentative plan of cooperation with the on-site project leader, and propose to begin cooperative efforts with a site visit in August 1980.

B. Sudan. The "Western Sudan Agricultural Research Project) (WSARP), with joint AID-World Bank funding, was planned and contracted without reference to the GS/PM CRSP. USAID/Khartoum indicated in June 1979 that the only CRSP involvement in Sudan it would support must be through and with the WSARP. CID, with Washington State University as executing agent, has the contract. The Government of Sudan has indicated interest in other types of

cooperative efforts with the CRSP. We have discussed these problems in detail with the CID-WSARP program director, the USAID/Khartoum food and agriculture officer, and Africa Bureau. As yet, we have only a tentative plan for exploratory visits to Sudan in August 1980.

C. Yemen. A Yemen Agricultural Research Project has been contracted to CID, with the University of Arizona as executing agent. Since Arizona is an INTSORMIL member, we have had better contact than in the above two cases, but not with appreciably more results. Strained diplomatic relations with Yemen have complicated the situation.

D. India. A major agricultural research project is being planned by USAID/Delhi, which basically did not include CRSP contact or involvement in its early formulation. We have hoped to change this situation by personal discussions with the Mission and the Government of India; however, the recent cable indicating that an INTSORMIL visit to Delhi is not desired certainly does not further this effort.

E. Cameroon. A different situation, yet related, has developed here. The Mission is seeking to contract a major crops research project, and asked a number of U.S. universities, including several INTSORMIL members, to bid on the contract. None responded. INTSORMIL itself has no contract execution capability. The result is sure to be difficulties in developing effective working ties in the Cameroon, and even though this country was not a first-choice INTSORMIL target, there is a clear need for close linkage since sorghum and millet are major crops to be covered in the research project.

Out of these experiences emerges the clear indication that we need joint planning of country research programs, involving both the executing capabilities of U.S. institutions or consortia and the technical research capabilities of CRSP's. It appears to me that BIFAD, and its JCAD/JRC structure, has a vital role to play here; in the case of cereals research as related to sorghum, the system has thus far not worked well.

#### IV. LESSONS LEARNED; SOLUTIONS FOUND; RECOMMENDATIONS.

Much of what will be summarized in this section has been detailed or implied in earlier parts of the presentation. Since success of the CRSP effort is our goal, my objective in this summary is to focus on how we can use our experience to move toward such success.

1. Planning for overseas involvement of CRSP activities must begin at an early stage and should include the best possible representation of LDC's likely to be involved.
2. All possible informational material on the CRSP participants and proposed program should be made available to Regional Bureaus, USAID Missions, and LDC officials, and followed up as new material becomes available.
3. In any country where an action program of research support, directly related to a proposed CRSP, is underway, there should be full and continuous involvement of CRSP planners or management staff in the staff in the project planning activity.
4. Full consideration should be given, both by A.I.D. and the U.S. university community, to contracting appropriate LDC research activities with CRSP-participating institutions, or else to some innovative contractual arrangements which would involve relevant CRSP's directly in execution of such projects.

5. BIFAD/JRC/JCAD and AID/W should review in detail the coordination of existing country action programs in agricultural research with CRSP activities now underway, and develop more effective means of coordinating activities now organized separately but which have obvious needs to interact with each other.

6. Experience has shown that ICRISAT and INTSORMIL can develop very effective, synergistic working relationships and action programs. Efforts in this direction should be encouraged, and the JRC may wish to consider modification of planned CRSP structures to better accommodate such close working relationships.

Although difficulties have been stressed in this presentation, I conclude with the earnest conviction that a CRSP can succeed only if it has a primary focus on LDC development problems; whatever the difficulties, INTSORMIL as well as the other CRSP's must eventually make such a focus the real core of its existence.

## **CRSP INFORMATION**

**AID-SER/CM Input**

**Morton Darwin**

**Contract Officer - AID**

### **Implementation:**

1. A clear understanding with participating institutions regarding project approval, travel, duration of performance, price, approvals of various phases of performance and reviews, needs to be established in advance and all should be part of the sub-agreement. Payment of common costs e.g., site evaluations and selections causes problems when costs must be incurred that are not identifiable with any particular project e.g. meetings, site selections, printing, audit, etc., raising the question, who pays? Management entity or participating institutions?
2. Changes in direction need to be identified quickly and processed by CRSP amendment both in regard to management entity performance and program revisions.
3. It should be determined early what the format and procedures of the annual review will be, what topics will be covered, what the contributions and participation by members of the participating institutions will be and whether the date for the annual review is realistic.
4. The AID grant officer should be contacted on recurring problems covered by grant language.
5. Potential overruns should be carefully monitored by both management entity and participating institutions. The same should be done for underruns -- which are perhaps more likely at first.
6. Participating institutions should deal with the management entity and not directly with AID.

## RESPONSIBILITIES OF DSB PROJECT OFFICER

John Yohe

In 1964, the Agency adopted the concept of assigning responsibility for project monitoring to a single AID officer designated for each active project. Generally speaking, the project manager serves as the "eyes and ears" for the Development Support Bureau (DSB), Assistant Administrator (AA), Deputy Assistant Administrator (AD), and Office of Agriculture's Director (OAD), in a less direct linkage, for the JRC/BIFAD. The project manager's (PM) role to date has evolved to where he/she:

1. Drafts the scope of work for each planning grant or exploratory grant to be made and assures its appropriate clearance through the Regional Bureaus, JRC, and AID.
2. Upon approval of the scope of work, in conjunction with the BIFAD office, announces a meeting for selection of a recommended planning or exploratory grant entity. This recommendation is made to the JRC/BIFAD for approval after which the planning grant is made. The PM establishes contact and maintains close working relationship with the grantee throughout the planning period.
3. Participates in the final planning report to the JRC.
4. Assists BIFAD office/planning entity in organizing meeting for selection of the management entity (ME).
5. Prepares and initiates the PIO/T and related scope of work and assures its appropriate clearance prior to submission to the AID Contracts Office.
6. Upon pre-grant or grant implementation, establishes personal liaison with the contractor or grantee following the awarding of the grant. The PM should assume that all participating institutions function through the program director of the management entity. Then, if they have management problems, they should contact the PM not the contract office.
7. Monitors the contractor's performance to assure compliance and corrective action for any deficiencies. This involves close liaison between the contractor/project manager/the JRC and AID. The PM serves as the intermediate between grantee and JRC.

8. Approves grantee vouchers submitted for payment.
9. Analyzes and comments upon reports required from the grantee.
10. Assures that scopes of work are revised as necessary so as to reflect agreed upon changes in contract implementation.
11. Keeps the grantee apprised of critical time events in the AID fiscal year so as to assure timely reporting, so program documentation can proceed smoothly in the AID process of program approval and contracting.
12. Obtains the necessary mission/country clearance for CRSP planning and implementation staff to travel for constraint identification, collaborative discussion, or LDC site participation, etc.
13. Is responsible for organizing and arranging for the annual AID review of the CRSP.
14. Requests information on news-type material for use by AID to publicize programs.
15. Should have a thorough knowledge of the CRSP process as well as the technical subject matter. This will permit him to make his own judgement on the scientific merit of the project relative to AID objectives, effectively defend the program among peers, and clearly explain the project to non-technical administrators.
16. Should be intimately involved in all aspects of long-range planning. This helps to maintain the balance on making progress on major AID objectives. The project manager should be up to date on AID and AID mission agricultural strategies.
17. Assures that all relevant documents and correspondence are maintained in the project files.
18. Should make periodic visits to the site of the project activity both in the US and LDCs.
19. Should attend all or most of the Board of Director's meetings and technical committee meetings to the extent possible.
20. Will be available to discuss and help the planning/management entities to resolve policy and implementation issues concerning their CRSP grants.