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Guidelines for the Role and Function of The Joint Committee on Agricultural Development

**Under Title XII of the International Development
and Food Assistance Act of 1975**

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Agency for International Development**

GUIDELINES FOR THE ROLE AND FUNCTION OF JCAD
UNDER TITLE XII OF THE INTERNATIONAL
DEVELOPMENT AND FOOD ASSISTANCE
ACT OF 1975

I. Introduction

The Title XII Amendment to the Foreign Assistance Act of 1961, enacted in 1975, was designed primarily to increase the involvement of the U.S. agricultural universities, not only in the implementation of A.I.D.'s program, but also in the formulation of development assistance policies, strategies and programs, especially in food, nutrition and agricultural development. As called for in the legislation, a Board for International Food and Agricultural Development was established by the President. The Board was authorized to create subordinate units to assist in the performance of its duties.

Accordingly, the Board created two committees consisting of university, government and private voluntary organization representatives: (a) the Joint Research Committee (JRC) to focus on centrally programmed and collaborative research activities; and (b) the Joint Committee on Agricultural Development (JCAD) to focus on country programs of technical assistance. The specific statutory responsibilities of JCAD are to assist BIFAD in the performance of its responsibilities in carrying out the purposes of this title, including but not limited to the functions provided for in sections 297(a)(2), (4), and (5).* These responsibilities include:

1. Participation in the elaboration of U.S. bilateral agricultural development policy and strategy and in identification of priority needs for agricultural development in the LDCs.

* "(2) to build and strengthen the institutional capacity and human resource skills of developing countries in the field of agriculture so that these countries may participate more fully in the international agricultural problem-solving effort and to introduce and adapt new solutions to local circumstances;—

(4) to involve universities more fully in the international network of agricultural sciences—; and

(5) —to develop and strengthen national research systems in the developing countries."

2. Participation in the conceptualization and design of Title XII programs.
3. Evaluation of the capabilities of institutions to conduct research, teaching, extension and other developmental activities, and assistance in matching them with priority programs under Title XII.
4. Identification of means to strengthen U.S. universities for participation in Title XII programs.
5. Assistance in developing appropriate policies and procedures for university involvement.
6. Participation in monitoring, evaluation and reporting on agricultural activities under Title XII.
7. Responding to specific tasks assigned by the Board.

II. Basic Principles Governing JCAD Activities

JCAD, as a working committee of BIFAD, will assist in the planning and implementation of bilateral activities funded under Section 103 of the Foreign Assistance Act of 1961, as amended, and carried out under Title XII of the Act. The basic principles which govern the activities of the committee are outlined as follows:

1. JCAD activities must function within two basic Congressional mandates, i.e., (1) the "new directions" mandate which commits A.I.D. development assistance programs in food and nutrition to meeting the basic needs of the poor majority, and (2) the Title XII mandate to involve U.S. universities more extensively in development activities required to increase world food production to prevent famine and establish freedom from hunger.
2. Fulfillment of the mandates will require that assistance be provided to resolve critical problems of food production and utilization; thus, long-term support for the application of science and technology to the solution of food and nutrition problems of the developing countries will be a necessary part of this program.
3. Institutional involvement of U.S. universities and other participating agencies in Title XII will be directed at collaborative assistance in the development of self-sustaining,

integrated, and coordinated systems of national institutions capable of providing goods and services requisite to development and continuing growth of the rural sectors of these countries. This involvement must recognize the unique conditions existing in each LDC and cannot be approached with a predetermined model of institutional forms.

4. The concept of Title XII is predicated on long-term and continuous commitment by U.S. universities to a spirit of partnership with A.I.D. and host countries in agricultural development. This will require the development of recurring funding for program execution. This will also require funding for strengthening the capabilities of eligible universities to enable them to carry out these functions more effectively.
5. The primary responsibility of the JCAD is to assure that the best and most relevant talents of the agricultural complexes of the American higher education, research and extension system are brought to bear on the fundamental constraints to agricultural development in the LDC.
6. The principles of long-term commitment and early involvement of implementing institutions in planning are fundamental to Title XII. The Collaborative Assistance Method of Contracting* was designed to further these principles, and should be used when appropriate. However, when activities can be served more effectively by other modes of contracting, these should be used.
7. JCAD will be responsible to BIFAD and will report to the Board on a regular basis requesting guidance on matters of policy and approval of JCAD activities. JCAD will collaborate and interact with JRC, A.I.D. Regional Bureaus, A.I.D. Missions, host countries, universities and other agencies participating in development programs.

The following sections describe the processes through which such collaboration and participation will take place. These guidelines are not intended to instruct participating institutions in every phase of

* See AIDPR 7-4.58, particularly Appendix H (initially issued on January 16, 1976, as PD-65) for a fuller description.

program development in this complex system but are intended to set the basic pattern for initiating Title XII activities in agricultural development. A reasonable degree of procedural flexibility should be maintained in these guidelines; moreover, they should be subjected to frequent (at least annual) review.

III. Program Strategies for Agricultural Development

A.I.D. and BIFAD have been seeking a strategy to guide regional and country programming efforts responsive to Congressional mandates and LDC needs. Title XII legislation dictates that the strategy should include a systematic approach to the solution of food and nutrition problems, incorporating the unique capabilities of U.S. universities to integrate research, teaching, extension and other developmental functions in coordinated assistance programs. The JCAD will seek to facilitate development of strategy and rationale within which country and regional programs are to be directed.

In order to effectively carry out its responsibilities to assist BIFAD in this area, JCAD, using committee members and staff from BIFAD, A.I.D., USDA, the university community, and other agencies as appropriate, will:

1. review current U.S. strategy on international agricultural development drawing on legislation and legislative history, theory, practice, experience and other relevant sources of knowledge about the development process;*
2. develop recommendations for overall U.S. bilateral, agricultural development strategy;
3. assist in the development of instructions to A.I.D. missions for the application of the strategy in country programs; and
4. assist in the dissemination of information about the development strategy to the international assistance community as well as to host countries, A.I.D. and the universities.

The strategy will be reviewed periodically and modified and updated as necessary.

* See A.I.D.'s "Agricultural Development Policy Paper," draft dated May 1977, and "A.I.D.'s Responsibilities in Nutrition" dated April 26, 1977.

IV. Country Programming Process for Agricultural Development Activities

Title XII programming procedures will follow A.I.D.'s overall programming process for bilateral assistance with modifications to facilitate participation by JCAD and BIFAD. The JCAD guidelines will identify critical points in the programming process where participating institutions interact on a broad range of planning and programming activities. Although the following program phases are outlined in a logical action sequence, it is important to recognize there are no distinct boundaries between them. They are highly interdependent and actions may be initiated concurrently at various points in the sequence.

Country Analysis and Program Design and Project Identification--This initial phase of the programming process will involve JCAD, BIFAD staff, Regional Bureaus, host countries, and Missions in a series of activities required to articulate an A.I.D. agricultural development assistance strategy for the developing country and to identify specific Title XII projects needed to assure attainment of the objectives of the U.S. development assistance program in the LDC. Contracts with universities or other organizations may be utilized to assist in this work (e.g., the proposed Baseline Studies) as well as the work described in Section III, Program Strategies for Agricultural Development.

In view of the need to focus on developmental problems in various regions of the world, JCAD must interact in a significant way with A.I.D. Regional Bureaus and Missions. In order to facilitate this interaction, two mechanisms are suggested. The Chairman of JCAD will designate certain committee members on an ad hoc basis to work with the Regional Bureaus. The designated members will, to the extent practicable, include a JCAD member from the corresponding bureau of A.I.D., and non-A.I.D. members of JCAD. The ad hoc JCAD Regional Work Groups (RWG's) may utilize BIFAD, A.I.D., university, and other agency staff and resources to assist them in the performance of their functions.

In addition, a contact will be appointed in each mission or field post by the Director to maintain effective liaison with JCAD, universities and host country officials in relation to Title XII activities. This contact will be a professional designated as the Title XII liaison officer and will assist the Mission Director in all Title XII program transactions.

The diagnosis of development problems, formulation of policy and design of programs will require organizational and administrative expertise and contributions of specialists and multidisciplinary groups.

JCAD will assist in identifying appropriate resources for participation in these analytical and identification processes. In some situations, the most suitable form of participation may be individuals drawn from different universities according to individual specializations. In other instances, the responsibilities may be assumed by a single university, a consortium of universities or other participating institutions.

The output of this effort would be a development plan including identification of program elements for A.I.D. assistance in the country consistent with the host country and A.I.D. strategy for agricultural development. A comprehensive and continuing analytical effort will be required to maintain and refine an effective country plan and the assistance program to support it. The ad hoc JCAD Regional Work Groups will work with the regional bureaus in the conduct of this process for each country receiving A.I.D. assistance. On a worldwide basis, the A.I.D. program process goes on continuously. The RWG's activities, therefore, will be phased throughout the year and will operate at varying stages in different countries.

The precise character of the analytical effort required will vary from country to country depending upon available information, prior work, and A.I.D. and host country needs. The RWG will systematically review available country analyses and project identification efforts, and identify problem areas that offer potential for Title XII projects involving U.S. universities and other participating agencies. The following steps will be considered:

1. Analysis. This is the diagnosis of development problems. This analytical phase should be done as a joint effort with the host country planners. Studies will examine the major factors affecting agricultural production, human nutrition, the role of small farmers, and rural income and welfare, with particular attention to assessing LDC institutional capability in planning, research, extension, and education.
2. Policy Planning. This is the formulation and choice of alternative developmental policies. At the country level, in addition to developing institutional capacities and agricultural production, this includes attention to family income and employment, market demand, pricing policies, import and export movements, and nutrition and other consumption objectives as a part of overall strategy.

3. Program Planning. This step results in the formulation of the main program approaches and identification of the projects through which the development strategy and policies will be carried out. Certain of these projects may be of such a nature that implementation through collaborative procedures with U.S. universities appears to be the best approach; other projects will lend themselves to different procedures.

Submission of Outside Projects—It is expected that baseline studies and sector analyses will provide the analytical framework for project selection. Nevertheless, U.S. universities and other participating agencies may, from time to time, originate ideas for important agricultural development projects in countries receiving aid. Such project ideas may be submitted through the Executive Director of BIFAD to the JRC or JCAD as appropriate. Proposals referred to JCAD will be submitted to the appropriate Regional Bureau for Mission and Host Country review and recommendation. Should an idea evolve into a project, the project will be developed using appropriate review and contracting procedures.

A.I.D. and BIFAD are developing guidance for consideration of Title XII activities in non-aid receiving countries which will be available at a later date.

On occasion, U.S. universities and other participating agencies may develop ideas for projects which will make an important contribution to agricultural development or to the successful operation of developmental programs which are not country specific. In such instances, a preliminary proposal will be accepted by BIFAD Executive Director for consideration by the JRC or JCAD as appropriate.

Project Planning and Design—After the identification of the projects through which the country's development strategy will be carried out, these projects must be planned or designed to assure achievement of their intended objectives. This design phase may be carried out in one or another of three ways: (1) by A.I.D. direct hire staff and/or host government officials; (2) by specific design contracts with individuals, consulting firms, or universities; and (3) by universities in the design phase of "collaborative assistance" projects.

Collaboratively with U.S. Universities: One of the key elements in assuring effective use of the resources of U.S. universities is to involve them with the host country institution in the design of projects. This early university involvement is provided for in the Collaborative Assistance Method (see AIDPR Subpart 7-4.58) of contracting.

In the project planning and design phase the selected contractor and the collaborating host country institution work out a detailed project, outlining what is to be done, how to do it and how much it will cost. These activities will vary with the complexity of the problem, the information base on which the project is built, and the knowledge and experience of the institutions involved. They may involve a short-term reconnaissance activity or an extensive period of detailed planning lasting a year or more. The JCAD and A.I.D. role during this period would be to facilitate, rather than to direct the joint planning effort.

The respective RWG would assist the Regional Bureau and Mission Title XII officer in reviewing the work of the design group to assure: that the parties have agreed upon and are working within an appropriate project design; that the documentation for the implementation stage is properly prepared, including any amendments to prior agreements; and that, as the project moves into the operational stage, long-term operating agreements are established, as appropriate, among the host government, the host institution, A.I.D. and the U.S. university.

The results of the approach outlined in the planning-design stage should include, in addition to a better understanding and more meaningful commitment by all parties, the following specific outcomes:

1. A jointly developed, Operational Plan which reflects the commitment of all parties. This Plan should include clear statements of purpose, principal outputs, critical assumptions, and major progress indicators.
2. A detailed Work Plan and Input Schedule for the first year of activity.
3. Provision for any administrative support, special services or other inputs by the host country, U.S. university and/or A.I.D.
4. A plan for periodic joint evaluation and review of progress and subsequent work plans, normally annually, with the participation of all parties.
5. A contract embodying appropriate elements of these conditions and understandings for project implementation.

NOTE: In general, this collaborative approach to project planning and design would appear to be appropriate for host country contracting. However, detailed procedures are being developed.

Other Arrangements: A.I.D. also contracts, using the Standard University Contract, with universities for specific services identified by A.I.D. and the host country, including project planning and design and, separately, for project implementation. In addition, A.I.D. contracts with private and voluntary agencies and, through Participating Agency Service Agreements (PASA's), with other federal agencies for project planning and design services, as well as project implementation.

Steps for Programming Country and Regional Projects—The following are a series of specific actions which would normally be followed in programming projects:

1. During Regional Bureau reviews of Annual Budget Submissions, or whenever Project Identification Documents (PID's) are under review, Regional Bureaus, with RWG participation*, will identify those project proposals which are to be given further consideration in the Title XII planning and implementing process, based on the definition of Title XII** activities

* Consistent with the provisions of the Federal Advisory Committee Act and procedures applicable to the release of budgetary information.

** Activities coming within the scope of Title XII:

- "1. Research, which includes: (a) support to International Agricultural Research Centers and similar organizations; (b) food and nutrition components of A.I.D.'s centrally-funded contract research program; (c) a new Collaborative Research Support Program. (Budget estimates include associated capital costs.)
2. The balance of the centrally-funded technical assistance program, concerned with the adaptation and application of agricultural and nutrition technology. (Budget estimates include associated capital costs.)
3. Strengthening developing country institutions in research, teaching, extension and other institutional capabilities essential to agricultural development. (Budget estimates include associated capital costs.)
4. Advisory services to developing country governments and private sectors on such food and nutritional development activities as agricultural production and marketing, credit, irrigation and water management, general nutrition projects, and technical assistance for rural development, in which developing or strengthening of research, educational or extension capabilities, though often an important by-product, is not the central purpose. (Budget estimates for this category are limited to technical assistance, training and related activities and do not include capital costs.)"

appearing in the first Annual Report to Congress on Title XII. This identification will also take into account views of the Missions and host governments. Title XII project proposals thus identified, along with related documents, are then provided to JCAD.

Note: BIFAD mechanisms may already have been involved during PID preparation and/or review.

2. In the case of Title XII project proposals for which a decision has been made by Regional Bureaus to proceed, Bureaus will, with participation of the RWG's, determine the type of resources (university, non-university, or a mix) required for the project.
 - (a) If university resources are not to be involved, established non-university contracting procedures are to be used (see AIDPR Subpart 7-4.56) JCAD does not have a direct role in this contracting process, but may be involved in review and evaluation of such projects on a sample basis.
 - (b) If university resources are to be involved, a Project Panel chaired by the Regional Bureau and consisting of appropriate representatives from the Regional Bureau and Contract Offices, the BIFAD staff member on the JCAD Regional Work Group, and a DSB representative, as needed, will be established to begin the process of contracting in accordance with A.I.D. regulations.* The Project Panel, in consultation with Mission and host country, will:
 - (1) determine the type of university contracting method to be used (Collaborative Assistance Method or Standard University Contract) on the basis of criteria listed in PD-65 (Appendix H of AIDPR Subpart 7-4.58); and

* The description in these Guidelines of A.I.D.'s Collaborative Assistance contracting procedures and other procedures for contracting with educational institutions is intended to explain and supplement, but not amend, the applicable A.I.D. regulations, which include AIDPR Subparts 7-4.57 and 7-4.58 and Appendix H.

- (2) initiate the process of matching the appropriate resources to project needs (through Steps 3-5 below) leading ultimately, on the basis of inputs from the Host Country, Mission, JCAD and A.I.D./W, to a recommendation for contractor selection.

The selection process for university contractors takes one of two tracks, depending upon whether the Collaborative Assistance Method or Standard University Contract is to be used:

Track 1

Collaborative Assistance

3. As indicated above, the Mission, in collaboration with host country, provides the Regional Bureau (Project Panel) with a Statement of Problem (usually a PID).
4. The Project Panel, after consultation with the mission and host government, provides the JCAD with evaluation and selection criteria (nature of expertise, geographical experience, host country relationships, institutional commitment, etc.).

Track 2

Standard Contract

- As indicated above, the Mission, in collaboration with host country, provides the Regional Bureau (Project Panel) with a Scope of Work, prepared with the Project Paper.
- The Project Panel, after consultation with the mission and host government, provides the JCAD with preliminary selection criteria (required expertise, prior experience, etc.).

NOTE: JCAD will inform the agricultural university community of anticipated Title XII projects through publication of brief project summaries in the proposed BIFAD BRIEFS. This will provide an opportunity for institutions to supplement the BIFAD Registry of Resources in terms of interest and capabilities in light of specific project needs, broadening the base from which JCAD will recommend appropriate matching of resources.

Collaborative Assistance

5. From the roster of eligible institutions and the registry of other resources JCAD submits to the Panel, consistent with the evaluation and selection criteria provided to it, its recommendations of qualified institutions to be included on the Panel's list of institutions appropriate to be asked for expressions of interest in solving the problem described in the Statement of Problem. After consultation with the mission and host government, requests for expression(s) of interest are sent by the contracting officer.

NOTE: JCAD recommendations may include an evaluation of the qualifications of the institutions to undertake the project involved.

6. On basis of criteria established in Step 4 above, the Panel, after consultation with the mission and host government, recommends, among those expressing an interest, the institution or institutions, in rank order of preference, with which negotiations should be undertaken by the contracting officer. When advisable, potential contractor representatives may be sent to discuss with the Missions and the Host Country the scope and nature of the problem to be addressed. In addition, site visits by Host Country representatives to potential contractor campuses may be called for. Contractor is selected.

Standard Contract

From its Registry of Resources JCAD submits to the Panel its recommendations of qualified institutions to be included in the Panel's list of institutions appropriate to be sent Requests for Technical Proposals (RFTP). After consultation with the mission and host government, RFTPs are sent by the contracting officer.

Primarily on basis of evaluations of responses to RFTP's, Panel, after consultation with the mission and host government, recommends the institution or institutions, in rank order of preference, with which negotiations should be undertaken by the contracting officer. Selection is made.

Collaborative Assistance

7. Preliminary contract for Planning/Design phase is negotiated with selected contractor.
8. Contractor team goes to field to participate with Host Country and Mission in designing the project, preparing Project Paper (PP) and detailed Work Plan for first year.
9. When the PP is reviewed and authorized, prepare PIO/T and negotiate main contract on basis of PP for the services required to implement the project, including Operation Plan (objectives, types of activities anticipated, indicators of progress, etc.) but not including detailed Work Plan to be agreed upon by the Mission and Host Country, and which can serve as a working document capable of incorporating changes agreed upon by Host Country and contractor without amending contract.

Standard Contract

Contract (including Work Plan) is negotiated with selected contractor.

Project Implementation—The primary responsibility for implementing the project will rest with the contractor and the host institution or agency. Although good project design should eliminate many operational problems, the very nature of these long-term projects requires a substantial degree of flexibility within agreed upon objectives, types of activities, and available financing. The Collaborative Assistance Method for Technical Assistance Contracts provides this type of flexibility.

The Project Authorization for grant-funded technical assistance projects normally covers a five-year planning period. However, it is recognized that the time required for the accomplishment of all program objectives may often exceed the initial authorization period. At appropriate intervals but not later than the third year, the project will be evaluated to decide if the project will be completed within the initial period, or if it will be extended beyond the authorized period, or if a new project will be authorized to continue with the next logical phase of the program. It is essential that no less than a two-year planning lead time be maintained. A similar procedure would be used for loan-funded projects.

For grant-funded technical assistance projects, the initial obligation should cover contract services for at least two years, with additional sums added annually or periodically subject to annual appropriations. It is essential that no less than a one-year funding lead time be maintained. Loan-funded projects receive funding for the full authorization period.

These authorizing and funding procedures also imply that the contractor and the host country institution will be committed to the allocation of competent staff and other resources to the project on a long-term basis. It is expected that these collaborators will develop enduring linkages which will continue long after the technical assistance project is completed. The JCAD role in this stage will be limited to project review on a sampling basis, and to assisting in the review of projects which warrant an outside review because of major implementation difficulties. In such cases the JCAD would recommend the procedure and consultants or institution to be contracted for the review.

Monitoring, Evaluation, and Reporting—An essential part of Board and JCAD programming responsibility under Title XII is monitoring, evaluation, and reporting to A.I.D., the Congress and to the university community. The primary purpose of program/project evaluation will be to maintain focus on progress toward the long-term objectives of the country programs for agricultural development and to assure that projects are being effectively implemented. The number of projects which will be developed under Title XII, and their geographic distribution, will make it difficult, if not impossible, for JCAD to participate in all project reviews.

The Regional Work Group may:

1. Review annual reports and other documents on a systematic basis and report to JCAD on these reviews.

2. Send RWG members to the field to participate as individual consultants in selected reviews on an annual basis in order to become more familiar with the field projects and the evaluation procedure.
3. In circumstances where substantial difficulty has been encountered in project implementation, the RWG and the regional bureau may request JCAD to recommend consultants and/or institutions to be contracted for a full-scale project review.

The Chairman of JCAD and those members of the Committee designated by the Chairman will work with the BIFAD staff and A.I.D. in the preparation of the Annual Report to Congress which details activities carried out during the year, including a summary of activities pursuant to Section 298 of Title XII.