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FIRST MEETING
JOINT COMMITTEE ON AGRICULTURAL RESEARCH
AND
DEVELOPMENT (JCARD)
November 30, 1982
December 1, 1982

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JOINT COMMITTEE ON AGRICULTURAL RESEARCH
and
DEVELOPMENT (JCARD)

of the

Board for International Food
and
Agricultural Development (BIFAD)

First Meeting

Tuesday, November 30, 1982 -- 1:00 to 5:00
Wednesday, December 1, 1982 -- 9:00 to 12:00
1:15 to 5:00

Holiday Inn
Rosslyn, Virginia

Agenda

Tuesday, November 30

1:00 PRELIMINARIES (Hugh Popenoe in chair)

Call to Order

Welcome..... Jay Morris

Introductions, meeting objectives,
announcements..... Hugh Popenoe

BACKGROUND

1:15 Why a JCARD? (TAB B)..... Fred Hutchinsor

1:30 Review of JRC Activities (TAB C)..... Hugh Popenoe

2:15 Review of JCAD Activities (TAB D)..... Jack Robins

3:00 BREAK

EXPECTATIONS FOR JCARD (John Robins in chair)

3:15 AID:..... Jack Robins

3:30 University:..... Hugh Popenoe

3:45 General Discussion

5:00 ADJOURN FOR THE DAY

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Wednesday, December 1

9:00 JCARD OPERATIONAL MATTERS (TAB B -- Annex on A, pp. 4-5) (Popenoe chair)

- Dates, times, location of meetings (TAB E)
- Executive Committee
- Expert Panels
- Staff Support (TAB F)
- Relationship of JCARD to Sector Councils (TAB G)

10:15 BREAK

10:30 INTERNATIONAL AGRICULTURAL RESEARCH CENTERS: A.I.D. POLICY, FUNDING, REVIEW, AND JCARD ROLE (TAB H, pp. 16-22; and TAB I) (Robins chair)

12:00 BREAK FOR LUNCH

New Ways to Mobilize University Resources for AID Programs

1:15	Strengthening Grants (TAB J)..... (TAB K).....	Leonard Yaeger Jean Weidemann
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1:30	Memorandum of Understanding (TAB L)..... Joint Enterprise Mode (TAB M)..... Joint Careers Corps (TAB O).....	Leonard Yaeger " " " "
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1:45	Collaborative Assistance Mode of Contracting.....	Hugh Dwelley
	The Matching Process (TAB N).....	Jiryis Oweis
	Technical Services to Missions (TAB P).....	Hugh Dwelley

Other AID/S&T Activities

2:00 Priority Setting, Policy and Strategy Papers (TAB Q)... John Robins

2:15 AID Participant Training (TAB R; AND TAB H, pp. 10-16). Ruth Zagorin

2:45	Proposed Cooperative Program between U.S. Research Institutions and the International Agricultural Research Centers (TAB S).....	Anson Bertrand
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3:00 BREAK

3:15 SUMMING UP -- AND LOOKING TO THE FUTURE (Robins chair)

- Where can JCARD be most effective?
- What should JCARD's priorities be in 1983?
- How can JCARD best proceed to pursue those priorities?

5:00 ADJOURN

5:30 to ?
RECEPTION (Cash bar)
Foreign Service Club
21st and E Streets, N.W.
Washington, D. C.

Thursday, December 2

9:30 to 12:15 BIFAD MEETING
New State (room 1107)

CHARTER
BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT

Article I. Board's official designation:

Board for International Food and Agricultural Development
(hereafter referred to as the "Board")

Article II. Board's objectives and scope of its activity:

The Chairman of the Board and the Administrator of the Agency for International Development have jointly resolved and agreed that the primary mission of the Board is to help the Agency to mobilize and utilize the faculty and institutional resources of eligible universities, and to advise and assist the Agency to develop and implement the components of the Title XII program. That program is set forth in Title XII of the Foreign Assistance Act of 1961, as amended (enacted by the International Food and Development Assistance Act of 1975), and comprises the activities described in Section 297 of Title XII.

Article III. Board membership and appointment:

The Board shall consist of seven members appointed by the President, no less than four to be selected from the universities as defined by Section 296(d) of Title XII. Terms of members shall be established by the President at the time of appointment, as provided by Section 298(a).

Article IV. Period of time necessary for the Board to carry out its purposes:

Indefinite.

Article V. Agency and official to whom the Board reports:

The Board shall report to the Administrator of the Agency for International Development, and (as provided in section 300 of Title XII) to the Congress.

Article VI. Agency responsible for providing necessary support for the Board:

Agency for International Development

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Article VII.

Description of Duties for which the Board is Responsible:

In discharging its duties under section 298 of Title XII, the Board will:

A. Consult with, provide information to, and furnish advice to the Agency for International Development, the Department of Agriculture (and other Government agencies as appropriate) and Congress on Title XII policy questions.

B. Provide the universities with information and counsel on problems and issues of concern to the universities in their relations with AID and with other U. S. Government agencies under Title XII.

C. Participate (on a selective basis) directly, and through its subordinate units, as an integral part of the Agency's system of designing, approving, implementing and evaluating Title XII programs and projects.

D. Specific examples of the Board's responsibility are:

1) Increasing university involvement in Agency programs

- participating in the matching and selection of universities to implement Title XII projects, and maintaining a Registry of Institutional Resources to match the needs of the Agency, including its country missions, with available university expertise;
- participating in the evaluation of selected projects as agreed upon with the country mission concerned;
- mobilizing in-depth university advice on institution-building and research components of selected country programs at mission request;
- assisting in developing instruments (e.g., memoranda of understanding, joint enterprises etc.) to strengthen and improve university participation in country programs; and
- articulating and communicating issues and assisting the Agency in addressing such concerns of the U. S. agricultural university community about Agency programs and vice versa, when appropriate.

2) Strengthening university capabilities

- informing universities of the Title XII program and opportunities for their participation, through organization of regional seminars and publication of the BIFAD Briefs;
- assisting the Agency to mobilize universities to engage in development education programs, and encourage broader public understanding of U. S. development assistance programs including those carried out under Title XII;
- reviewing proposals for Agency university strengthening programs, assessing these programs and recommending changes as needed; and
- participating in the development of any new programs for enhancing university capabilities and improving the quality of university participation in Agency international programs.

3) Facilitating cooperation in research

- advising on the substance and size of university collaborative research support programs, contract research program, and any new types of research modes in agriculture, rural development, nutrition, and related fields;
- participating in developing instruments to enhance university involvement in the work of the international agricultural research centers and other international organizations;
- recommending priorities in the use of Agency funds as among these various research programs; and
- assessing progress in selected programs, recommending changes as needed.

Article VIII.

Subordinate units

The Board is authorized to create such subordinate units as may be necessary for the performance of its duties and the discharge of its responsibilities. The Board has established, effective July 1, 1982, a Joint Committee on Agricultural Research and Development (JCARD) as a subcommittee of the Board. Details on the role, duties, responsibilities, composition, organization, and operation of the JCARD are specified in Attachment A. The Agency provides support services (including staff) to the Board and its subordinate units, with the staff jointly selected by the Agency and the Board and comprised of seconded AID employees.

and details under the Intergovernmental Personnel Act and from U. S. Government agencies.

Details on staff functions organization, and relationships with the Agency are specified in Attachment B.

The BIFAD staff and the JCARD have been established for an indefinite period of time. The JCARD will meet four to six times annually. The Agency for International Development provides necessary support for the staff and JCARD, and includes their operating costs in the BIFAD Budget.

Article IX.

Estimated cost of the Committee

<u>Workyears</u>	<u>Dollars</u>
17.7 staff*	
0.5 consultants	
<u>18.2 *</u>	\$1,017,000

Article X.

Estimated number and frequency of Committee meetings:

The Board will meet six to ten times per year, and the JCARD will meet four to six times per year.

Article XI.

Committee termination date:

Section 298 of Title XII provides for a permanent Board.

Article XII.

Charter amendment:

The Board may amend the Charter as necessary, consistent with applicable laws and regulations.

Article XIII.

Date filed.



M. Peter McPherson
Administrator

21 MAY 1982

Date

*Includes details (under Intergovernmental Personnel Act, from other government agencies, inc.)

BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT.
JOINT COMMITTEE ON AGRICULTURAL RESEARCH AND DEVELOPMENT

The JCARD role, and relationship to the Board

The Joint Resolution of AID and BIFAD, signed by the Administrator of AID and the Chairman of BIFAD in May 1981, provides the most recently agreed definition of the context in which the Board, JCARD, and the BIFAD staff all operate. The "primary mission" of BIFAD, according to the Joint Resolution is:

"...to help AID to mobilize and utilize the faculty and institutional resources of eligible universities, and to advise and assist AID to develop and implement the components of the Title XII program."

Within that context, both the Board and JCARD provide a two-way communications channel on concerns of AID and/or the universities. The Board serves this function at the policy level; and also provides visibility to the involvement of universities in the AID program through interface with high-level officials in AID, other agencies, the Congress, and the universities. JCARD provides the link at the operating level: it is concerned with the process of working together on programs and projects; and it facilitates the development of university resources for international activities and access thereto, and obtains advice from the university community on the design and evaluation of country and sub-regional programs, specific research topics, technical assistance implementation problems and other matters affecting the working relationships between AID and the universities

Organizationally, JCARD is a subordinate unit of the Board, will report regularly to it, and will receive broad policy guidance from it. As a joint committee, however, it will be responsive to specific, congruent needs of AID, the Title XII universities, and other Title XII institutions.

Guidelines for the work of JCARD

The basic principle inherent in the JCARD concept is that envisaged by the Title XII legislation; i.e. that BIFAD subordinate unit(s) are "joint" between the federal government and the universities. Thus, JCARD is conceived as a truly joint instrument of the principal organizations committed to and responsible for the effective implementation of the Title XII Amendment--BIFAD, AID, Title XII universities and other involved federal and non-federal organizations. JCARD is joint not only in terms of membership but also in terms of the manner in which it conducts its activities. The federal and non-federal partners in JCARD will work together in developing the agenda, and in carrying out the work of the Committee.

JCARD Responsibilities

JCARD will provide advice and assistance to, and foster communication between, AID and the universities, on the activities outlined in Sections 297 and 298 of Title XII, including agricultural development and research activities designed to assist developing countries; building the institutional capacity and human resource skills of less developed countries; and strengthening U.S. universities' capabilities for assisting developing nations. Within the limits of staff help, panel expertise and other resources available to it, JCARD's major responsibilities will be to provide advice and assistance to the Board, AID and the universities through:

- considering problems, identifying needs, defining priorities, and participating in formulating research and institution-building programs in agriculture, rural development, nutrition, and related fields;
- identifying problems in mobilizing and utilizing university resources, and suggesting policy and programmatic approaches on the part of AID and Title XII universities to resolve them;
- participating in AID's evaluation and assessment process, in order to gauge the utilization, impact, development relevance and general effectiveness of Title XII programs under way, and suggesting any program changes needed; and
- assisting AID on request to mobilize university expertise in addressing problems in agricultural research and development.

JCARD Program of Work

Annually, in consultation with the Board and AID staff, JCARD will develop a comprehensive work plan responsive to current and projected needs of BIFAD, AID and the Title XII institutions. Agendas for the regular meetings and special meetings will draw on the annual work plans and will be developed by the Chairperson in consultation with AID and BIFAD staff.

JCARD Membership

The JCARD will consist of 20 members drawn from the following organizations:

Title XII Universities	9
AID Regional Bureaus	4
AID Bureau for Science & Technology	1
AID/M/SER/CM	1
AID/PPC/PDPR	1
USDA	1
US Dept. of Commerce (NOAA)	1
Private Sector	2
Total	<u>20</u>

JCARD members will be selected on the basis of professional experience and competence in disciplines most relevant to the food, nutrition, and agricultural development missions of Title XII; education, research, technical assistance, and administrative experience in the LDC context; and leadership status in the cooperating universities, federal agencies and private organizations. Through their institutional affiliations they will be expected to reach out to tap the talent and engage the involvement of a variety of constituencies and organizations concerned with international development.

Initial terms of service will begin July 1, 1982. Members of the JCARD will be appointed jointly by the Chairman of BIFAD and the AID Administrator. ~~The Executive Director of the BIFAD Staff will serve in an ex officio capacity.~~

Non-federal JCARD members will serve three-year terms. Initial terms of appointment will be for one, two and three years for approximately one-third of the membership, respectively. In the event that a member is unable to complete his/her term a replacement member will be appointed to complete the unexpired term. Federal members will serve at the pleasure of the Administrator of AID.

University and other non-federal members of the JCARD will be reimbursed for travel and per diem when away from home on JCARD business. Reimbursement will be in accord with AID regulations.

Organization and operation

JCARD will have two Co-chairpersons, one from the universities and one from AID. They will be appointed jointly by the chairman of BIFAD and the Administrator of AID. The Co-chairperson from the universities will be expected to spend some time (at least two days each month) on JCARD business at Agency headquarters in Washington.

JCARD will have an Executive Committee consisting of the two Co-chairpersons and three other persons (at least one from AID and one from the universities) appointed jointly by them from among the membership of the Committee, with the Executive Director of the BIFAD staff serving in ~~an ex officio capacity~~. The Executive Committee will assist the Co-chairpersons in developing the agenda for JCARD; will address organizational and procedural matters related to the effective functioning of JCARD; and will take interim actions that may be necessary between meetings of JCARD.

JCARD will hold no less than four and no more than six regularly scheduled meetings each year. Special meetings may be called by the Co-chairpersons with the concurrence of the Executive Director of BIFAD and an AID manager designated by the Administrator.

JCARD will perform a major share of its work through an appropriate set of Expert Panels that will make in-depth studies in areas specified by the Committee and report their findings and recommendations to the Committee. Normally one or two members (including the chairperson) of each panel would also be JCARD members. Except for those panel members who are also JCARD members, the sole criterion of Expert Panel membership will be pre-eminent expertise in the subject matter of the panel.

Expert Panels will be created to provide the JCARD breadth and depth of expertise in the problem and issue areas with which it must deal. The number, size and composition of Expert Panels will be determined by the evolving needs of the Committee. Some panels will be established on a permanent basis to deal with continuing concerns, while others will be created ad hoc to address specific tasks or non-recurring problems.

Members of Expert Panels will be appointed by the Executive Director of BIFAD, upon joint recommendation of the JCARD Co-chairpersons. Individuals appointed to JCARD Expert Panels will serve without pay, but will be reimbursed for travel and per diem when away from home on JCARD business. Reimbursement will be in accord with AID regulations.

The BIFAD staff will provide professional and secretarial support, as required, to the JCARD. The BIFAD Executive Director will designate a BIFAD Staff member to be responsible for organizing and mobilizing the staff and other resources required in support of the JCARD. It is expected that most Expert Panels will meet the needs of one or more AID bureaus, and that those bureaus will agree when the panel is established to provide the necessary staff support. When appropriate, other involved federal agencies, and the universities may also be requested to provide support judged essential to the effective conduct of the work of JCARD or selected Expert Panels.

JCARD is established for an indefinite period of time. Funds required for the effective operation of the Committee will be included in the BIFAD budget.

BOARD FOR INTERNATIONAL FOOD AND AGRICULTURAL DEVELOPMENT

SUPPORT STAFF

The Board for International Food and Agricultural Development Support Staff (BIFAD/S) provides staff support to the Board for International Food and Agricultural Development (hereafter referred to as "the Board") and its subordinate committee - the Joint Committee on Agricultural Research and Development (JCARD). BIFAD/S is subject to the general supervision of the Administrator of the Agency for International Development (AID). Establishment of the BIFAD Support Staff is responsive to the provisions of the Federal Advisory Committee Act, requiring AID to provide staff support to the Board.

The BIFAD Support Staff is headed by an Executive Director who reports to the Board Chairman, who, in turn, advises the Administrator of AID on matters pertaining to Title XII of the Foreign Assistance Act. Control over the operations of the BIFAD Support Staff is vested with the Chairman of the Board.

Functions of the BIFAD Support Staff

1. Monitors for the Board and JCARD all matters pertinent to the Board's responsibilities and activities, vis-a-vis AID and the community of participating universities and other institutions. In addition, provides administrative and professional support to the Board in the performance of the following tasks:
 - a) Increasing university involvement in AID country programs; including:
 - participating in the selection of universities and other Title XII entities to implement Title XII projects, and maintaining a Registry of Institutional Resources to match the needs of the Agency's country missions with available university expertise;
 - participating in the evaluation of selected projects as agreed upon with the country missions concerned;
 - mobilizing in-depth university advice on institution-building and research components of selected country programs at mission request;

- assisting in developing instruments (e.g., memoranda of understanding, joint enterprises, etc.) to increase and improve university participation in country programs; and
- articulating concerns and suggestions of the U.S. agricultural university community about Agency programs overseas.

b) Strengthening university capabilities

- informing universities of the Title XII program and opportunities for their participation, through organization of regional seminars and publication of the BIFAD Briefs;
- assisting the Agency to mobilize universities to engage in development education programs, and encourage broader public understanding of U.S. development assistance programs including those carried out under Title XII;
- reviewing proposals for Agency university strengthening programs, assessing these programs and recommending changes as needed; and
- participating in the development of any new programs for enhancing university capabilities and improving the quality of university participation in Agency international programs.

c) Facilitating cooperation in research, including:

- advising on the substance and size of university collaborative research support programs, contract research programs, and any new types of research modes in agriculture, rural development, nutrition, and related fields;
- participating in developing instruments to enhance university involvement in the work of the international agricultural research centers and other international organizations;

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- recommending priorities in the use of Agency funds as among these various research programs; and
 - assessing progress in selected programs, recommending changes as needed.
2. Maintains the roster of U. S. land grant and other eligible (under Title XII) agricultural universities.
 3. Serves as secretariat and provides administrative services and support for the Board and the JCARD to assure their effective and efficient functioning in participating with and advising AID on food and nutrition programs and related areas; serves as a focal point for contacts by agricultural universities on Title XII, keeping them advised on actual or potential relationship problems.
 4. Develops and maintains effective working relationships and provides information to appropriate AID elements (see below), other U. S. Government agencies and institutions, the Congress, international organizations and financial institutions and the private sector on Title XII activities.

Relationships of BIFAD/S and AID

1. The BIFAD Support Staff will be located in the Office of the Administrator. The Executive Director will report to the Chairman of the Board. The Chairman of the Board, or his designee, will be in contact with the Administrator whenever the issue warrants;
2. BIFAD/S will routinely participate in the Agriculture and Nutrition Sector Councils, and any intersectoral councils, and selectively in the Human Resources and Natural Resources Sector Councils (i.e., when matters of Title XII interest are on the agendas);
3. Sector Councils, S&T and the regional bureaus, will request the assistance of the BIFAD/S as one means of obtaining university inputs to the policy and program advice, sector guidance, etc., which councils will be providing;
4. AID will appoint either Committee members or BIFAD staff to the various work groups it constitutes from time to time to address questions of research and development policy, priorities, long-range plans or important contracting procedures.

Organization and Staffing of BIFAD/S

1. BIFAD/S will be organized in whatever manner is required to accomplish the functions set forth above. The ideal organization will change as workload composition shifts.
2. AID will provide support for the various agreed to JCARD Expert Panels through the AID bureaus most directly concerned.
3. BIFAD/S senior professionals will represent a balance of AID staff and details from the U. S. Department of Agriculture and from universities under the Intergovernmental Personnel Act.
4. The number of Full Time Permanent Tenure (FTEPT) positions will depend on the availabilities of: staff support for Board, JCARD, and Expert Panel activities from AID bureaus, other government agencies, and universities; part-time professionals; details to BIFAD/S from the U. S. Department of Agriculture and under the Inter-governmental Personnel Act; overtime; consultant time; contractual services; and slots within AID staffing limitations.

FINAL REPORT OF THE
JOINT RESEARCH COMMITTEE (JRC)

The Joint Research Committee (JRC) held the first of 43 meetings on July 21-22, 1977. During its history of nearly five years the JRC has been actively involved in development of modes, concepts, procedures and guidelines for the Collaborative Research Support Programs (CRSPs); and has worked closely, but selectively, with the CRSP planning entities. Recently it has renewed and approved a proposal for cooperation between U.S. research institutions and the international agricultural research centers. The JRC has also accorded considerable attention to research needed to meet food production problems in Africa; and a major reason for combining the JRC and the Joint Committee on Agricultural Development is to facilitate development of a coordinated approach to utilizing research results in country development programs.

There follow brief descriptions of the JRC's work in developing CRSP guidelines, advising on the planning and implementation of particular CRSPs, assessing AID and universities' experience with CRSPs, establishing research priorities, identifying and selecting research modes, considering the proposal for a cooperative program with the centers, and addressing other major concerns. Annexes to this report list past and present JRC members, and show funding for CRSPs.

Attached at Annex A is a list of the membership of JRC since its inception.

CRSP Guidelines

Title XII provides for CRSPs, and describes their objective as "... to provide program support for long-term collaborative university research on food production, distribution, storage, marketing and consumption". "Collaborative Research Support" is the generic term applied to those research activities supported jointly by AID and collaborating institutions, and carried out primarily under Section 297(a)(3) of Title XII.

One of the JRC's first tasks was to develop "Guidelines for the Conduct of Collaborative Research Support Activity". BIFAD and AID approved them in October 1977. The Guidelines outline the underlying concepts and general characteristics of desirable approaches for implementing CRSPs. They provide the policies and procedures for involvement of BIFAD, AID, and JRC (and JRC's successor, the Joint Committee on Agricultural Research and Development) for university participation in and AID execution of CRSPs. The Guidelines provide for an institution (called a "Planning Entity") to plan the CRSP, following which an institution "Management Entity") administers it (and is held responsible by AID for CRSP performance). CRSPs link institutions having common interests in organizing programs of research on selected problems, and are jointly funded by AID and these institutions.

The Guidelines delineate the various steps of program planning - exploratory analyses, choice of a planning entity, and selection of participating institutions and the management entity - and describes what BIFAD, JRC, and AID are to do at each step. (Some of the details

were elaborated in a revision of the Guidelines issued in October 1979, which reflected agreements developed by AID and BIFAD over the first two years of experience with the Guidelines.) A final section on characteristics of CRSPs spells out the provisions for forward funding, "jointness" between participating institutions and AID (in financial support, conceptualization, and management), and program and fiscal accountability.

Research Priorities

The JRC has considered research priorities in two distinct phases of its history. At an early stage of its deliberations, the JRC devoted considerable effort to determining the food, nutrition and related needs of people in the developing countries. Inputs from those countries were obtained in the process. In March 1978 the JRC identified twenty subject areas and ranked them according to seven criteria: social demand, technical feasibility, economic justification, institutional preparedness, benefits for the "poor majority", time to achieve payoff, and U.S. universities' relative contributions. BIFAD approved the JRC's recommended priorities and, in turn, recommended them to AID for initial planning efforts using the CRSP mode.

In November 1980, JRC creation of a Work Group on Research Priorities reflected a broadening of JRC concerns beyond its initial emphasis on CRSPs. The Work Group developed a detailed understanding of AID central research activities, contributed to thinking on building institutions and improving technology, and formulated recommendations on the

budget of the then Development Support Bureau budget submission on food and nutrition research.

Planning and Implementing CRSPs

During its first three years, the JRC concentrated its efforts on developing and launching the CRSPs. At every stage of the program process - exploratory studies in the priority areas, selection of the "Planning Entities", review of the plans developed, decisions on the scope and funding of Program Grants for implementation by the "Management Entities" - the JRC has played an active role of a careful monitor and constructive critic.

CRSPs are underway on small ruminant animals, sorghum and millet, beans and cowpeas, tropical soils management, nutrition, peanuts and aquaculture. Attached at Annex B is a table showing funding for CRSP Planning Grants and Program Grants for Fiscal Years 1977-1982. The timing of funding for Planning Grants provides a rough indication of which CRSPs were at the center of JRC attention at any particular time. Exploratory studies underway on water buffalo, hemotropic diseases, and African swine fever point to other subject of JRC attention which may

ultimately be addressed by CRSPs or alternative research modes.

Assessing the CRSP Experience

The JRC has been engaged in continual efforts to improve the effectiveness of the CRSP mode. In June 1980 it sponsored a workshop to review and evaluate experiences in planning, organizational structure and management, and early implementation of CRSPs. Both positive and negative experiences were discussed candidly, with participation from AID, U.S. universities, Brazil, and Peru. It was concluded that the problems encountered - logistics, communications, roles and definitions - were solvable. Subsequently, the JRC created a work group to consider the structure and roles of CRSP boards, technical committees and external evaluation panels.

In January 1982 the JRC participated in a workshop sponsored by AID on the three CRSPs with implementation experience, viz., the Small Ruminant, Sorghum and Millet, and Beans and Cowpeas CRSPs. The purposes of the workshop were to: review accomplishments, air concerns, inform AID personnel about CRSPs, and in general to exchange ideas. Representatives of CRSPs and LDCs were among the participants. Among the issues addressed were: evaluation criteria, JRC interface, forward funding, restructuring mechanisms, extension of research results, AID turnover, financial management, research constraints, modus operandi, AID

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involvement, and relations with international centers.

While the program is still relatively new, the CRSPs have already organized the participation of an impressive array of the leading agricultural scientists in a collective effort to solve critical food production problems of LDCs. Forty-three U.S. institutions, the USDA, fifty countries, and six international agricultural research centers are taking part in the CRSPs now underway. Funding has been shared, with involved U.S. universities contributing close to 40% of the costs, LDC governments including line items in their budgets for activities oriented specifically to CRSPs, and AID providing a critical portion of total outlays.

One of the outstanding characteristics of the CRSPs has been their contribution to the solution of national outreach problems in individual countries. The CRSP mechanism has worked at the national level, with local institutions, local researchers, and often with local resources, being mobilized to develop indigenous capabilities for performing and adapting research. The JRC is proud to have been a small, but crucial, part of the CRSP cooperation effort.

Alternate Models for Organizing Research

With the CRSPs well underway, the JRC has increasingly turned its

attention to other responsibilities set forth in the Title XII legislation: other centrally funded research, regional bureau research, country mission research, and research by the international agricultural research centers. The JRC established a work group in November 1980 to outline alternative research modes, and develop a process for deciding among them. The work group outlined ten modes, formulated selection criteria, and recommended a process to be used by AID and BIFAD in planning and implementing research.

International Agricultural Research Centers

Several JRC members, as well as staff, have visited one or more of the international agricultural research centers. The JRC also contributed to U.S. participation in the second five-year review by the Consultative Group for International Agricultural Research of the centers' programs.

The JRC approved a proposal for a cooperative program between the international centers and U.S. research institutions. This research would produce information urgently needed by the centers to carry out their missions, but which they do not have the capability of handling themselves. Most of the work would take place at the U.S. institutions; where appropriate, some would be carried out at the centers

or in LDC field situations. BIFAD forwarded this proposal to AID for approval and implementation as funds permit.

Other Activities

Among other matters addressed by the JRC, the following are illustrative of the scope of its concerns:

-- Energy. The JRC accorded considerable attention to learning about programs of U.S. and other agencies concerned with energy. A Work Group on Energy recommended establishment of an entity to analyze programs relating to energy in agriculture, planned or underway, and to propose possible research efforts with regard to energy utilization and/or production.

-- Contract Research. A Work Group on Contracts explored the possibility of inventorying research done through contracts, including country-specific research, in consultation with AID regional bureaus.

-- Grains. Triggered by the recommendation of its Work Group on Grains, the JRC started planning for a global workshop on maize. The workshop would review the state of the art on maize production and utilization, identify additional work needed, and consider the necessary division of labor.

-- Research Needed for Food Production in Africa. The JRC

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has discussed at length African research needs. A Work Group reviewed a USDA - AID study of food supply and demand in Sub-Saharan Africa, and developed recommendations for research needed to address declining food production per capita. JRC members and staff have participated in review of the activities of Concerted Action for Development in Africa, a group of six developed countries collaborating on African projects.

-- Research in Northeast Brazil. At the request of the Brazilian National Science Council, JRC staff has been developing a proposal for a cooperative program between U.S. and Northeast Brazil universities, focusing on food production and nutrition priority areas.

-- Cooperation with JCAD. Jointly with the Joint Committee on Agricultural Development, JRC members have participated in regional work groups, as well as work groups on education and training and "women in development".

Recommendations for JCARD Activities

When the new Joint Committee on Agricultural Research and Development become fully operational, its work plans should provide for attention to the following topics, among others:

1. Procedures for evaluation and monitoring of research programs, including CRSPs;

2. Regional and site-specific research, especially in Africa;
3. Transfer and adaptation of research to less developed countries;
4. Collaboration (both technical and financial) on research programs of mutual interest, by AID and other donors; and, within AID, by regional bureaus and the Science and Technology Bureau;
5. Further development of the proposal approved by the JRC and BIFAD for a cooperative program between the international agricultural research institutions; and
6. Continued attention to education, institution-building, and involvement of women in the development process.

Summary

The Joint Research Committee has been an active and effective group serving the BIFAD. Its members past and present, have given unselfishly of their time in assisting to create this exciting new joint venture between universities and AID. The process established for prioritizing research needs, although not perfect, was a major step forward in bringing credibility with a wide range of constituents. This led to the definition and implementation of the collaborative research concept, the so-called CRSP.

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Now it is time to integrate these important programs with the country-specific activities also mandated by Title XII. The Joint Committee on Agricultural Research and Development is a key step in the process of this integration.

Annexes

- A - JRC Membership List
- B - CRSP Funding

JRC MEMBERSHIP

<u>NAME</u>	<u>AFFILIATION</u>	<u>YEARS</u>
Hugh L. Popenoe	University of Florida	1977-82
Frederick E. Hutchinson	University of Maine	1977-82
William R. Pritchard	University of California	1977-82
Ralph Smuckler	Michigan State Univ. (RAC)	1977-82
Clare I. Harris	U.S. Dept. of Agriculture	1977-82
Floyd J. Williams	A.I.D./Agriculture	1977-82
Tony J. Cunha	California State Polytechnic Univ.	1977-81
Lowell S. Hardin	Ford Foundation	1977-79
Burleigh C. Webb	North Carolina A&T State Univ.	1977-79
Charlotte E. Roderuck	Iowa State University	1977-79
Jarvis E. Miller	Texas A&M University	1977-79
Ned A. Ostenso	NOAA/Sea Grant Program	1977-79
Richard A. Baldwin	Cargill, Inc.	1977-79
John R. Balis	A.I.D./Latin America Bureau	1977-79
Irwin Hornstein	A.I.D./Nutrition	1977-79
Ross S. Whaley	University of Massachusetts	1977
Carl W. Carlson	U.S. Dept. of Agriculture	1977
Kenneth R. Farrell	U.S. Dept. of Agriculture	1977
Woodrow W. Leake	A.I.D.	1977
Nicholaas Luykx	A.I.D.	1977
L. Worth Fitzgerald	A.I.D./Near East Bureau	1978-82
Elmer R. Kiehl	University of Missouri	1978-79
Richard R. Newberg	A.I.D./Asia Bureau	1978
Lyle Schertz	U.S. Dept. of Agriculture	1978

JRC MEMBERSHIP (cont'd)

<u>NAME</u>	<u>AFFILIATION</u>	<u>YEARS</u>
Harold Jones	A.I.D./Africa Bureau	1979-80
Dillard Gates	A.I.D./Africa Bureau	1979-80
Donald L. Plucknett	A.I.D./Asia Bureau	1979-80
Joseph W. Willett	U.S. Dept. of Agriculture	1979
Donald R. Mitchell	A.I.D./Asia Bureau	1979
Gerald A. Donovan	University of Rhode Island	1979-82
David M. Daugherty	U.S. Dept. of Agriculture	1979-82
Samuel Kahn	A.I.D./Nutrition	1979-82
Richard Hughes	A.I.D./Latin America Bureau	1980
Handy Williamson, Jr.	Tennessee State Univ.	1980-82
George Cooper	Tuskegee Institute	1980-82
Richard Holland	DeKalb Agricultural Research, Inc.	1980-82
John Ehrenreich	University of Idaho	1980-82
Barbara Underwood	Massachusetts Institute of Technology	1980-82
James Johnston	Rockefeller Foundation	1980-82
Charles Hanrahan	U.S. Dept. of Agriculture	1980-82
Robert Wildman	NOAA/Sea Grant Program	1980-82
Edward Williams	A.I.D./Asia Bureau	1980-82
James Walker (Alternate)	A.I.D./Agriculture	1980-82
W. Phillip Warren	A.I.D./Latin America & Caribbean	1980-82
William H. Judy	A.I.D./Africa Bureau	1981-82

COLLABORATIVE RESEARCH SUPPORT PROGRAM (CRSP)
(in thousands)

		FY 1977	FY 1978	FY 1979	FY 1980	FY 1981	FY 1982
Sorghum/Millet	- program	102	117	-	-	-	-
	- planning	-	-	5000	2500	1858	1600
Beans and Cowpeas	- planning	-	250	-	146	-	-
	- program	-	-	-	715	5000	1100
Peanuts	- planning	-	-	-	367	-	-
	- program	-	-	-	-	-	900
Pest Management	- planning	-	-	150	95	50	-*
Soils Management	- planning	-	-	250	150	-	-
	- program	-	-	-	-	750	2700
Small Ruminants	- planning	119	30	-	-	-	-
	- program	-	4652	2700	3200	650	3200
Fisheries & Aquaculture, Pond Dynamics	- planning	277	6	-	420	-	-
	- program	-	-	-	-	-	650
Stock Assessment	- planning	-	-	-	-	-	350
Functional Implications of Malnutrition	- planning	-	220	-	-	-	-
	- program	-	-	-	-	750	1400
TOTAL CRSPs		498	5275	8100	7593	9058	11900

* Project terminated

FINAL REPORT
THE JOINT COMMITTEE ON AGRICULTURAL DEVELOPMENT
by

J. A. Rigney
May 12, 1982

The Foreign Assistance Act was amended in December, 1975 to include Title XII which was called "Famine Prevention and Freedom from Hunger." The authors of this Amendment were basically developing a strategy for getting the Land Grant Colleges and Universities of the United States more deeply involved in strengthening the institutional infrastructure in agriculture in the developing countries. Title XII provided for the formation of a Board for International Food and Agricultural Development and it authorizes the Board "to create such subordinate units as may be necessary for the performance of its duties", including a Joint Research Committee and a Joint Committee on Country Programs. The latter was formed as The Joint Committee on Agricultural Development and held its first meeting* on July 22, 1977, eighteen months after the passage of the Amendment. This report summarizes the actions and accomplishments of the Joint Committee on Agricultural Development (JCAD) during its first five years of existence.

The Congress specified in the Amendment that "the Joint Committee on Country Programs shall assist in the implementation of the following bilateral activities."

1. "To build and strengthen the institutional capacity and human resource skills of agriculturally developing countries so that these countries may participate more fully in the international, agricultural

*Attached as an annex is a list of the membership of JCAD since its inception.

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problem-solving effort and to introduce and adapt new solutions to local circumstances.

2. "To involve the universities more fully in the international network of agricultural science, including the international agricultural centers, the activities of international organizations such as the United Nations Development Programs and the Food and Agricultural Organization and the institutions of agriculturally developed nations.

3. "To provide program support for international agricultural research centers, to provide support for research projects identified for specific problem-solving needs, and to develop and strengthen national research systems in the developing countries."

Accomplishments to Date

The first year of activities in JCAD were devoted to acquainting its membership with the various activities of AID through its four Regional Bureaus. During the first year, the following major accomplishments were registered.

1. Regional Work Groups were formed to work with the Regional Bureaus in reviewing individual country projects and programs to determine which should be considered under Title XII.

2. An effort was initiated to match projects being proposed by individual Missions with Land Grant university competence and interest. This activity quickly led to a realization that more information was required about individual U. S. university interests, commitment to international activity and ability to participate in various AID activities.

3. A roster of eligible U. S. universities was established and universities were invited to apply for inclusion on the roster by indicating their programs and strengths in agricultural education, research and extension.

4. JCAD responded to a request from BIFAD to develop a procedure for making baseline studies in AID assisted countries to determine the status of the institutional infrastructure and the specific need for further assistance in strengthening those institutions.

5. A Work Group was appointed to look at the training activities sponsored by AID to determine whether these needs were being adequately met under the capital transfer mode of assisting developing countries that was being pursued by AID at that time.

6. The awkward and unsatisfactory modes of contracting for U. S. university participation in AID programs was addressed. It was immediately discovered that AID had a provision for a "collaborative mode of contracting" that was not being used but which had the potential for involving U. S. universities on a more sustained and productive basis. Action was initiated to experiment with this mode of contracting, and its use has now become common place in all of the Regional Bureaus.

7. A set of GUIDELINES for the performance of JCAD under Title XII was developed and adopted.

8. Discussion was started on designing of Strengthening Grants to U. S. universities to assist them in maintaining and improving their ability to participate in AID institution building activities overseas as provided for in Title XII.

By the end of the first year, there was growing concern in JCAD generally that Title XII was not yet understood nor widely accepted within AID. This was particularly noticeable at Mission level where project design would have to include stronger participation by U. S. universities

if Title XII were to be effective. The idea of baseline studies was not receiving interest or support at the Mission level. There was also concern in JCAD and the BIFAD staff that the information available concerning university members on the roster was inadequate to properly match Title XII projects with university competence and interest.

The second year was devoted largely to resolving some of these concerns and to implementing the various actions laid out during the first year. A number of teams were organized to visit missions in the four regions to inform them of Title XII purposes and the potential that Title XII held for enhancing the action of the Missions in their institution building activities. These visits identified a number of problems that were confronting the Missions, and they served a very useful purpose in generating better understanding and greater enthusiasm for bringing universities into a partnership role in the implementation of institution building activities at the Mission level. The Missions urgently requested more assistance in identifying both short term and long term consultants at a time when they were being faced with strong pressures to reduce the size of their staff.

The issues that were addressed during the first two years of JCAD's existence continued to occupy the attention of this group for the remaining three years. There was considerable reorganization within AID and a marked shift in the format for operation of JCAD. There was much turnover in the representation on JCAD, both from AID and the university side. In spite of these debilitating changes, however, the overall accomplishments have been considerable. The accomplishments are characterized by a significant change in the climate for effective university participation in AID's activities, and the feeling of a partnership role which has been generated on both sides.

The major accomplishments during the past five years might be summarized as follows:

A. The provisions of Title XII are now widely understood and appreciated at the Mission level. Most Missions now regard this as a genuine resource which can greatly assist them in their institution building activities. The climate has changed from one of misunderstanding and skepticism to one of seeking help in making it work more effectively. The Administrator of AID is currently urging Missions to make more effective use of Title XII opportunities.

B. The U. S. university community has a much better understanding of AID's programs in the field and the types of assistance which are needed to make these programs more effective. They are re-examining their rationale for being involved in technical assistance activities and are finding a solid base for institutional commitments.

C. A number of instruments have been and are being brought into existence which have the potential for strengthening the partnership between AID and the university community. These include (1) the collaborative assistance method of contracting, (2) technical support to missions, (3) the concept of a joint career core or a dual employment path where faculty members will have employment both in the university and AID, (4) a new technique of Memorandum of Understanding between AID and selected universities that provides a basis for longer term joint commitment to technical assistance activities, and (5) a joint enterprise contracting mode that enables smaller and less experienced universities to become involved.

D. There has been a significant re-emphasis by AID on building the

institutional infrastructure in their agricultural development programs overseas and this is recognized as the area where U. S. universities can be most helpful.

E. AID is taking a new look and is giving new emphasis to the development of human capital as a significant part of its institution building activities. Training programs, both in-country and in the U. S., are being given higher priority in Mission programs.

F. The Registry of Institutional Resources is updated, improved and computerized, and this greatly enhances the ability to match U. S. university competence and interest with Mission program needs.

G. A number of workshops have been held with the university community, both at the annual Land Grant University Meetings and at regional sites, designed to acquaint the university community with the ongoing programs in AID and the opportunities for their participation. This has greatly increased the interest and enthusiasm of the university community in such participation.

H. The Regional Work Groups, as well as the Plenary Sessions of JCAD, have provided an opportunity for both the university community and AID to air problems as they arise and to identify basic issues which require policy attention.

I. The contracting procedures have been greatly improved and such issues as the appropriate role for consortia have been studied. Several basic issues still remain and JCAD continues to look at a number of additional problems in the procurement process.

J. Strengthening Grants have been awarded to fifty-four U. S. universities and this has already enhanced their capability and interest to participate in AID's programs in significant ways.

2/1

K. JCAD has challenged AID's policy of providing a large fraction of their assistance through host country contracts. AID is now reconsidering this policy with a possible view to a stronger inclination toward programs that include grant funds to cover university participation in institution building activities.

The above accomplishments of activities in which JCAD has had a part suggest that we have come a long way toward satisfying the purposes of the Title XII Amendment. This is not to suggest that the entire job has been completed. On the contrary, there are a number of additional issues that should be addressed, and many of those that have already received attention will require continuous action and debate in order to maintain the momentum and to insure that the partnership role does not again become eroded. There is considerable evidence, however, that further changes in the format for JCAD's activities would make its efforts even more productive.

Future Problems to be Addressed

1. Several of the instruments that are in the process of being completed still require considerable work and negotiation between AID and the universities. These should receive continued attention from JCAD and BIFAD.

2. The Strengthening Grant Program is well underway and is providing excellent results. Considerable question is being raised in AID as to the necessity for continuing these grants. There is an urgent need to find ways to continue these grants long enough to enable the successful participating universities to institutionalize their involvement in AID's programs. It is not likely that this will be completed by the end of the first five year period.

3. It is urgent to maintain a forum in which issues and problems can be discussed between AID and the university community and solutions found that have general application throughout the Agency.

4. The Registry of Institutional Resources is being managed on an ad hoc arrangement until all collected data are recorded and computer retrieval programs are perfected. The continued operation and updating of the RIR must be provided for, either in BIFAD or in AID.

5. The national research programs in AID assisted countries are still largely isolated from International Research Centers and from U. S. university research programs. The content and format of their research could be substantially improved if AID programs could resolve the isolation problems and bring those national programs into some kind of productive network.

6. The evaluation of Title XII programs and the development of standards of performance remains a serious problem. A more systematic and standardized approach is needed that builds a body of experience and capacity to use that experience.

7. The systematic evaluation of the status of the institutional infrastructure is yet to be undertaken in most AID assisted countries. The baseline studies were generally unattractive to Missions, but the basic information on which to establish institution building priorities is still needed.

JCAD MEMBERSHIP

<u>NAME</u>	<u>AFFILIATION</u>	<u>YEARS</u>
Jackson A. Rigney	North Carolina State University	1977-82
Linda Nelson	Michigan State University	1977-82
James Noel	PACT, Inc. / CRS	1977-82
Floyd M. Cregger	CARE	1977-81
John S. Robins	Washington State University	1977-81
Sherwood O. Berg	South Dakota State University	1977-79
Richard Merritt	Rutgers University	1977-79
John T. Murdock	University of Wisconsin	1977-79
Lowell H. Watts	Colorado State University	1977-79
James Kirkwood	Fort Valley State College/Georgia	1977-79
Russell Olson	A.I.D./Near East Bureau	1977-79
Harold Robinson	Western Carolina University	1977-79
Lyle Schertz	U.S. Dept. of Agriculture	1977
Richard Myers	Seaboard Allied Milling Corp.	1977
James Storer	NOAA/Marine Resources	1977
Daniel Chaij	A.I.D./Latin America Bureau	1977
Rollo Ehrich	A.I.D./Asia Bureau	1977
Leon Hesser	A.I.D./Agriculture	1977
Anthony Gayoso	A.I.D.	1977
Alfred White	A.I.D./Near East Bureau	1977
Lawrence McGary	U.S. Dept. of Agriculture	1977-78
Ludwig Rudel	A.I.D./Nutrition	1977-78
Hugh Dwelley	A.I.D./Contract Management	1978-82
James K. McDermott	A.I.D./Agriculture	1978-82

JCAD MEMBERSHIP (cont'd)

<u>NAME</u>	<u>AFFILIATION</u>	<u>YEARS</u>
James J. O'Connor	Consultant	1978-79
Alan Ryan	NOAA/Marine Resources	1978-79
William Johnson	A.I.D./Africa Bureau	1978-79
William Faught	U.S. Dept. of Agriculture	1978
William Sigler	A.I.D./Latin America Bureau	1978
Calvin Martin	A.I.D./Asia Bureau	1978
Robert Ayling	U.S. Dept. of Agriculture	1979-82
William S. Hoofnagle	U.S. Dept. of Agriculture	1979-82
David Lundberg	A.I.D./Asia Bureau	1979-81
Howard Lusk	A.I.D./Latin America Bureau	1979
Blair Allen	A.I.D./Latin America Bureau	1980
Donald Plucknett	A.I.D./Asia Bureau	1980
W. T. Richie	Virginia State University	1980-82
Richard Jensen	Univ. of Wisconsin-River Falls	1980-82
Angel Gomez	New Mexico State University	1980-82
Francille Firebaugh	Ohio State University	1980-82
Nancie Gonzalez	University of Maryland	1980-82
Fred Olson	NOAA/International Fisheries	1980-82
Lane Holdcroft	A.I.D./Africa Bureau	1980-82
Albert Brown	A.I.D./Latin America & Caribbean	1980-82
J. Clark Ballard	Utah State University	1980-81
Keith Sherper	A.I.D./Near East Bureau	1980-81
M. Peter McPherson	Vorys, Sater, Seymour & Pease	1980
Allen Hankins	A.I.D./Asia Bureau	1981-82
Robert Morrow	A.I.D./Near East Bureau	1981-82

TENTATIVE MEETING DATES

	<u>BIFAD</u>	<u>JCARD</u>
1982	December 2 (Thursday)	November 30, December 1, (informal) *
1983	--	January 24-26 **
	February 18 (Friday)	--
	--	March 14-16 **
	April 1 (Friday)	--
	--	May 16-18 **
	June 2 (Thursday)	--
	July 22 (Friday)	-- (Budget Recommendation)
	--	August 15-17 **
	September 29 (Thursday)	--
	--	October 10-12 **
	--	--
	December 2 (Friday)	November 30, December 1 *

* One half-day followed by one full day

** Noon to Noon

BIFAD STAFF -- November 1982
Area Code 202
(Rm. 5318 N.S.)

Director, Frederick E. Hutchinson
63-29048
Secretary, Eleanor M. Morrison
Deputy Director - Vacant
Secretary - Betty L. Stevenson

Assistant Director for Operations
John C. Rothberg 63-20228
Administrative Officer
Marie A. Barnwell 63-26449
Program Operations Assistant
Doris L. Dawson 63-29048
Sec'y - Betty L. Stevenson 63-28976

RESEARCH DIVISION
Chief, John Stovall* 63-28532
Agricultural Economist
Wm. Fred Johnson 63-28532
Secretary - Dora V. Jackson
*Senior Staff Member assigned
to JCARD

COUNTRY PROGRAMS DIVISION
Chief, Jiryis Oweis (Act'g) 63-28408
Agricultural Development Officer
Myron Smith 63-28408
RIR COORDINATOR
Elizabeth Ravnholt-Zipser 63-29048
Secretary - Carmen Naranjo

INSTITUTIONAL & HUMAN RESOURCES DIV.
Chief, C. Jean Weidemann 63-29048
Editor, BIFAD Briefs
Mary T. Lester 63-29048
Secretary, Alice E. Woodard

SCIENCE AND TECHNOLOGY SECTOR COUNCILS
and the
JOINT COMMITTEE ON AGRICULTURAL RESEARCH AND DEVELOPMENT

Under AID General Notice dated November 17 and issued November 25, 1981, Senior Assistant Administrator Brady announced formation of six Science and Technology Sector Councils. A copy of the Notice and Attachment are provided for reference. Of greatest relevance to the JCARD are the Agriculture, Nutrition and Human Resources Councils but interests of the Energy and Natural Resources, Population and Health Councils cannot be ignored.

The Councils were established to provide "an orderly mechanism for advising the Agency and its bureaus on all science and technology matters." This includes matters of policy, strategy, and program and project development; personnel requirements, recruitment and selection, training and career development; science and technology priorities; and related matters. The Councils thus provide the mechanism internal to AID for dealing with science and technology concerns.

The BIFAD charter and attached description of the JCARD have been provided. As defined in the attachment, the JCARD role is one of interfacing the Agency and the universities and other Title XII resources at the operating level. It facilitates the development of and access to these major science and technology resources and serves as a mechanism for addressing and resolving issues of mutual concern in the Agency/Title XII institutional working relationship.

Thus, the Sector Councils deal with science and technology matters internal to the Agency (Policies, Strategies, Programs, Personnel, Priorities, etc.) whereas the JCARD focuses on improving the relationship between the Agency and a major, if not the principal, source for dealing with those same science and technology issues in program implementation. And the built-in linkage via the Agency membership on the JCARD should facilitate both activities (six of the seven AID members of JCARD are the core members of the Agricultural

Sector Council -- the central focus of JCARD concerns).

This opportunity for jointly addressing concerns in our technical assistance efforts in developing countries is unique. We surely should capture it to the benefit of shared clientele -- the poor in the developing countries.

Attachments: a/s

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UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D C 20523

#10 general

AID GENERAL NOTICE
S&T
November 17, 1981
Issue Date: 11-25-81

SUBJECT: Science and Technology Sector Councils

In announcing the establishment of the Bureau for Science and Technology on June 30, 1981, the Administrator re-emphasized the Agency's commitment "to an enhancement of technical assistance aimed at increasing the capability of developing countries to solve their own problems." To carry out this commitment, he asked me as the Senior Assistant Administrator for S&T to take the leadership in exploring ways to give "greater emphasis ...to the Agency's science and technology capabilities and to the effective use of these capabilities in planning and implementing Agency programs both in Washington and in the field."

In reviewing existing Agency mechanisms involving the S&T Bureau and other bureaus' technical personnel, I found that the Technical Program Committee for Agriculture (the TPCA) and its related personnel advisory panel (the APAPM) had been very effective in involving the Agency's agriculturalists in policy, program and related personnel management matters. (Informal groupings of technical personnel in other areas had undertaken similar approaches.) Thus, I concluded in consultation with technical managers from the Regional, PPC, and S&T Bureaus that the TPCA would serve as a model for Sector Councils in all of the major science and technology areas.

Attached is a statement of the conceptual framework for the six Sector Councils which are established, effective immediately, for the areas of: Agriculture, Nutrition, Health, Population, Human Resources, and Energy and Natural Resources. Chairpersons (non-voting) for each of the Councils and core membership named by the cognizant Assistant Administrators are as follows:

Agriculture: John S. Robins, Chairman, A. L. Brown (LAC/DR), Robert Morrow (NE/TECH), Allen Hankins (ASIA/TR), Lane Holdcroft (AFR/DR), Douglas Caton (PPC/PDPR, Morris Whitaker (BIFAD Support Staff), and Donald Fiester/Jerome French (S&T Bureau).

Nutrition: John S. Robins, Chairman, Barbara Turner (NE/TECH, pro tem), Lawrence Heilman (AFR/DR), Harold Rice (ASIA/TR), Linda Morse (LAC/DR), Judith McGuire (PPC/PDPR), and Martin Forman (S&T Bureau).

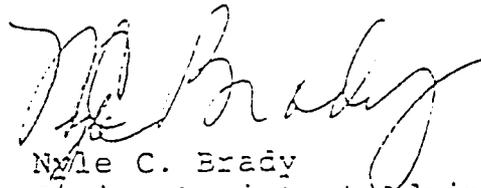
Health: John Jarrett Clinton, Chairman, Barbara Turner (NE/TECH), James D. Shepperd (AFR/DR), George Curlin (ASIA/TR), Linda Morse (LAC/DR, pro tem), Abby Bloom (PPC/PDPR) and Clifford Pease (S&T Bureau)

Population: John Jarrett Clinton, Chairman, William Trayfors (AFR/DR), Maura Brackett (LAC/DR), Michael Jordan (ASIA/TR), Lenni Kangas (NE/TECH), Kathleen Peipmeier (PPC/PDPR) and Joseph Speidel (S&T Bureau).

Human Resources: Ruth Zagorin, Chairwoman, Frank Method (PPC/PDPR), Howard L. Steverson/ Lane Holdcroft (AFR/DR), Thomas McDonough/ John Lewis (NE/TECH), Frank Mann (ASIA/TR), Kenneth Martin (LAC/DR), and David Sprague (S&T Bureau).

Energy and Natural Resources: Leonard Yaeger, Chairman-pro tem, Robert Ichord (ASIA/TR), Stephen Klein/Albert Printz (AA/PPC), Robert Otto/Carl Duisberg (LAC/DR), John Blumgart (AFR/DR), Barry Heyman (NE/TECH), and Alan Jacobs (S&T Bureau).

The Chairperson for each Council has been designated in consultation with members of the respective councils and in each case is the head of the S&T Directorate for the sector. The Sector Councils' operations will be evaluated after a year's experience, i.e., in November, 1982. ✓



Nyle C. Brady
Senior Assistant Administrator

Attachment:
Science and Technology Sector Councils

DISTRIBUTION:
AID List H, Position
AID List B-1, Position 8

Attachment to AID General Notice

SCIENCE AND TECHNOLOGY SECTOR COUNCILS

To provide an orderly mechanism for advising the Agency and its bureaus on all science and technology matters, S&T Sector Councils are being established. The following guidelines shall apply to the organization and function of these Councils.

1. S&T Areas of the Councils

Initially there shall be six Councils:

- a. Agriculture
- b. Nutrition
- c. Population
- d. Health
- e. Energy and Natural Resources
- f. Human Resources

2. Membership

Core membership of the Councils will consist of the chief professionals in each sector from the four regional bureaus, PPC, and the S&T Bureau. Membership of other bureaus/offices will be invited where appropriate (e.g., BIFAD on the Agriculture Sector Council, Food for Peace and Voluntary Assistance on the Nutrition Council, etc.) and as recommended by the Council's core membership, or as requested by FVA based on its review of Council agendas. (The agenda for all Council meetings will be sent routinely to FVA.)

- a. Chairmanship - Each Council's Chairman will be selected by the Senior Assistant Administrator for S&T based on consultation with Council members.
- b. Executive Secretary - In general, the Executive Secretary will be provided by the Science and Technology Bureau, although exceptions may be made in specific cases.

3. Frequency of Meetings

It is expected that the Councils will meet as often as necessary but at least once a month.

4. Function/Role

- a. Agency Sector Policies - The Councils, pursuant to the guidance of PPC, will be the responsible working level for the identification, analysis, discussion and resolution of technical issues contained in drafts of AID's Sector Policy Papers. Such work will be performed utilizing technical resources within the Agency, or from outside where indicated and necessary, and shall be completed in a timely fashion. Upon completion of such technical review, PPC shall prepare the final drafts and circulate them to interested bureaus and offices for formal Agency clearance.

b. Agency Sector Strategies - The Councils, pursuant to the guidance of the S&T Bureau, will be the responsible working level for the development of global sector strategies including the identification, analysis, discussion and resolution of technical issues. Such work will be performed utilizing resources within the Agency, or from outside where indicated and necessary, and shall be completed in a timely fashion. After completion of the first drafts by the Councils, the S&T Bureau shall prepare the final drafts and circulate them to interested bureaus and offices for formal Agency clearance.

c. Program and Project Development - The Councils by their very membership and access to scientific and technical people across the Agency can be very helpful in assisting all bureaus in improving the technical aspect of the programming process. While, historically, individuals with technical responsibilities in one bureau have sought out their colleagues in other bureaus for technical advice and expertise, the Councils offer a way to regularize and legitimize that consultative function without impinging on the program and project review process which is officially delegated to the several bureaus.

The review and advisory mechanism would operate in the following fashion:

(1) CDSS Stage - Upon agreement of the member representing a particular regional bureau the Council will review technical sectoral portions of selected CDSSs. Advice will be provided on the quality of the technical sectoral portions of the CDSS, on its general conformity to the Agency's sector global strategy and its relationship to technical programs in other countries within and outside the region. These reviews will be accomplished within a reasonable time frame established by the concerned bureau to permit timely formal action on the CDSS.

The Council may also determine that it wishes to undertake other, broadscale studies of the technical issues involved in long-term Agency program planning, and upon agreement of the bureaus, may conduct those studies.

(A note of caution: Since there are many CDSS documents, and even with the proposed changes allowing a CDSS to remain "in force" for up to five years, the Councils must exercise great discretion and discipline to assure that their valuable time is spent addressing major and pressing issues, rather than merely intellectually stimulating ones.)

(2) ABS Stage - The Council shall review all ABSs from the S&T Bureau and the technical aspects of selected ABSs from other bureaus, as agreed to by the member representing the concerned bureau. Advice and counsel shall be provided in a timely manner consistent with the concerned Bureau's formal

review and approval processes. The Council review of S&T Bureau ABSs may serve as the formal review mechanism for these ABSs.

In such cases, the Council's membership would be augmented by other appropriate persons from PPC, OMB, etc.

(3) PID Stage - The Councils will be involved in providing technical advice regarding IDs in several ways:

(a) The Council will review PIDs of Washington-funded scientific and technological projects and the technical aspect of other PIDs referred to it by the Council representatives of the concerned bureaus. Again, the advice and counsel of the Council must be provided in a timely manner so as not to interfere with the concerned bureau's formal PID review process. The review of the S&T Bureau PIDs may serve as the formal review of these PIDs. In such cases, the Council's membership would be augmented by other appropriate persons from PPC, SER, etc.

(b) With agreement of the concerned bureau representative to the Council, the Council may monitor the development of a few selected projects through the PID and PP stage and beyond on a "Case Study" basis.

These projects may be identified from the Congressional Presentation and other information assembled by the Council with the assistance of PPC and will conform to certain general criteria:

- The proposed project represents a new scientific or technological initiative; and/or
- The proposed project, while initiated by a single regional bureau, has potential applicability in other regions; and/or
- The proposed project represents an existing high risk intervention now applied for the first time in this country's context; and/or
- The proposed project is a Mission-sponsored developmental applied research project; and/or
- The proposed project is part of a worldwide AID strategy.

The Council's role in these "Case Study" projects will be to provide ongoing technical analysis and advice on project design, implementation and evaluation in order to inform and illuminate the AID project process. These projects may also lend themselves to the Agency's Impact Evaluation process.

(4) Project Paper Stage - The Councils will function in regard to PPs in a manner similar to their role with PIDs.

(5) Council Reporting - All advisory reports that are issued as a result of the above described procedure should flow from the Council through the representative of the concerned bureau to the Assistant Administrator of the concerned bureau and the Senior Assistant Administrator for S&T as the Administrator's appointed representative on all S&T Matters. In carrying out these and other activities, the Councils will have the flexibility to establish their own agenda and internal operating procedures.

5. Personnel

Each Council will work with the Office of Personnel Management on science and technology personnel matters, including workforce requirements, recruitment and selection, training requirements, career development, etc. (Mechanisms and procedures for these working relationships will be developed by the S&T Advisory Group and the Office of Personnel Management for all Councils.)

6. Evaluation

It is intended that the Councils and their operation will be evaluated by the members of the Science and Technology Advisory Group after one year of operating experience.

October 15, 1981

BIFAD RECOMMENDATIONS
Apportionment of Funds
Agency for International Development
Fiscal Year 1984 Annual Budget

The Title XII Amendment to the Foreign Assistance Act of 1961 charges the Board for International Food and Agricultural Development (BIFAD) with the duty of making recommendations to the Administrator of the Agency for International Development (AID) on the apportionment of funds made available by the Congress for the conduct of the U.S. bilateral development assistance program.¹ This document constitutes the BIFAD's discharge of that duty for Fiscal Year 1984.

The recommendations are presented in three parts:

1. review, evaluation, and commentary on BIFAD's recommendations on the apportionment of funds in prior fiscal years.
2. basis for Fiscal Year 1984 recommendations.
3. analysis, conclusions, and recommendations.

Recommendations in Previous Years

The BIFAD has made recommendations on the apportionment of funds to the Administrator of AID since its activation in late 1976. Recommendations for FY 1979 were made informally through BIFAD participation with AID senior executive

¹ Foreign Assistance Act of 1961, as amended; Title XII, Section 298, (c), (6)

staff in their final reviews of the Agency's proposed budget. In subsequent years, formal recommendations were presented to the AID Administrator.²

Basis for Previous Recommendations

Previous recommendations were based on the participation of BIFAD, BIFAD staff and BIFAD Joint Committee members in the Annual Budget Submission (ABS) review process and independent staff analyses of the Agency's proposed utilization of funds. Through involvement in this process, the BIFAD became convinced that the Agency could increase its contribution to accelerated economic development, sustained growth and social progress in the developing nations by judicious budget reallocation. BIFAD felt that the Agency's apportionment of funds at the time of the enactment of the Title XII Amendment and its projected fund allocation in subsequent years was not sufficiently in accord with programmatic guidance provided the Agency by the Congress in that Act.

This conclusion was based on (a) the role which agriculture must play in the general economic development of traditional, less developed nations, (b) the need for greater scientific and technical knowledge if the rural sectors in such societies are to modernize sufficiently to contribute to accelerated progress, (c) recognition of the variability of rates of return among

²BIFAD; Budget Recommendations, Recommendations of the Board for International Food and Agricultural Development (BIFAD) on the AID Food and Nutrition Program for FY 80. Agency for International Development, Washington, D.C., October 1978.

BIFAD: Budget Recommendations: 1981, Recommendations of the Board for International Food and Agricultural Development on the AID/ISTC Food and Nutrition Program for FY 1981. Agency for International Development, Washington, D.C., October 1979.

BIFAD: Budget Recommendations: 1982, Summary; Board for International Food and Agricultural Development, August, 1980.

BIFAD; Letter from Dr. Clifton R. Wharton, Jr., Chairman, BIFAD to Mr. M. Peter McPherson; Administrator, AID. August 20, 1981.

alternative investments in the agricultural sector, and (d) the comparative advantage of the United States (relative to other national, international, and multinational donors) in providing certain of the many alternative external inputs into agricultural development in the LDC's.

Summary of Previous Recommendations

The BIFAD's annual recommendations to the AID Administrator on the utilization of Agency funds have spoken consistently to a few major issues. These have included recommendations to:

1. Increase the relative share of AID's development assistance budget allocated to food, nutrition, and agricultural development.
2. decrease the percentage share of the food, nutrition, and agricultural development budget allocated to capital transfer and short-run development projects.
3. Increase investment in activities designed to accelerate human capital formation which can contribute to the rural sectors of the developing nations.
4. Increase investment in activities designed to create, develop or strengthen institutional and organizational capacities in areas fundamental to the development and maintenance of a highly productive agricultural sector with emphasis on agricultural research, education, extension, public policy and similar basic public institutions.
5. Increase support of in-country, collaborative, and U.S.-based research necessary to expand and diffuse useful technology, knowledge, and information for developing countries.
6. Increase academic degree education and specialized technical training opportunities for developing country agriculturalists with emphasis on scientists, educators, policy makers and practitioners.

7. develop, adopt, and fund measures to strengthen the capacity of Title XII universities to participate and contribute more effectively in AID's agricultural development assistance initiatives.
8. Increase the proportion of direct hire AID staff with professional training and experience in the agricultural and closely related sciences.

Agency Responses

The Agency's responses to the BIFAD's budgetary and associated programmatic recommendations have tended to be positive albeit somewhat slow.

Delays in implementing recommendations were not unexpected. They have been associated with (a) four completely different sets of AID leadership during BIFAD's six-year tenure, (b) extended time lags built into AID's policy, programming, budgetary and program approval processes, and (c) major policy shifts required to alter early programmatic responses to the "New Directions" legislation of 1973.

On balance, it is perhaps surprising that the Agency has been able to respond to the Title XII Amendment and BIFAD budget recommendations without greater delays than those which have occurred.

The Agency has:

1. Increased nominal investment in agriculture, rural development, and nutrition activities funded through the Section 103 appropriation accounts from (about) \$500 million in FY 1975 to \$700 million in FY 1983. However, given inflationary erosion over the period, real investment in this sector has declined.
2. maintained but not increased the relative share of functional development assistance resources allocated to agriculture, rural development and nutrition; approximately 56% in 1975, 1976, and 54% in

1977, 1978, 1979, 1980, 1981, 1982, and 1983. The Agency appears to have had little success in increasing funding of agricultural development activities since the passage of Title XII.

3. through shifts in program, increased investment in activities falling within the broad definitional scope of Title XII programs from some \$100 million in 1976 to over \$650 million (projected) in 1983.
4. placed greater emphasis, recently, on the development of indigenous agricultural education, research, extension, and similar basic institutional capacities.
5. In cooperation with the BIFAD and Title XII institutions, conceived, structured, planned, funded and implemented several Collaborative Research Support Programs (CRSP's) as authorized in the Title XII Amendment.
6. In cooperation with the BIFAD, conceived, structured, planned, funded and implemented the Title XII University Strengthening Grant Program as authorized in the Title XII Amendment.
7. Jointly with the BIFAD, devised and is in the process of implementing several innovative mechanisms for improving the technical efficiency of Title XII university participation in the U.S. bilateral agricultural development assistance program. Included are the Collaborative Assistance Mode of contracting, the Memorandum of Understanding, the Joint Career Corps, Technical Support to Missions and the Joint Enterprise Method of Contracting.

Of great potential significance to improved resource use are (a) AID Administrator McPherson's address to the 1981 annual meeting of the National

Association of State Universities and Land Grant Colleges,³ (b) FY '84 Budget Guidance to the Agency⁴ and (c) his proposed Title XII Policy Directive to USAID Missions.⁵

The Agency does not appear to have been completely successful in responding to a number of budgetary and related recommendations of the BIFAD. Important among these are recommendations to:

1. sharply increase investment in education and training programs for LDC agriculturalists;
2. reduce funding for capital transfers and short-term development projects.
3. Increase the proportion of its direct hire professional staff trained and experienced in the agricultural and closely related sciences and to utilize such professionals at all levels of responsibility within the Agency;
4. provide opportunities and adequate long-term budgetary support to bring the scientific capacity of the U.S. agricultural research establishment to bear on critical technical, economic, policy and social constraints to accelerated agricultural development in the developing nations.

³McPherson, M. Peter. Remarks Before the National Association of State Universities and Land Grant Colleges; November 10, 1981.

⁴McPherson, M. Peter. Telegram from McPherson, FY '84 Program and Budget Guidance, to all AID Missions; April 27, 1982.

⁵McPherson, M. Peter. Policy Directive on Title XII; S&T/RJR Draft Submitted for discussion at BIFAD Meeting; June 24, 1982. (In process).

FY '84 BUDGET RECOMMENDATIONS

The Agency has provided the BIFAD opportunity to study the FY '84 proposed programs and associated budget requests from its USAID Missions as well as those for programs managed in Washington. This is greatly appreciated.

The BIFAD Staff, Chairpersons of its Joint Committees and others have studied these materials as they have been generated. Agency personnel have been most generous in providing documents, data, analyses, information, and insights. Staff availability, time, and data limitations made complete analysis of all aspects of the FY '84 proposed budget impossible. The review of these materials, however, has been adequate to permit the BIFAD to raise a few basic issues and questions and to make certain recommendations vis-a-vis the utilization of funds which the Congress makes available for the Agency's use in Fiscal Year 1984.

Development Assistance Budget Request

The BIFAD is concerned that the Agency's FY '84 budget request may be held at the same dollar level as in FY '83 and that the amounts allocated to the functional development assistance and the food, nutrition, and agricultural development assistance accounts may be essentially the same as those for FY '82 and FY '83.

Given reasonable projections of inflation rates over the next few years, this means that the United States' bilateral development assistance to the poor nations will not grow but rather shrink by a significant amount. For substantive reasons, the BIFAD believes that this would be prejudicial to both the long and short-term national interest.

The world of which the United States is a part appears to be in the most unsettled state of any period since World War II. While the surfaced issues

tend to be ideological and geopolitical in nature, the truly dangerous threat to national and world security simmers immediately below the surface in the vast cauldron of poor, malnourished, disenfranchised people in the developing nations. In the judgment of the BIFAD, this is the single most important phenomenon with which present and future Administrations and Congresses must deal if their well-placed concerns about national security are to be effectively addressed.

The U.S. economy, like that of much of the rest of the world, is depressed. It faces many obstacles to long-term recovery and continued growth. Important among the complex factors involved is the lack of reliably expanding effective demand for the products of U.S. farms and factories. The greatest potential source of this rests in the huge and rapidly expanding populations of the developing nations. This potential will be realized only if these billions rise above abject poverty and enter the monetized economy. The U.S. economy will benefit greatly if this happens; it will suffer equally if it does not. Herein lies the significant economic self-interest justification for expanded U.S. development assistance to the developing nations.

Despite significant improvements in aggregate world food production, there remains an impressive number of nations where this has not occurred and where per capita food production is in fact declining. Many of these are characterized by high risk agricultural environments. There are in today's world billions of people to whom statistics on realized and potential increases in food output are meaningless. They do not and, ceteris paribus, will not have the where-with-all to access food through the market place. Their levels of nutrition and, in many cases, their very survival rests squarely on archaic technology, the vagaries of the weather and other natural phenomena, and this is a slender thread.

Yet, the value system of the American people dictates that our nation come to the aid of people everywhere in times of need. This deeply held tenet of our society may be satisfied in either of two ways. One is to provide food and other assistance directly from current production, or from the world's larder. The other is to assist farmers and others in high-risk, food-precarious nations to increase agricultural resource productivity to the point where it is technically and economically feasible to reduce substantially year-to-year food production variations and to maintain food reserves to carry them through periods of food shortages which, without shadow of doubt, will occur. There is no question but what the latter option serves best our national interests.

Given (a) the national security, economic self-interest and humanitarian objectives which undergird the U.S. foreign assistance effort, (b) the significant positive relationship between the attainment of these multiple objectives and accelerated economic development in the LDC's, (c) the role which agricultural modernization must play in overall economic development, (d) the unique capacity which the United States has to contribute to accelerated agricultural and general economic development abroad, and (e) the resources which the Administration is expected to request for other means of achieving national security and related objectives, the BIFAD concludes that nominal-terms "straight lining" and/or real-terms diminution of budget support of foreign developmental assistance would be counter to the short and long-term national interest.

RECOMMENDATIONS.

The BIFAD is fully aware of the difficult fiscal issues which the Administration, the Congress, and the American people face. However, it believes that the Agency should give serious consideration to the suggestions that:

1. the Administration make its FY '84 budget request to the Congress for support of the AID development assistance program significantly greater than its FY '82 and FY '83 budgets;
2. the bulk of such increases as may be forthcoming be allocated to the Agency's agriculture, rural development and nutrition program;
3. such increases be made available either from additional appropriations or from reallocation of funds from other

The BIFAD is prepared to support and promote these and related recommendations with the President, the Chairpersons of the Congressional Committees most directly concerned, and other as appropriate. The BIFAD invites the Agency to join it in this initiative.

Human Capital Formation through AID Participant Training

The BIFAD's review of AID's proposed FY '84 and prior year programs included investments which AID is making in the formation of human capital in the agricultural sectors of the LDC's through participant education and training.

Worldwide, AID supported 728, 641, 688, and 714, LDC agriculturalists in U.S. academic degree programs in 1977, 1978, 1979, and 1980 respectively. The Agency supported 398, 457, 524, and 765 agriculturalists from the LDC's in specialized technical training programs during the respective periods. Academic degree participants declined by 12% from 1977 to 1978 and increased slightly in 1979 and 1980 and probably increased slightly in 1981 and 1982. Since these numbers consist of participants in residence during the period and virtually all graduate level programs take more than one year, the number of

Individuals completing degree programs was considerably lower. Technical training participant numbers grew substantially from 1977 through 1980 and probably increased in 1981 and 1982. (Table 1).

Table 1: Number of Developing Country Participants in Residence*; AID-funded Academic Education and Technical Training Programs In Agriculture, Rural Development and Nutrition: 1977-1980

Region	1977		1978		1979		1980	
	Acad. Degree	Tech.	Acad. Degree	Tech.	Acad. Degree	Tech.	Acad. Degree	Tech.
Latin America & Caribbean	154	58	105	70	82	142	80	134
Africa	361	128	381	174	399	152	442	221
Near East	36	98	40	135	70	149	73	246
Asia	197	114	115	78	137	81	119	164
ALL REGIONS	728	398	641	457	688	524	714	765
Change from Previous Year	--	--	-12.0%	+14.8%	+7.3%	+14.7%	+3.8%	+46.0%

Source: AID/OIT

*Includes AID Contract and non-contract participants.

Note: Preliminary data for 1981 and 1982 indicate that there was, at most, a slight increase in participant trainees in these periods.

The BIFAD has great difficulty in understanding why participant education and training numbers are so low. USAID Mission personnel are aware of the human capital dilemma; equally, AID/W is cognizant of the fact. While AID funds are limited, they could be reallocated from other proposed uses. One possible reason is that, in some countries, there are insufficient individuals prepared to engage in academic degree programs in the U.S. If this is the

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bottleneck, innovative ways to break it must be found. Policy signals from AID leadership in this respect may not be clear. This is easy to correct. With the rigid ceilings on direct hire staff and the demise of education and training offices in Missions, they may not be able to cope with the development and management of "blanket" participant training programs. There are viable alternatives to the relaxation of such constraints if they exist. It may be that criteria for Agency evaluation of Mission and Mission staff performance are such that use of staff time and funds for this purpose receives "low grades" and, therefore, low priority. Again, there are a number of ways in which this constraint might be relaxed.

In this respect, the BIFAD calls the attention of the Agency to the following:

1. The rates of return to investment in the formation of human capital through appropriate education and training tend to outpace by far the returns to virtually all other investments.
2. Developing nations are characterized by a dearth of agricultural scientists, educators, technicians, and practitioners.
3. Few AID-client countries have anywhere near the indigenous capacity required to train the numbers and kinds of agricultural scientists, educators, analysts, policy makers, and practitioners required to catalyze modernization and support sustained growth of their rural economies.
4. Most external interventions in agricultural development in the LDC's, whether these be capital transfer, action-oriented development projects, research, or institution building activities are based on the implicit assumption that there are or will be a sufficient number of appropriately prepared host country agriculturalists to utilize

effectively and efficiently resource transfers or to assure the continued growth and development of public and private institutions when expatriate agriculturalists are withdrawn. If this assumption turns out to be false, it will have extremely dire consequences on all external development assistance efforts of AID and other donors as well. The danger of investing in "houses of cards" associated with this fact is real.

5. The American higher education system, in general, and the Title XII institutions, in particular, constitute a large and unique resource for providing relevant educational opportunities of excellence for qualified students from the LDC's. In addition, they afford an environment in which intangible but highly important professional philosophies, doctrines, and understanding essential to the development of nations may be formed.
6. Short-term technical training is no substitute for professional education. To substitute the former for the latter on the basis of it being less costly, more useful, or more appropriate is to beg the issue. Both have their utility in different stages of development. However, it is clear that the latter is most productive in primary and secondary stages of agricultural modernization. It is also clear that the effective demand for agricultural scientists, educators, and practitioners is some exponential function of bonafide development.
7. For technical and a variety of other reasons, it is important to have a significant fraction of the agricultural leadership in the LDC's educated in the American system of higher education. Other nations, particularly the USSR, seem to understand this more clearly

does the U.S.⁶

The BIFAD and its subordinate units receive a considerable amount of information relative to this issue from universities involved in Title XII programs abroad, AID Mission personnel, host country nationals, international organizations, foundations, and the like. While the anecdotes are case-specific, the message is always the same--a serious shortage of qualified host country professionals to assist with and assure effectiveness, continuity and long-term viability of agricultural development assistance interventions.

These informal pieces of information are strongly supported by systematic inquiries into professional manpower requirements of the LDC's. In a recent study⁷ ISNAR and IFPRI researchers constructed normative estimates of the total training requirement by 1990 for agricultural scientists to staff national agricultural research systems in 51 developing and middle income countries. They conclude that Asian countries will need to train about 91,000; North Africa and the Middle East, about 1300; Sub-Saharan Africa about 9000 and Latin America, about 12,000. The total estimated scientific training requirements of over 113,000 is for agricultural research. Education, extension, private sector, government and other requirements are not included. Even with full recognition that these are normative estimates and that there is an important difference between what "ought to be" and what "will be" the numbers are impressive and informative. When cast beside the Agency's current levels of participant education and training, they are shocking!

⁶Cf. Owen, Richard; Russia Presses for More Third-World Students. The Chronicle of Higher Education, Vol. XXIV, No. 20, pp. 17, July 14, 1982.

⁷Oram, P.A. and Bindlish, V.; Resource Allocations to National Agricultural Research: Trends in the 1970's. ISNAR and IFPRI, The Hague, Netherlands and Washington, D.C.; November, 1981.

In light of the above, the BIFAD concludes that the Agency's allocation of funds to the education and training of agriculturalists from the LDC's falls far short of that which would maximize the long-term impact of the U.S. bilateral agricultural development assistance program.

RECOMMENDATIONS.

The BIFAD recommends that:

1. the Agency make the creation of an adequate and appropriately trained core staff for each LDC's basic agricultural institutions one of its primary missions between now and the year 2000;
2. the proposed FY'84 and subsequent year budgets be revised to provide funds for increases in participant training necessary to achieve this goal;
3. the bulk of such funds be utilized to support academic degree training in the United States and in third countries as appropriate;
4. the funds to accomplish this end be reallocated from lower productivity uses in the event that new funds cannot be obtained;
5. the Agency instruct its Missions to place priority emphasis on the human capital formation components of all contractual operations and to develop "blanket" participant education and training programs consistent with long-term host country agricultural manpower requirements;
6. the Agency give serious consideration to revising its present method of funding participant education and training to assure Mission response to this need. Central funding of participants as compared to Mission funding may be desirable.
7. the Agency and BIFAD, in consultation with the university

community, develop innovative, cost-effective opportunities for the involvement of selected Title XII universities in the participant training process including assessment of LDC requirements for agriculturalists; identification and preparation of LDC personnel for education abroad; and placement, monitoring progress and post-participant training career and program development.

Centrally Funded Research and Technical Assistance

Agricultural development begins with technical change. It broadens, deepens, and impacts on other economic sectors in response to such change. The process is sustained by the continuous infusion of output-increasing, cost-decreasing technology.

Agricultural development in the LDC's is constrained by a paucity of improved technology and associated information and knowledge. Without exception, the poor nations lack sufficient indigenous capacity to conduct the research to create the stream of technology requisite to accelerated agricultural and general economic development. Such indigenous capacity must be created.

To accomplish this end, massive investments in human capital formation and institutional development will be required. Under the best of hypotheses, this will take decades. In the interim, some fraction of the extensive agricultural research capacity existing outside the developing nations will need to be mobilized and utilized for the provision of knowledge, information and technology applicable to the relaxation of critical constraints to increased agricultural output, improved resource productivity and income levels in the LDC's.

Given the site-specific characteristic of much agricultural technology,

some of this external research capacity must be engaged on a site by site basis. Through its USAID Mission structure, the Agency appears to be increasing its use of such external resources for this purpose.

However, certain constraints to accelerated agricultural development are common to various groups of LDC's. Such constraints may be addressed through engaging external agricultural research institutions in a non-site-specific framework. The Agency's experience with the International Agricultural Research Centers, centrally-funded contract research, 211-d research grants and the Collaborative Research Support Program attests to the effectiveness of this approach.

Given the way in which the Agency organizes its operations and allocates its resources, there is one principal way in which scientific capacity external to the LDC's may be mobilized to address technical and other constraints to agricultural development which cut across some spectrum of the poorer nations. This is through the Agency's centrally-funded research program housed largely in the Bureau for Science and Technology.

A well-designed and appropriately-funded portfolio of centrally-funded research and technical assistance activities is of paramount importance to the attainment of AID's objectives. In consequence, the BIFAD examined rather carefully recent, current, and proposed activities in this quarter.

The Agency's allocation of funds to the Agriculture, Rural Development and Nutrition (ARDN) account of the Bureau for Science and Technology (and predecessor bureaus) has tended to be small both in absolute terms and relative to its total investment in agricultural development. From 1977 through 1982, it has averaged about 9.3 percent of the total ARDN budget. Over this same period, funds allocated to this account have increased at about 10% per year, (Table 2).

Table 2: Actual and Estimated Budget Levels for Centrally Funded Agriculture, Rural Development and Nutrition Activities; AID; FY 1977-84*.

ACTIVITY	FISCAL YEAR						
	1977	1978	1979 (\$000,000's)	1980	1981	1982	1983
Internat'l Agricultural Centers (IARC's)	\$18.10 37.3%	\$21.40 45.0%	\$24.80 49.4%	\$29.00 52.4%	\$36.10 59.7%	\$41.90 57.2%	\$48.30 62.6%
Internat'l Fertilizer Development Center (IFDC)	\$ 1.15 2.4	\$ 4.00 8.4%	\$ 4.00 8.0%	\$ 4.00 7.2%	\$ 4.00 6.6%	\$ 4.00 5.5%	\$ 4.00 5.2%
Asian Vegetable Research Center	--	--	\$.66 1.3%	\$.80 1.1%	\$.70 1.1%	--	--
Sub Total	\$19.25 39.7%	\$25.40 53.4%	\$29.46 58.7%	\$33.60 60.7%	\$40.80 67.4%	\$45.90 62.7%	\$52.30 67.8%
Collabora- tive Research Support Programs (CRSP's)	--	\$ 7.70 16.2%	\$ 4.40 8.8%	\$ 8.20 14.8%	\$10.50 17.4%	\$10.60 14.5%	\$10.60 13.8%
Contract Research, Technical Assistance & Other Services	\$29.25 60.3%	\$14.50 30.4%	\$16.34 32.5%	\$13.50 24.5%	\$ 9.20 15.2%	\$16.70 22.8%	\$14.20 18.4%
TOTAL	\$48.50 100%	\$47.60 100%	\$50.20 100%	\$55.30 100%	\$60.50 100%	\$73.20 100%	\$77.10 100%

* FY '84 proposed funding levels not available for disclosure.

The BIFAD has two fundamental concerns with this allocation and with projected allocations to this account in future years. One deals with the size of this investment relative to other ARDN investments. The other deals with the composition of the portfolio of activities funded from this budget source.

The BIFAD believes that the Agency has allocated fewer funds to this account than the productivity of such investments relative to certain other ARDN activities warrants. Further, nominal increases in the support of centrally-funded ARDN activities have been, in all probability, less than the increases in costs of providing such services. In real terms, support for these activities has declined. The result is that only a minor fraction of the relevant technical and scientific talent of the U.S. agricultural research complex has been or will be mobilized to work on constraints to agricultural development common to developing countries.

The second fundamental concern rests in the pattern of fund allocation among activities within this account. Funds allocated to the Bureau for Science and Technology for ARDN activities are used for three purposes--formula funding of the core budgets of the International Agriculture Research Centers (IARC's), Collaborative Research Support Programs (CRSP's), and other contract research and technical services.

Since 1977, IARC core funding has grown from less than \$20 million to \$46 million in FY '82 over \$50 million in FY '83, and is projected to increase substantially in FY '84. In relative terms, this single activity has increased from about 40% in 1977 to nearly 70% (projected) of funds requested for these purposes in FY '84.

As the residual claimant of these resources, all other research, technical assistance and related services have declined precipitately in both absolute and relative terms. Since 1977 the share of these funds allocated to the residual claimant have declined from 60% to 18% in FY '83 and a projected 12% to 16% in FY '84 (Table 2).

The BIFAD strongly supports the funding of the IARC core budget and the CRSP's. These are high payoff initiatives which must be continued. One of its

major concerns is with the "drying up" of support for the mobilization of the resources of the U.S. agricultural scientific and technical complex to work in a variety of other ways on priority problems and constraints to agricultural development in third world countries. Continuation of existing budgetary trends will shortly reduce these activities to zero. This would be a serious error.

The BIFAD admits to increasing concern relative to the Agency's policy and budgetary posture vis-a-vis the International Agricultural Research Centers. This concern is based on what appears to be a continuing proliferation of IARC's, significant departure of some from their original research missions and questions relative to the latter day productivity of some of these institutions.

All of this impinges directly and importantly on the manner in which the Agency allocates and utilizes its limited resources to the best advantage. While the BIFAD is completely open minded on these issues, it is uncomfortable in that it has not yet been able to discharge fully its statutory duty to advise the Agency with respect to these matters. It believes that, jointly with AID, a thorough review of this aspect of the Agency's ARDN budget and program must be on its high priority agenda.

The BIFAD is also concerned about the curtailment of the expansion of the CRSP initiative and the Agency's decision to fund ongoing CRSP's on a less-than one-year incremental basis rather than on a two-year forward funding basis as originally agreed. Evidence of the productivity, technical efficiency and cost-effectiveness of the CRSP model continues to grow.

RECOMMENDATIONS.

In view of the above, the BIFAD recommends that:

1. the Agency allocate sufficient FY '84 funds under the ARDN

account to the Bureau for Science and Technology to:

- a. meet standing commitments of U.S. support of IARC core budgets;
 - b. fully fund existing CRSP's and to plan and implement additional CRSP's in high priority problem areas;
 - c. provide funds for substantial expansion in other high-priority, centrally-funded research and technical service areas;
 - d. provide continuing support to the BIFAD/AID approved Cooperative Research Program between U.S. Research Institutions and International Agricultural Research Centers.
2. the Agency insulate the CRSP's and other centrally funded activities from direct competition (and associated budgetary erosion) with the formula-funded commitment of core budget support of the IARC's by:
- a. treating the latter as a separate budget line item and increasing the formula-determined support level of this item "off the top" in accord with existing or modified levels of commitment; or by
 - b. increasing annual budget allocations to the Bureau for Science and Technology by an "off the top" amount equal to formula-based growth in the U.S. commitment to the IARC's.
3. the Agency provide the Office of Agriculture, Science and Technology Bureau, with approximately \$3,000,000 from FY '82 funds to permit immediate one-year forward funding of all on-going CRSP's and sufficient funds to extend such forward

- funding to two years early in FY '83.
4. the Agency make every effort to find sufficient funds in FY '82 and in FY '83 to implement the Cooperative Research Program between U.S. Research Institutions and the International Agricultural Research Centers.
 5. the Agency join with the BIFAD in a systematic examination of missions, functions, numbers, and scale of the IARC's as a basis for determining future AID policy and budgetary support levels of these institutions.

University Strengthening Grants

Since the 1949 "Point Four" message of President Harry Truman, the United States has relied heavily on U.S. universities to implement a significant portion of its bilateral development assistance program. This has been especially true of agricultural development assistance.

The universities have always encountered certain difficulties in mobilizing their professional staff and other resources for this work without prejudicing the conduct of their domestic scientific and educational missions. They have also experienced difficulties in achieving completely effective technical, economic, social, cultural, and linguistic staff preparation essential to effective performance abroad.

The Title XII Amendment took these long-standing issues into account and authorized the strengthening of Title XII universities for long term participation in AID's agricultural, rural development, and nutrition programs. The Agency and the BIFAD have been working toward this end in a variety of ways. Important among these have been the conceptualization and implementation of the Strengthening Grant Program.

The BIFAD has monitored closely the development of this innovative

program. The Agency's review of this activity at the June, 1982, BIFAD meeting was most helpful in this respect. The BIFAD is impressed with:

1. the rapidity with which this program was implemented. Fifty-five Matching and Minority Institution Grants are in place (Table 3);
2. the magnitude of their own resources which Strengthening Grant recipient institutions have invested in the cooperative venture--about \$28 million in direct and indirect costs in FY '80, '81, and '82 (Table 6).
3. the degree to which the Agency and the universities have been able to "shake down" this completely new initiative and to "tilt" it increasingly toward effective support of Title XII activities;
4. the effectiveness of a relatively small investment (about .6% and .76% of AID's total ARDN and Title XII expenditures, respectively, over the 1980-82 period) in stimulating Title XII Universities to find means of improving their capacities to participate effectively (Table 5).
5. the present effort to utilize the Strengthening Grant concept as a vehicle for structuring Program Support Grants as the fiscal cornerstone of the Memorandum of Understanding (MOU).

RECOMMENDATIONS.

The BIFAD believes that this initiative is quite productive and essential to the success of the AID/University partnership efforts under Title XII. Therefore, it recommends that:

1. adequate funds be provided in FY '84 to continue this program taking into account probable additions and deletions of universities receiving Strengthening Grants, the impact of Memorandum of Understanding requirements on this budget item and the levels of Title XII activities upon which grant

entitlements are based. The BIFAD estimates that this may be of the order of \$7,000,000.

2. the Agency take measures to improve its estimates of mid-to long-term university services which will be required under Title XII as a basis for efficient utilization of Strengthening Grant funds by the universities.

Table 3: Title XII Universities Awarded Strengthening Grants, FY 1979-1982.

Category	1979	1980 (number)	1981	1982
University Matching Grants	42	44	46	46
Minority Universities	4	6	9	9
TOTALS	46	50	55	55

Table 4: Title XII University Strengthening Grants; AID funds Obligated, Expended and Not Expended; FY 1979-83.

Fiscal Year	Funds Obligated	Funds Expended	Funds Unliquidated
1979	\$ 4994	\$ 0	\$ 4994
1980	5000	1105	8979
1981	5000	5577	8402
1982* (estimated)	5000**	6000**	7402**
1983* (estimated)	5000	7000	5402

*Source of estimated obligation levels is the annual Budget Submission (ABS) for FY'84.

Data on funds obligated, expended, and unliquidated provided by Office of the Controller, S&T Bureau.

**Actual FY'82 obligations, expenditures, and unliquidated balances as of 5/31/82 were \$434,000; \$3,135,000; and \$5,701,000; respectively.

Table 5: Title XII University Strengthening Grant Program; Relationships among AID Fund Obligations and Expenditures; Agriculture, Rural Development and Nutrition (ARDN) Obligations; Title XII Program Obligations; 1980 - 1982.

Fiscal Year	AID Program Funds Obligated (\$ million)		Strengthening Grant Funds (\$ million)		Strengthening Grant Funds Obligations as % of:		Strengthening Grant Funds Expenditures as % of:	
	ARDN	Title	Obligated	Expended	ARDN	Title XII	ARDN	Title XII
1980	\$ 631	\$ 451	\$ 5	\$1.015	.79%	1.11%	.16%	.23%
1981	653	486	5	5.577	.77	1.03	.85	1.15
1982 thru 5/31/82	468*	338*	3.34	3.135	.71	.93	.67	.92
	\$1752	\$1275	\$13.34	\$9.727	.76	1.05	.56	.76

*pro-rated to .667 of FY'82 obligations.

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Table 6: Title XII Strengthening Grant Program; University Matching Funds Provided through Direct and Indirect Costs; FY 1980-1982

Fiscal Year	Non-federal University Funds		
	Direct Costs	Indirect Costs (estimated)	Total Matching
	(\$000's)		
1980	\$ 5,400	\$ 3,120	\$ 8,520
1981	5,991	3,463	9,454
1982	6,327	3,633	9,960
TOTAL	\$17,718	\$10,216	\$27,934

Title XII Country Programs.

Properly, most of the Agency's Agriculture, Rural Development and Nutrition (ARDN) budget is invested through its Regional Bureau/Country Mission structure and programs. Completely understanding ongoing programs, identifying significant changes in program direction, forming valid conclusions and making useful recommendations on budget allocations in this complex area are difficult tasks at best. Despite this, the BIFAD did review as carefully as time permitted the FY '84 Annual Budget Submissions (ABS's) of most USAID Missions and AID Regional Programs.

The exercise concentrated on an analysis of the substance of ongoing and proposed Title XII projects and programs in light of what is known or believed about relative payoffs to alternative external interventions in the agricultural development process in the provision of which the U.S. is believed to have a comparative advantage. An effort was made to identify significant shifts in direction in country programs in recent and near-future years.

Two independent analyses were conducted. One concentrated on the

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characteristics of new Title XII projects initiated in FY '80, '81, and '82 plus those programmed (funds available) to start in FY '83 and FY '84. These projects were classified, using BIFAD/AID accepted criteria, into two principal groups - Institution Building Projects (IB) and General Agricultural Development Projects. Institution Building Projects were sub-classified according to the types of institutional services involved. Life-of-project funding was used as a measure of relative importance of the activity.

The second analysis, using the same source of data and similar project classification criteria, examined projects programmed to be initiated (funds available) in FY '83 and FY '84 as well as older projects active in FY '82 with funds requested for continuation in FY '83 and FY '84. Both life-of-project and annual budget obligations were utilized. Projects having as a primary objective some specific research output were also isolated in this analysis.

While the preliminary findings of the two analyses differ in some respects, the general patterns of recent and proposed resource use which emerged were quite similar.

In terms of new Title XII project initiatives during the 1980-84 period, USAID Missions worldwide appear to be placing greater emphasis on Institution Building than on General Development Projects. This is true in terms of project numbers and in terms of funds obligated and/or requested. One set of estimates indicated that some 123 new Institution Building Projects had been or would be initiated during the period. In comparison, only 45 new General Development Projects were in place or projected in the same period (Table 7).

Among the various categories of institutional services, USAID Missions are giving greatest attention to institutional development activities involving agricultural research and extension complexes. This type of activity accounted for about 45 percent of the 1980-84 life-of-project-funding and about 40

percent of the new Institution building Initiatives. New Initiatives on policy and planning, education, research and extension Institutional development followed in that order. Emphasis on extension Institution development alone, appears to be limited with only a few such projects Initiated or to be Initiated in the 5 year period; one of these is in Africa, four in Latin America/Caribbean and two in the Near East; Asia reports no new projects of this type.

Worldwide, 13 new projects designed to strengthen agricultural education Institutions in the 1980-84 period were identified. Five of these were authorized in 1980-82 with the remaining eight in the as yet unapproved 1983 budget and the 1984 proposed programs. Four new projects were programmed under this account for all of Africa with three of these in FY '83 and FY '84 (Table 8). Four new agricultural education institution development projects were identified in Asia with two of the four projected for 1984. (Table 9). Latin America has three and the Near East has two such new projects implemented or projected (Tables 10 and 11). There were a few older educational Institution development projects budgeted for continuation in FY '83 and FY '84.

USAID Missions appear to be placing little emphasis on "blanket" training projects for LDC agriculturalists. Worldwide, only six such projects, new in 1980-84, were identified and four of these are for FY '83 and the FY '84 proposed programs. Two geographic regions have no identifiable activity in this quarter. (Tables 7 - 11).

During the 1980-84 period, some 20 new projects designed to improve Indigenous capacity to deal with agricultural policy issues and planning needs were started or projected. In addition, 16 new IB projects directed toward a variety of other agricultural Institutions were put in place or were on the drawing boards.

The review of the country program ABS's from the four geographic regions also revealed rather heavy Mission response to the new private sector agricultural development thrust of the Agency. The BIFAD has not been able, to this point, to evaluate carefully the nature and substance of these initiatives but plans to do so.

The BIFAD is quite encouraged by the preliminary findings of the ongoing analyses of the FY '84 country program ABS's. Program emphasis in the ARDN sector appears to be continuing to shift in the direction of longer term, high payoff investments. It seems quite likely that additional shifts from short-run development projects and capital transfer activities to more basic activities having greater multiplier potential would be desirable.

The country program ABS review and analysis has identified two related areas about which the BIFAD has specific concern. One of these is the apparent lack of major attention to expanding or strengthening the indigenous capacities of the LDC's to train the number, kind, and quality of agriculturalists which these countries will require if they are to progress. The second is the previously cited lack of concerted effort to provide educational opportunities in the U.S. and elsewhere for the host nationals required to staff the public institutions and the private agricultural organizations which are being or will need to be brought on stream.

The BIFAD believes that the lack of attention to these two related matters seriously endangers the potential benefits of practically everything else that AID and other donors are doing in cooperation with the developing nations.

The BIFAD is also concerned about apparent trends in the relative share of Section 103 funds (ARDN) allocated or projected to be allocated to the Title XII program. Preliminary analysis of projected annual obligations for country projects, on a world-wide basis, suggests that the proportion of Section 103

funds to be allocated to Title XII programs may decline from 58% in FY 82 to 53% in FY '83 and '84. Disaggregation of these data suggests that, for Africa, the share for Title XII may decline from 75% in FY '82 to 54% in FY '83, and then increase to 64% in FY '84. In the Latin America/Caribbean region, the proportion for Title XII may increase from 48% in FY '82 to 52% in FY '83 and then drop to 41% in FY '84. This raises the possibility that the Agency may be de-emphasizing hard core investments in agricultural development interventions. If so, it is a matter in need of reconsideration.

RECOMMENDATIONS.

The BIFAD recommends that:

1. The Agency continue its efforts to adjust ARDN country programs in the direction of greater emphasis on the development and strengthening of fundamental public agricultural institutions. The BIFAD believes that the Administrator and his senior executive staff should weight this criterion quite heavily in final decisions on the allocation of funds for FY '84.
2. The Agency make a concerted effort to increase its investments in the strengthening of LDC agricultural education institutions.
3. The Agency take positive steps to develop "blanket" education and training programs in all client countries where a present or future short-fall of appropriately prepared agricultural scientists, educators, administrators and practitioners exists.

The BIFAD is continuing to analyze information provided in the FY '84

country program ABS's. It will provide the Agency with other findings and recommendations which it feels will be helpful in optimizing the impact of its limited resources on agricultural development in the developing nations.

Table 7: Title XII Institution Building and General Development Projects Initiated in FY's '80, '81, '82, and Proposed for FY '83 and FY '84. Number and Life of Project Funding. All Regions.

Title XII Project Category*	Fiscal Year					
	1980	1981	1982	1983	1984	1980-84
<u>Institution Building</u>						
Research (\$000,000)	\$25.4	\$ 3.8	\$90.2	--	**	**
(number)	1	1	5	--	4	11
Extension	4.3	-	12.8	36.5	**	**
	2	-	2	3	1	8
Education	15.4	14.9	43.0	23.9	**	**
	2	2	1	3	5	13
Research/Extension	45.9	70.7	130.0	209.7	**	**
	5	8	4	15	13	45
Research/Education	--	--	--	--	--	--
	--	--	--	--	--	--
Research/Extension/ Education	46.7	--	--	39.0	**	**
	2	--	--	1	1	4
Policy or Planning	12.3	24.1	19.5	26.5	**	**
	3	4	3	8	2	20
"Blanket" Training	.8	--	4.0	6.8	**	**
	1	--	1	2	2	6
Other	19.6	9.9	33.5	27.5	**	**
	3	2	3	4	4	16
All Institution Building	\$167.3	\$123.3	\$333.1	\$419.9	**	**
	19	17	19	36	32	123
<u>General Development</u>						
Advisory Services and Capital	\$142.2	\$27.1	\$83.6	\$148.8	**	**
	13	3	6	12	11	45
<u>Total Title XII</u>	\$309.5	\$150.4	\$416.7	\$568.6	**	**
	32	20	25	48	43	168

Sources: FY '84 ABS's of 58 USAID Missions and 7 Regional Programs
 *Definition used for classification was AID-accepted definition as per AID Draft Policy Directive
 **FY'84 proposed funding levels not available for disclosure.

Table 8: Title XII Institution Building and General Development Projects Initiated in FY's '80, '81, '82, and Proposed for FY '83 and FY '84. Number and Life of Project Funding. Africa Region.

Title XII Project Category*	Fiscal Year					
	1980	1981	1982	1983	1984	1980-84
<u>Institution Building</u>						
Research (\$000,000)	--	\$ 3.8	\$70.4	--	**	**
(number)	--	1	4	--	3	8
Extension	--	--	--	10.0	**	**
	--	--	--	1	1	2
Education	--	--	43.0	3.8	**	**
	--	--	1	1	2	4
Research/Extension	35.6	24.5	53.0	65.0	**	**
	4	3	2	7	6	22
Research/Education	--	--	--	--	--	--
	--	--	--	--	--	--
Research/Extension/ Education	--	--	--	--	--	--
	--	--	--	--	--	--
Policy and/or Planning	6.2	24.1	19.5	4.5	--	**
	1	4	3	2	--	10
Training	.8	--	4.0	3.7	**	**
	1	--	1	1	1	4
Other	3.6	9.9	17.0	77.5	**	**
	1	2	1	4	2	10
Total	\$46.2	\$62.3	\$206.8	\$164.6	**	**
	7	10	12	16	15	60
<u>General Development</u>						
Advisory Services and Capital	\$44.0	\$ 3.0	\$13.3	\$ 74.5	**	**
	7	1	2	5	3	18
<u>Total Title XII</u>	\$90.2	\$65.3	\$220.1	\$239.1	**	**
	14	11	14	21	18	78

Sources: FY '84 ABS's of 28 USAID Missions and 2 Regional Programs

*Definition used for classification was AID-accepted definition as per AID Draft Policy Directive

** FY '84 proposed funding levels not available for disclosure.

Table 9: Title XII Institution Building and General Development Projects Initiated in FY's '80, '81, '82, and Proposed for FY '83 and FY '84. Number and Life of Project Funding. Asia Region.

Title XII Project Category*	Fiscal Year					
	1980	1981	1982	1983	1984	1980-84
	<u>Institution Building</u>					
Research (\$000,000)	\$25.4	--	\$20.0	--	**	**
	1	--	1	--	1	3
Extension	--	--	--	--	**	**
	--	--	--	--	--	--
Education	5.6	\$ 9.8	--	--	**	**
	1	1	--	--	2	4
Research/Extension	--	20.5	77.0	132.6	**	**
	--	2	2	6	3	13
Research/Education	--	--	--	--	--	--
	--	--	--	--	--	--
Research/Extension/ Education	--	--	--	--	**	**
	--	--	--	--	1	1
Policy and/or Planning	3.2	--	--	8.0	**	**
	1	--	--	2	1	4
Training	--	--	--	--	--	--
	--	--	--	--	--	--
Other	--	--	4.5	--	**	**
	--	--	1	--	1	2
TOTAL	\$34.2	\$30.4	\$101.5	\$141.2	**	**
	3	3	4	8	9	27
<u>General Development</u>						
Advisory Services and Capital	\$92.3	--	\$ 55.0	\$ 38.8	**	**
	4	--	3	2	4	13
<u>Total Title XII</u>	\$126.6	\$30.4	\$156.5	\$180.0	**	**
	7	3	7	10	13	40

Sources: FY '84 ABS's of 9 USAID Missions and 2 Regional Programs

*Definition used for classification was AID-accepted definition as per AID Draft Policy Directive

** FY '84 proposed funding levels not available for disclosure.

Table 10: Title XII Institution Building and General Development Projects Initiated in FY's '80, '81, '82, and Proposed for FY '83 and FY '84. Number and Life of Project Funding. Latin America and Caribbean Region.

Title XII Project Category*	Fiscal Year					
	1980	1981	1982	1983	1984	1980-84
<u>Institution Building</u>						
Research (\$000,000)	--	--	--	--	**	**
(number)	--	--	--	--	--	--
Extension	\$ 1.5	--	\$12.8	\$ 1.5	**	**
	1	--	2	1	--	4
Education	--	\$ 5.0	--	20.0	**	**
	--	1	--	2	--	3
Research/Extension	10.3	25.6	--	12.1	**	**
	1	3	--	2	4	10
Research/Education	--	--	--	--	**	**
	--	--	--	--	--	--
Research/Extension/ Education	11.0	--	--	39.0	**	**
	1	--	--	1	--	2
Policy and/or Planning	2.9	--	--	14.0	**	**
	1	--	--	4	1	6
Training	--	--	--	3.0	**	**
	--	--	--	1	1	2
Other	16.0	--	12.0	--	**	**
	2	--	1	--	--	3
TOTAL	\$41.7	\$30.6	\$24.8	\$89.7	**	**
	6	4	3	11	6	30
<u>General Development</u>	\$12.8	\$24.1	\$15.3	\$35.5	**	**
	2	2	1	5	4	14
<u>Total Title XII</u>	\$54.5	\$54.7	\$40.1	\$125.2	**	**
	8	6	4	16	10	44

Sources: FY '84 ABS's of 11 USAID Missions and 3 Regional Programs

*Definition used for classification was AID-accepted definition as per AID Draft Policy Directive

** FY '84 proposed funding levels not available for disclosure.

Table 11: Title XII Institution Building and General Development Projects Initiated in FY's '80, '81, '82, and Proposed for FY '83 and FY '84. Number and Life of Project Funding. Near East.

Title XII Project Category*	Fiscal Year					
	1980	1981	1982	1983	1984	1980-84
<u>Institution Building</u>						
Research (\$000,000)	--	--	--	--	**	**
(number)	--	--	--	--	--	--
Extension	\$ 2.8	--	--	\$25.0	**	**
	1	--	--	1	--	2
Education	9.7	--	--	--	**	**
	1	--	--	--	1	2
Research/Extension	--	--	--	--	--	--
	--	--	--	--	--	--
Research/Education	--	--	--	--	--	--
	--	--	--	--	--	--
Research/Extension/ Education	32.6	--	--	--	--	**
	1	--	--	--	--	1
Policy and/or Planning	--	--	--	--	--	--
	--	--	--	--	--	--
"Blanket" Training	--	--	--	--	--	--
	--	--	--	--	--	--
Other	--	--	--	--	**	**
	--	--	--	--	1	1
TOTAL	\$45.2	--	--	\$25.0	**	**
	3	--	--	1	2	6
<u>General Development</u>						
Advisory Services and Capital	\$ 5.1	--	--	--	--	**
	1	--	--	--	--	1
<u>Total Title XII</u>	\$50.3	--	--	\$25.0	**	**
	4	--	--	1	2	7

Sources: FY '84 ABS's of 2 USAID Missions

*Definition used for classification was AID-accepted definition as per AID Draft Policy Directive

Note: Excludes Egypt

** FY '84 proposed funding levels not available for disclosure.

International Agricultural Research Centers (IARCs)
(FY 1981-\$39.8 million; FY 1982-\$46.2 million;
FY 1983-\$52.0 million)

A.I.D. provides core support to 15 international agricultural research centers and programs and supports certain programs at another center. Thirteen centers are sponsored by the Consultative Group for International Agricultural Research (CGIAR). Two other centers--the Asian Vegetable Research and Development Center (AVRDC) in Taiwan and the International Fertilizer Development Center (IFDC) in Alabama -- are outside of the CGIAR system. A.I.D. also sponsors some research efforts at the International Center for Insect Physiology and Ecology (ICIPE) in Kenya.

1. CGIAR Centers and Programs

Since its establishment in 1971, the international network of research centers coordinated by the Consultative Group for International Agricultural Research (CGIAR) has grown from five to thirteen, and the resources contributed to it have grown from \$20 million in the first year to about \$138 million in 1981 from 53 major donors. The United States, through A.I.D., has supported these centers at a level of up to 25% of the total contributions of all donors. It has maintained a leadership role since 1971 in the development of the center network to meet the specific needs of LDCs. In 1980 Ireland, Mexico, the Philippines, and the OPEC Fund made contributions as donor members for the first time.

The activities supported are mainly research and training programs which concentrate on increasing the production and stability of yield of food crops cultivated throughout the developing world. They also include research into animal production systems and livestock diseases; technical assistance to strengthen national agricultural research; and food and economic policy research. The majority of the CGIAR-supported programs are designed to meet the needs of the poorest and most disadvantaged farmers. Some of them have already made major contributions toward increasing food production in developing countries.

The greatest initial effect of this combination of efforts has been with wheat and rice production in the developing nations. By 1976/77 when the last survey was made, high-yielding varieties (HYVs) occupied about 72.6 million acres of wheat and 62.5 million acres of rice in developing nations -- roughly 44% of the total rice area and nearly 28% of the wheat area. Since that time, the area of HYVs of both crops has continued to expand.

The area of HYV bread wheat carrying International Maize and Wheat Improvement Center (CIMMYT) germplasm in 1981

is estimated at over 86.5 million acres; these varieties, along with associated inputs such as fertilizer, increased annual production by 25 million tons, and were worth about \$4 billion. The story for rice is similar. As a consequence, many farmers received increased incomes and consumers paid lower prices than would otherwise have been the case.

The IARCs facilitate the work of national research programs by developing improved technologies for third world agriculture sectors and enhance the effectiveness of local private industry by providing this information for product development. Public sector research and private sector production can be highly complementary - e.g., improved fertilizers and high yielding grain varieties. The result is increased production and lower costs of agricultural products than would otherwise prevail.

Crop production research is the major focus of 7 centers, and plant breeding is their primary means of crop improvement. Most of the research is to develop increased resistance to pest and diseases, improved tolerance of poor soil and water conditions, or reduced growing time that will favor higher and more stable production within a large range of LDC farm environments.

- International Rice Research Institute (IRRI) has developed several rice varieties with wide resistance to serious pests and diseases, high yields, tolerance to high water levels, and excellent nutritional content. Variety IR 36, (released in 1976) has become a mainstay in Asia; IR 52 and IR 54, (1980) have marked tolerance for multiple soil stresses; IR 42 (1977) gives high yields with lower fertilizer requirements than other HYVs. Altogether 10 varieties from nine IRRI lines were named and released in four countries in 1980; this brings the number of named varieties from IRRI sources to 85. IRRI is developing hybrid varieties which hold promise of increasing yields by another 20% to 25%.

- CIMMYT is developing wheat varieties which are earlier maturing, are better adapted for highland areas, have greater tolerance for aluminum toxicity and have greater resistance to several diseases. Similar improvements are also being made in durum wheat, triticale, and barley. In 1980 a total of 36 varieties of CIMMYT germplasms were released for use in LDCs. One of the most remarkable expansions in wheat production and the use of CIMMYT-related HYVs has taken place in Bangladesh, which has raised production of bread wheat from 114,000 tons in 1975 to over 1.2 million tons in 1981.
- International Center for Tropical Agriculture (CIAT) and the International Institute for Tropical Agriculture (IITA) have produced high yielding, robust crops resistant to major diseases in beans, cassava, corn, cowpeas, and sweet potatoes.
- International Crops Research Institute for the Semi-Arid Tropics (ICRISAT) has developed similarly improved varieties of sorghum and pearl millet.
- International Potato Center (CIP) has produced potato lines for use in the lowland tropics where the potato usually is not successful; true potato seed which has the potential to reduce farmer problems related to seed cost and transportation, and many new varieties adapted to more conventional ecologies.

Farming systems research has yielded new management practices that provide high, stable crop yields, while at the same time making better use of existing land and water resources.

- IRRI, IITA, ICRISAT, the International Livestock Center for Africa (ILCA), the International Center for Agricultural Research in the Dry Areas (ICARDA) all have significant cropping systems research programs.

A broad range of systems are encompassed from multiple food and fuelwood through mixed crop and livestock production.

- IITA has designed an improved intercropping system called "alley cropping" that allows annual food crops to be grown in strips between rows of shrubs or trees, such as leucaena, that can be used as a windbreak, as a green manure for the food crops, and for stakes and firewood.
- ICRISAT has developed a ridge and furrow system that provides excellent crop yields and improved soil and water conservation in the semi-arid tropics where heavy soil erosion is common.

Livestock research is carried out at both ILCA and ICARDA in Africa.

- ILCA is working on improving the use and productivity of livestock under a number of different cultural conditions, including small farms in the African highlands where cereals and grain legumes are main crops and oxen are used for draft purposes.
- The International Laboratory for Research on Animal Disease (ILRAD), by understanding the causal organism, is now believed to be within five years of developing an effective vaccine for East Coast Fever. ILRAD has also made remarkable scientific progress in its study of trypanosomiasis, but the development of an effective control mechanism is more distant. (Both ILCA and ILRAD are studying trypanotolerance in certain breeds of cattle.)
- CIAT is developing improved pasture grasses; one variety recently introduced by CIAT has just been released in Colombia and Brazil.

2. Other Centers and Programs

A.I.D., as noted earlier, provides support to three other international research centers, all of which are similar to the CGIAR centers in terms of purpose and organization:

- The Asian Vegetable Research and Development Center (AVRDC) seeks to increase the yield and nutritional value of selected vegetable crops (five at present) which can make significant contributions to improved staple diets and increase total food production per unit of area in the lowland (humid) tropics. A.I.D. provides about 25% of total contributions, as it does for the CGIAR centers and programs.
- The International Fertilizer Development Center (IFDC)'s main purpose is to find ways for farmers in developing countries to meet their crop/soil nutrient requirements as economically as possible. The focus is on chemical fertilizers. It is the only center to work solely on inputs to the production process. A.I.D. provides \$4 million each year to IFDC, which is expanding its donor base.
- The International Center for Insect Physiology and Ecology (ICIPE) is designed to develop novel methods for the control of major pests in a long-range selective manner within an acceptable ecological framework. A.I.D. has supported specific projects at ICIPE in the past and may provide core funding when certain administrative/management mechanisms are in place.

D R A F T

EVALUATION OF THE TITLE XII
UNIVERSITY STRENGTHENING PROGRAMS*Background

This evaluation utilizes, principally, information gained from:

- Analysis of each of the First Annual Reports and Second Annual Reports from all the university grantees, representing many months of intensive effort. Well over 100 memos were written recording the results of this examination;
- analysis of travel requests, reports and mission correspondence relative to grantee staff travel;
- analysis of two special questionnaires certified and submitted by a principal executive officer of each grantee university;
- examination of various related reports, notably a BIFAD-initiated study by Dr. David Hansen, Associate Professor of Rural Sociology, Ohio State University;
- formal review with the Executive Director, BIFAD Support Staff, of each grantee university's performance as indicated by informal contacts as well as by formal reports.

This evaluation presumes a set of attitudes and policies by this Administration which--in line with all serious scholarship on the subject--considers that agricultural development (not only to feed people but to serve as a principal engine of total economic development), requires four basic actions involving external assistance:

1. Increasing the level of technical competence, at all levels, of LDC people serving agriculture;
2. improving effectiveness of LDC institutions serving agriculture--again at all levels;

*This draft prepared for discussion at BIFAD Meeting of June 24, 1982, written by Erven J. Long.

3. improving the state of scientific knowledge relevant to LDC agriculture and its availability to and use by the LDCs.
4. ensuring that improved agricultural policies, especially price and allocative policies, are in place or a condition of major assistance.

Furthermore, virtually all serious students of LDC agriculture agree to two additional facts:

1. All of the above can be effectively assisted by the U.S. only through sustained long-term cooperative technical assistance efforts with LDCs; and
2. the bulk of the human, institutional, and scientific knowledge resources, and experience, in the U.S., relevant to this type of assistance, must in at least the long term come, directly or indirectly, from our agricultural universities. (These universities are the primary U.S. resource for LDC training, whether done here or abroad. They supply much--and train and develop most--of the professional and scientific personnel needed for technical assistance and research. They do a large fraction of the U.S. basic and applied research which has the potential for transforming the production parameters of LDC agriculture.)

With these realities in mind, the Congress enacted the Title XII amendment, requiring AID to emphasize these kinds of human and institutional resource building and research efforts in its agricultural assistance programs -- and to involve U.S. agricultural universities more fully and more cooperatively with AID in the effort. Further, it recognized a need to strengthen the universities for more effective participation in this effort. To respond to this need, AID with BIFAD collaboration developed a "Matching Formula" Title XII University Strengthening Program.

The entire purpose of this Strengthening Program was to enhance the recipient universities' capability to assist AID to carry out programs in the subject area of Title XII. This general purpose embraced three interrelated sub-objectives:

- 1) To expand the quantity of professional and institutional resources available to AID;
- 2) to improve the quality of such resources; and,
- 3) to enhance the readiness of availability of such resources to AID needs.

To tie the strengthening grants to AID needs and use, the formula for the AID grant was set up at a maximum of 10% of the annual Volume of Business done by the University for AID.

To augment the resources available, and especially to charge the system with internal energy, a matching requirement was established, requiring that each university contribute at least as much as AID to the direct cost, and all of the "overhead" or indirect costs, of the Strengthening Program.

To broaden the base of universities from which such resources could be drawn, the 10% Volume of Business requirement was waived for five years for grants up to \$100,000/year. Finally, a maximum ceiling of \$300,000 per year was established for each grant.

In addition to the "Matching Formula" program, a separate program of one-time strengthening grants was established for the so-called "1890", predominately black, Land Grant Universities. These grants were for a maximum of \$500,000 per institution, disbursed over a 5-year period. These universities were required to contribute all "overhead" or indirect costs but were not required for that 5-year period to contribute to direct costs. Continued participation beyond the 5-year period by these institutions would be contingent upon their meeting requirements of the "matching" program.

A total of 45 universities have received "matching" grants and 9 have received special minority institution, non-matching grants.

This evaluation is concerned almost exclusively with the Matching Formula grants component of the program and only incidentally with the Special Non-Matching grants. The study assumes that, presuming satisfactory performance, these latter grants will be carried to completion, in accordance with supportive policy enunciated in President Reagan's Executive Order 12320.

A General Conclusion

The Strengthening Program achieves its significance primarily as a part of an emerging, improved AID system for mobilizing universities for development assistance work. Although this is perhaps obvious, not always so obvious is the extent to which major improvements in the Strengthening Program require concomitant changes in the way universities are recruited for development assistance projects.

This conclusion will be evident throughout the more detailed analysis to follow. For example, it will be seen that the recently initiated Memorandum of Understanding approach, and its support grant component, is not a competitive approach

to the present Strengthening Program, but the proper consummation of a progression of improved internal university capabilities and working relations with AID nurtured, in part, by the Strengthening Program. The same is true for the Technical Services to Missions (TSM) contracts which some missions are entering into with universities where capabilities have been enhanced by strengthening grants. And it will be seen that the recently initiated Joint Enterprise Mode of AID university selection and project implementation is essential to the utilization of resources, especially from the smaller universities, created under the Strengthening Program. The Joint Enterprise Mode is essential also to the establishment of patterns of actual university involvements in AID programs, which are ultimately the proper basis for establishing their priorities and emphases in their strengthening Programs.

University Strengthening: A Three Stage Process

As university Strengthening Programs progress through time, they move through three general stages. Changes in proportions of effort, rather than absolute categorical changes, characterize this progression. Individual universities start at different points along the progression axis, depending in large part upon the extent of their current or very recent involvement in AID programs. And, of course, universities vary in the degree to which they adjust their plans and programs to reflect progression toward mature relationships between their Strengthening Programs and their development assistance projects.

Stage One is characterized by activities designed to acquaint the university broadly with opportunities for development assistance work, through AID, in and with the developing countries, and to achieve the necessary depth and breadth of university commitment to such work. For almost all of the grantee universities, this stage has been one of intensive on-campus soul searching: of faculty and executive study and discussion sessions; of presentations to trustees, legislatures and general publics necessitated by the matching requirement; of seeking the points of mutuality of the university's interest in involvement in AID foreign assistance programs and the proper discharge of their domestic educational, research and services responsibilities. This is a period of examination of policies on faculty salaries, tenure and promotion, and in most cases of forging new policies to fit the special circumstances of faculty service on projects in LDCs. Strengthening activities during this stage tend to be relatively more diffuse than in subsequent stages, to involve larger numbers of individuals, travel to more countries and for shorter periods, initiation of research in or relative to larger numbers of LDCs. It tends to be a period of experimentation with a variety of strengthening activities involving relatively large numbers of faculty and staff.

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Stage Two is characterized largely by efforts to become involved in AID projects. Activities in Stage One bring quick realization to the university of its need for assurance as to the country and/or subject-matter of its future LDC involvements as a basis for policies and priorities to govern its Strengthening Program efforts. The university may have only minor difficulty in deciding upon a country of its own preference for a long-term collaborative assistance effort; but such self selection does not, in the actual outcome, count for much. Opportunities for such involvement necessarily result essentially from AID procurement actions. Therefore, Stage two is a period of seeking AID projects, of responding to requests for proposals, of developing coalitions of universities, through formal or informal consortial arrangements, to enhance their advantages in acquiring projects.

The 45 universities having Matching Formula Strengthening Grants, for example, made a total of 336 responses to requests for proposals, either individually or in collaboration with other universities. Of these, 133 were "successful," resulting in contracts or sub-contracts with AID; and 203 were "unsuccessful." Strengthening Program activities during this stage tend to be those which are perceived by the universities as improving their competitive advantage in acquiring an AID contract.

For those universities which appear to be making the most progress on their Strengthening Programs, Stage Two tends to be a period also of narrowing down the pattern of expenditures primarily to investments in those selected individuals for whom overseas work on AID contracts is a definite and near-term possibility. Failure to effect this shift in emphasis is perhaps the most common source of marginal performance under Strengthening Programs.

Stage Three is characterized by universities' use of their Strengthening Programs primarily to support and make more effective their current projects with AID.

Because Stage 1 and 2 type efforts necessarily and properly predominated in the first two years of the Strengthening Program, a very erroneous inference could be drawn that the universities' Strengthening Programs bear only a loose and general relationship to universities' technical assistance and other AID assignments. This is perhaps the most misunderstood point about the Strengthening Program!

Even though approximately a third of the Strengthening Grantee universities still have little or no AID project involvement (0-\$500,000 annually), university administrators estimated that 59% of their total Strengthening Program expenditures (AID plus university funds) were "directly related to on-going AID contract projects, or to projects being planned for the immediate future."

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Inasmuch as the universities contributed more than twice as much to their Strengthening Programs as did AID, total funds spent for this activity directly related to on-going or immediately planned projects substantially exceeded the total AID contribution. As progress is made toward greater achievement of Stage Three status, this proportion of effort will undoubtedly shift toward more support of on-going projects. (In view of inherent instabilities and uncertainties in all AID projects, however, prudence dictates that a certain amount of "getting ready" for the next job should be a continuing feature of all Strengthening Programs.)

Strengthening activities most appropriate to the third stage are, obviously, those with a focus on the country and/or topic of the university's project involvement with AID. Highest priorities should go toward remedying present shortcomings in project performance, through such means as: selecting and preparing personnel for unfilled project positions or positions held by other than members of the contracting university's faculty; providing intensive language training for prospective contract employees; preparing replacement candidates for any marginally effective or unsatisfactory team members; developing special instructional courses and programs for participants under the project; expanding research of special importance and applicability to the project situation; improving management of and support to the field projects.

When embedded in a set of understandings between AID and a given university designed to elevate the level and intended duration of commitment of each party, AID's contribution to these Stage Three Strengthening Programs becomes, in fact, the support grant component of a Memorandum of Understanding.

The Matching Formula Strengthening Programs tend strongly to be moving along the normal progression from Stage One, through Stage Two. Most of the programs have been in effect about two and one-half years; and most of them have completed the Stage One type emphasis.

Shifts from Stage Two to Stage Three emphases appear, with a few exceptions, to come about rapidly once universities achieve a relatively high level of involvement in AID projects.

The formula itself builds in a general linking of the relationship of Strengthening Programs to field projects by limiting the grants (except for the partial 5-year waiver) to 10% of the university's annual volume of business with AID. Any university wishing to maintain grantee status would be foolhardy not to use the grant in ways which first developed and then maintained a resource-supplier relationship to AID. This is achieved, assuming an intelligent AID selection and performance evaluation process, as a result of superior

contractor performance. Hence the incentive to establish supportive relationships to projects is built into the Strengthening Program system in a direct and powerful way.

In those cases where this support relationship to active development assistance projects is not clearly evident--where, for example, staff members in francophone countries are ill-equipped in French language capabilities, or where team members are recruited largely from other universities--sharp adjustments in Strengthening Program content will be called for.

New Initiatives in University Selection Process

Title XII procedures must continue to be refined to facilitate more effective mobilization of the needed mix of skills from university faculties for specific projects.

As projects become more demanding with respect to technical qualifications of staff, linguistic skills and close conformance of skill mix to project specifications, the "ready availability" on any one campus of such a potential project team, especially for an unattractive or unfamiliar post, becomes an increasingly rare event--and would require a degree of over-staffing not commensurate, by whomever financed, with today's tight budgets in all public agencies, including specifically AID and the agricultural universities.

As a consequence, a formal consortium is frequently chosen, which combines more resources than can a single university, albeit normally with similar strengths and weaknesses born of geographic proximity, rather than the complementary resources usually called for.

Frequently, also, a consulting firm or other intermediary is chosen, which makes no pretense of providing the expertise from its own employees and provides little or no institutional backstopping.

To deal with this issue, AID is taking a two-pronged approach. First, it is experimenting with a new "Joint Enterprise" approach to university selection, encouraging two or more institutions to pool their complementary resources in a single, "joint enterprise," under a management structure to meet the specific requirements of a given project. Second, AID is working with three universities in a pilot exercise to develop a Memorandum of Understanding which will provide participating universities with more specific guidance on subject and geographic area concentration as well as an indication of the number and kind of technical professionals which will be needed over an extended period of time.

In order to maximize the effectiveness of both these mechanisms and the related Strengthening Grant Program, the BIFAD and AID must develop procedures which permit the universities to concentrate resources in specific technical and geographic areas because they have some reasonable assurance of obtaining Title XII business. This implies a very careful and profound scrutiny of the process by which university resources are matched with AID requirements. It would appear from the recent study on "Incentives and Disincentives to Faculty and University Participation in AID Programs" that the university community strongly supports such a review.

The following four factors illustrate the important interrelationships between the Strengthening Program and these three mechanisms.

1. The resources created under the Strengthening Programs of perhaps one-third of the grantees (primarily the smaller institutions) can not be significantly utilized by AID except under some type joint enterprise arrangement. If opportunities for involvement of such resources are not provided, owing to failures of the university selection system, their Strengthening Programs, no matter how meritorious, could not justifiably be continued--and their resources, no matter how well suited to AID needs, would not be utilized.

2. Seventy per cent of the responses to AID requests for proposals made by Strengthening Grantee institutions were made as part of a joint proposal through either a consortium or an informal group arrangement.

3. Those universities with the highest levels of current work for AID (\$1,000,000 and over annual average over the past three years) estimate an increased capacity of only 78% by year six of their Strengthening Program. When the two most optimistic of these 16 universities' estimates are omitted, this estimated increased capacity drops to 33%. Since 25% of the AID contract workers in this group are currently recruited from off-campus, these are narrow margins for the more careful selection of individuals needed for qualitative improvement and better matching of team members to the contract task.

4. AID is still having difficulty in inducing university interest in the majority of African posts, and extreme difficulty in obtaining faculty members in the required subject fields with adequate French or Arabic language capabilities. Although foreign language training is a significant component of almost all Strengthening Programs, expansion of numbers of agricultural faculty with French language speaking capability is proceeding very slowly. A total of only 89 faculty members (an average of 2.5 per grantee institution) have by their own

appraisal attained an "S-3" level of French speaking capability --i.e. "ability to participate effectively in most formal and informal conversations on practical, social and professional topics."

The difficulties of obtaining experts with requisite language skills for the less popular posts could lead, unless extreme care is taken, to a lowering of professional standards. Every effort should be used to avoid this. "Only the best people are not counterproductive in an overseas assignment" is perhaps only a slight overstatement. Contrary perhaps to popular belief, LDC agriculture does not require a lower level of scientific input than does American agriculture. Quite the opposite! Normally, the climate is more stressful on crops, the soils poorer or more deteriorated by use and weather, the diseases and pests more numerous and more vigorous, and social systems frequently more inimical to development in LDCs than in our more temperate agriculture. Typically, the farms, though smaller, are managerially fully as complex. Above all, the farmers are poorer and the margins for error more narrow.

The more difficult the problem, the more demanding are the technical and scientific requirements for technical assistance to help solve it.

The above circumstances make clear that arrangements must be pressed forward to assure utilization of resources of all qualified universities. It requires continuation of Strengthening Grant Support but only to those universities whose activities under the program, and earnest efforts to seek involvements in AID programs, merit such support.

It also requires that the Memorandum of Understanding be evolved to develop effective collaborating arrangements among universities that have demonstrated their ability and determination to produce in a Title XII context.

Summary of Some Principal Findings

The analyses made as part of this evaluation of the Strengthening Program revealed both favorable and unfavorable aspects. The principal findings are outlined very briefly below.

1. The Program has had a major impact on university attitudes toward and commitment to university involvement in foreign assistance. This has probably been as much an indirect catalytic effect of the Strengthening Program as a product of direct, grant funded activities.

Many universities were essentially withdrawing from involvements in LDC programs, withdrawals which would have been essentially consummated with the retirement of the relatively few faculty members with lingering interests born of experiences in the 1950s and early '60s. These attitudes have been in large part reversed. Faculty members in large numbers have participated in conferences; over 2,000 of them have studied one or more language courses, several hundred have undertaken LDC-oriented research and developed LDC-oriented courses or curricula, visited one or more less-developed countries, participated in study groups to reorient university policies. University administrators have reorganized management structures for development assistance work, reshaped and presented budgets including Title XII components, led policy changing processes!

As was indicated earlier, this type reorientation activity quite largely dominated strengthening programs for the first year or two and is now largely completed.

2. The potential for increased supply of university resources to AID from the universities with relatively little current program involvement is considerable.

By far the largest percentage increase in potential for future expansion of work for AID is among those universities now only lightly involved in AID programs.

In absolute terms, however, the expansion potential in capacity does not differ greatly as between universities with relatively high as compared with low levels of current AID involvement. Typically, the more heavily involved institution estimates about a 33% expansion in capacity for AID work by the sixth year of the Strengthening Program. Typically, also, this institution currently employs about 25% of its AID contract personnel from outside its own faculty.

Clearly, even if current levels of use of university faculty and staff do not substantially expand in the years ahead, AID needs to avail itself of the resources of universities of all levels of current involvement in AID programs.

3. The Matching Formula Strengthening Program is predominately a university-financed program. Currently, about 70% of the funds in the program is funded by the universities, about 30% by AID.

An AID support level of \$4,261,256 is required for F.Y. 1982 for the Matching Formula Program. Against this \$4,261,256, the direct cost matching contribution by the 45 universities is \$6,326,655. This results in a total Strengthening Program budget for these 45 universities of \$10,587,911

of direct costs. Universities are required to contribute all "overhead" costs which are, very conservatively, estimated at 35% of the total direct cost, or a total of \$3,705,768. Therefore, the budget for the F.Y. 1982 Strengthening Program is approximately:

AID contribution		\$ 4,261,256
University contribution:		\$10,032,423
direct costs:	\$6,326,655	
indirect costs:	<u>3,705,768</u>	
	Total	<u>\$14,293,679</u>

It should be recognized that the university contributions are genuine contributions to the cost of the individual university Strengthening Program. AID program managers make no differentiation as between AID or university source of funds in determining allowability of a given expenditure. Similarly, no expenditures normally included as an "overhead" or "indirect" cost can be funded from the AID grant nor allowed as a matching contribution. One of the happier features of the program is the number of universities exceeding the required minimum match and the size of the overmatch.

4. The state of knowledge by university faculty about various aspects of LDC agriculture is being rapidly expanded through Strengthening Program-financed research carried out by faculty members and through supervision of graduate students.

In the first year alone, under the Strengthening Program (data are from 36 reporting Grantees):

- 149 faculty members did a total of 3,400 man-days of research in the LDCs;
- 132 faculty members did a total of 4,000 man-days of research in the U.S. on LDC problems;
- 235 faculty members supervised graduate student research on LDC problems;
- 99 graduate students did research work in the LDCs;
- 119 graduate students did research in the U.S. on LDC problems, many of whom were planning to do some of their research work later in LDCs.

Similar data were not obtained for the second year but comparison of Annual Reports for the first and second year indicates clearly that LDC-focused research has been continued and expanded in quantity.

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This research, in addition to directly expanding knowledge about LDCs' food and agricultural problems; has:

- Attracted the interest of the more scientifically research-oriented university personnel in the problems of LDC agriculture and in working on these problems under AID/University contracts;
 - provided these persons, interested in work with AID, opportunities to orient and adapt their own scientific knowledge to LDC conditions and problems, bridging gaps between U.S. and LDC application;
 - provided material for improved teaching and specific opportunities for graduate student study and research in LDCs, thereby enhancing both quantity and quality of potential future faculty members who will be interested in LDC work.
5. Satisfactory progress has not been made toward removing language barriers in the languages most needed.

In the first year of the program, 33 universities reporting indicated that:

- 89 new language courses, focussing on language skills needed for work in LDCs, were developed and taught to faculty, staff and spouses: 46 in Spanish, 32 in French, 2 in Arabic, 1 in Portuguese and 1 in Indonesian.
- 1,009 faculty, graduate students and spouses spent an average of 105 hours per person for total of over 100,000 hours, in language training.

Of the 43 universities reporting on this topic this year (i.e. the second year of their programs):

- 39 are currently providing language courses
- 1,075 faculty, graduate students and spouses were enrolled in these courses,

However, the trend has been toward greater emphasis on Spanish language training and, unfortunately, lesser emphasis on other needed languages.

Number of Enrollees in:

Spanish	739
French	276
Arabic	20
Other	40

Linguistic illiteracy in a second language is almost a hallmark of professional U.S. agriculturists. Whatever its limitations, this investment in language learning marks a revolution in agricultural faculty attitude and experience.

More important than the number of enrollees of course, is their progress toward acquiring needed language capability. This progress is indicated by the following levels of achievement in language-speaking capability as reported by 43 university administrators (self-estimate rating or instructor rating, using the Foreign Service Institute criteria):

<u>Language</u>	<u>Numbers of faculty/staff</u>	<u>Average no. per university reporting</u>
Spanish:		
S 1	= 411	11.7
S 2	= 219	6.2
S 3	= 210	6.0
French:		
S 1	= 323	9.2
S 2	= 184	5.3
S 3 & above	= 89	2.5

S 1 = Able to satisfy routine travel needs and minimum courtesy requirements.

S 2 = Able to satisfy routine social demands and limited work requirements.

S 3 = Able to participate effectively in most formal and informal conversations on practical, social and professional topics.

Progress in removing language barriers--except for Spanish--has been disappointingly slow. The basic problem is the difficulty--and to a degree the inherent wastefulness--of engaging faculty members in study of a given language (say French or Arabic) in the absence of some reasonably high expectation of an opportunity to use the acquired skill in a field assignment. This provides further evidence of the dependence of serious restructuring of the Strengthening Program of individual universities upon a prior determination of their place and topics of long-term involvement.

Nevertheless, French language capability remains a crucial constraint on Title XII. The Strengthening Programs must focus on reducing sharply this constraint. This will be easier for universities to do as they focus Strengthening investments increasingly on those relatively few faculty members who are

genuine candidates for early overseas assignments. Accordingly, Strengthening Grant extension actions will communicate to individual universities (tailored to their individual circumstances):

- 1) The need to emphasize more sharply, through reallocation of Strengthening Program funds, their French language training programs;
 - 2) the need for regional conferences or work shops among grantees, cooperatively financed under their Strengthening Program funds, to compare results of their varied French language instructional programs, to examine and develop, if feasible, continuing collaborative efforts among the universities to accelerate French language training, and to advise AID on practical steps it might take to accelerate progress toward greater French language capability by U.S. university faculty;
 - 3) the need to reorient travel so that university technical experts can follow background training in French language by well designed work assignments to assist missions in francophone countries, financed by the university Strengthening Programs but under arrangements with missions and host countries, which will facilitate development of French language skills as a major objective. These work assignments would also provide the faculty members opportunities to familiarize themselves with the characteristics of the less developed country as related to their fields of expertise. These arrangements would necessarily be with or through those AID missions which perceive a long range gain to their objectives through expansion of technical resources suited to their program needs.
6. Geographic focus remains too heavily on Latin America and the Caribbean and too little on Africa.

This is a difficult issue to analyze. Travel is clearly skewed toward LAC and against Africa; but LAC trips are much cheaper and easier to arrange. Foreign language study is weighted toward Spanish as against French or Arabic nearly 2:1.

Dr. David Hansen's analysis of regional concentration of the Strengthening Program plans showed the following program focus (several universities "focus" on more than one region):

<u>Region</u>	<u>Program</u>	<u>Focus</u>
	<u>Number</u>	<u>%</u>
Africa	32	67
Asia	19	38
LAC	29	60
Near East	8	16

This present analysis, based on questionnaires, was somewhat inconclusive, but tends to confirm Dr. Hansen's findings that actual Strengthening Program activities reveal much less emphasis upon Asia, somewhat less on Africa and considerably more on LAC than their original program plans would indicate.

Fundamentally, however, geographic emphasis by the individual university Strengthening Program derives from the university's involvement in country projects. In a separate study it was found that universities with more than one contract do not concentrate them in a single country or region, probably because university selection procedures work against such concentration. The real point is that the degree or lack of geographic concentration by individual universities depends almost entirely upon where they can obtain contracts.

Very important in this connection is the fact that a large fraction (perhaps one half) of AID agricultural project activity with universities is "world-wide," centrally funded training, research, and technical service arrangements of various kinds, for which country specialization by a university might be counter indicated.

For roughly one-half of Africa, as we have seen, the problem of U.S. university response capability is inescapably related to lack of French language capability among U.S. agricultural faculty.

7. Topical specialization is less than would be desirable

Topical specialization appears to be on the increase but has greater potential than has yet been achieved for concentrating scientific resources in greater depth on given problems with consequent greater likelihood of scientific breakthroughs.

Strengthening Programs tend to be more topically concentrated than do the contract activities of the same universities. Some Strengthening Programs are almost totally concentrated on a single topic--Kentucky on no-tillage agriculture, Auburn on aquaculture, Iowa State, Tuskegee, Vermont and V.P.I. on nutrition, Rhode Island on fisheries, Louisiana State on rice, several on semi-arid lands agriculture and several also on small farming systems.

Such concentration, however, often becomes a liability to universities' efforts to obtain a contract, and will remain so under competition among single institutions. Since most AID Mission-funded contracts are relatively unconcentrated by subject matter the objective of concentrating Strengthening Programs by subject matter tends to be incompatible with the objective of making them more supportive of the university's mission-funded field projects.

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If AID, and the universities, are to reap the great advantage of more topical specialization, the process by which university resources are matched to AID's needs must continue to be refined based, in part, on recommendations from the BIFAD in accordance with its primary mission under the Joint Resolution.

8. "Off-campus" hiring by major university contractors is too commonly practiced

Some universities still employ a large fraction of contract employees "off campus" on their Title XII projects. Universities' employment on AID projects of "off-campus" employees averaged about 17% of total employees. Off-campus hiring averaged only about 2 1/2% for universities doing less than \$500,000 of AID contract work, and about 25% for the remaining universities. However, 10 universities employed over 40% and 4 universities over 50% of their contract workers off-campus. To the extent that off-campus hiring did not involve smaller or other well-qualified institutions, corrective measures will be explored with these universities during Strengthening Grant extensions.

9. International travel needs to be restructured

International travel constitutes a relatively minor, but highly conspicuous component of the Strengthening Programs. It comprises about 12 1/2% of total Strengthening Program expenditures, ranging among the different universities from 0 to 37%.

As universities' Strengthening Programs move into the field program support stage, international travel by grantee faculty needs to be reoriented accordingly. It is clear that travel has been too heavily skewed toward LAC (about one-half of all travel) and insufficiently toward Africa. Especially, too little has been sufficiently closely related to mission needs.

Accordingly, as of Dec. 7, 1981, all such travel was suspended except by special waiver--essentially limited to travel at mission request--pending issuance of new guidelines.

In brief the new guidelines should:

- Establish some limits on overall travel;
- essentially eliminate brief, multi-country "orientation" trips;
- limit even more sharply attendance at professional international conferences as principal justification for international travel unless these conferences focus on Title XII problems;

-- establish, as the dominant type of strengthening program-financed travel, trips of at least one to three months' duration, taken with AID missions participation for gaining practical experience by being attached to a mission or to a mission project, or by planning and implementing research of interest to host governments or missions, augmenting resources in a project, providing non-project assistance to host government or institution at the request of Mission. Such travel would provide the travelers significant experiences which would contribute most significantly to strengthening their university in Title XII capability, as well as importantly assisting Missions and LDC officials. Travel for the additional purpose of providing faculty with opportunities to improve French language skills is a special case of this type of reorientation.

Those missions and universities with which the approach has been discussed have been highly favorable to it.

11/19/82

Strengthening Grant Status

University of New Hampshire

- JCAD recommended that the Strengthening Grant proposal for the Univ. of New Hampshire be returned to the Strengthening Grant Peer Review Panel for further clarification of issues before submission to JCARD for action. This proposal is still under review.

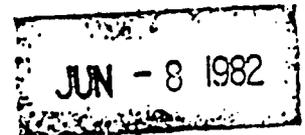
Prairie View A&M University

- The Strengthening Grant Peer Review Panel approved the Strengthening Grant proposal for Prairie View be recommended to JCARD for necessary action. (Recommend. to the BIFAD the acceptability of the proposal for funding consideration.)

Registry of Institutional Resources Eligibility Status

Western Illinois University

- After a site visit, the RIR Peer Review Panel recommended that Western Illinois be upgraded to List A (Roster). WIU is presently on the RIR B-1 list.

DRAFT

MEMORANDUM OF UNDERSTANDING
BETWEEN THE
AGENCY FOR INTERNATIONAL DEVELOPMENT
AND THE
(SPECIFIC NAME OF TITLE XII UNIVERSITY)

Pursuant to the authority contained in Title XII of the Foreign Assistance Act of 1961, as amended, the Agency for International Development ("A.I.D.") and the University ("University") hereby enter into this Memorandum of Understanding ("Memorandum").

ARTICLE I - PURPOSE

Title XII of the Foreign Assistance Act, as amended, (hereafter referred to as Title XII) has as its broad, overriding purpose to marshal the human and institutional resources of eligible universities, in a more effective partnership with A.I.D., in order to train people and develop and strengthen self-sustaining institutions serving agriculture and rural life in developing countries. The ultimate objective of this partnership is the prevention of famine and freedom from hunger -- to be realized by provision of long term support to the application of science for solving food and nutrition problems in developing countries; by improving U.S. university involvement in AID's efforts to apply science to the goal of increasing world food production; and by strengthening the capabilities of individual universities in program related institutional development.

The commitment of eligible universities of the United States to participate in A.I.D.'s international agricultural programs is recognized as vital in providing sustained support for helping the developing countries to solve their food and nutrition problems. At the same time, the commitment of A.I.D. to a long term relationship with universities also is recognized as essential if universities are to achieve their full potential in assisting A.I.D. to accomplish its mission.

This memorandum establishes the initial framework for a collaborative relationship and understanding between A.I.D. and the university, and provides broad guidelines for the joint planning and implementation of international food, nutrition, agricultural development, and related programs, under authority of the Title XII amendment. The Memorandum is also intended to facilitate the further development of an efficient and effective long-term partnership and working relationship between the University and AID in the conduct of mutually agreed upon components of the AID program and Title XII legislation. In furtherance of this purpose it provides for joint development of a forward planning mechanism which projects the levels and kinds of services for long-term participation by the university in AID programs.

This memorandum sets forth actions to be taken by AID and by the university which constitute a quid pro quo that will

assure the university continuity of involvement in a longer term setting, and will assure A.I.D. a more qualified, responsive, and effective university resource with greater capacity to support A.I.D.'s Title XII programs on a sustained basis.

ARTICLE II - THE UNIVERSITY

1. The University has been certified as a Title XII eligible Institution by the Board for International Food and Agricultural Development (BIFAD). This action was taken by the BIFAD at its meeting on _____ as documented in the Certified Minutes of that meeting.
2. The University has submitted to BIFAD its data for the Registry of Institutional Resources (RIR).
3. The University has adopted and implemented policies and procedures which encourage faculty and staff involvement in international programs and which demonstrate the commitment of its administrators to university involvement in such programs. A statement of these policies and procedures is included as Att. A to this memorandum.

ARTICLE III - DURATION, REVIEW, FORWARD PLANNING AND EXTENSION

This Memorandum is effective on the date of the last signature thereto and will remain in effect for five (5) years. In order to maintain a five-year forward term, the Memorandum will be extended for one year as mutually agreed by the parties at the time of each annual review and forward planning exercise.

Annually, during the 4th quarter of AID's fiscal year, the parties will conduct a formal review and forward planning exercise. This exercise will cover all activities conducted under the Memorandum. It will include a review of the past year's activities, and projected activities during the next five year period. Forward planning will include identification of opportunities in terms of Title XII projects, programs of work of individual faculty, research and training in order for A.I.D. and the University to achieve the levels and kinds of services which may be required. The parties may also mutually agree at that time on a one year extension, modification, amendments, or termination of the Memorandum.

ARTICLE IV - EVALUATION

In addition to the review scheduled under Article III, A.I.D., BIFAD or the University may request a special review and evaluation

of the implementation of this memorandum at any time. The results of such reviews shall be reported in writing to A.I.D., BIFAD and the University.

ARTICLE V - COLLABORATION WITH SMALL INSTITUTIONS

The parties recognize that small institutions within the community of U.S. universities have significant talent and expertise in specific areas relevant to international development programs. It is agreed that maximum advantage should be taken of these resources in the design and implementation of A.I.D. and other projects, and that A.I.D. and the university should encourage the participation of, and collaborative relationships with, small institutions in the conduct of Title XII programs.

ARTICLE VI - UNIVERSITY PARTICIPATION

1. The Title XII program participation which the University agrees to use its best efforts to provide is as follows:

A. Subject Matter, Geographical and Ecological Concentration - (to be negotiated)

B. Long Term Staff Assignments Abroad - The following person-years of professional services in long term staff assignments abroad:

1983

1984

1985

etc.

- C. Short Term Staff Assignments -- Short-term professional services funded under the indefinite quantity contract (IQC) provided for in Article VIII 3.

Attachment B, Table 1, specifies the number of long term staff currently assigned abroad and projected to be assigned abroad under Title XII contracts and grants. Attachment B, Table 2 is a listing of current agreements between AID and the University under which the currently assigned staff are serving.

2. Staff Changes. The level of professional person-years may be adjusted by amendment of this memorandum in accordance with findings of the reviews made under Articles III or IV or as otherwise agreed.

ARTICLE VII SUSTAINED A.I.D. SUPPORT

For the term of this agreement, A.I.D. agrees to use its best efforts to support the level of person years of professional services in the subject fields specified in Article VI-1 above. Such efforts shall be directed as follows:

- A. Alternative Program and Project Opportunities. In order to provide sustained employment at the specified levels, A.I.D. agrees, subject to the availability of funds and the mutual agreement of the parties, to provide the University with alternative program and project opportunities.

B. Program Support Grant. The Program Support Grant discussed next under Article VIII - 2 may be used, as an alternative to A above, to sustain, for interim periods, the employment levels specified in Article VI-1-B. The Program Support Grant will not be used, however, for interim support at levels in excess of those so specified.

C. Other. If, during any interim period, the University has not achieved A.I.D. support at the specified levels of long-term staff assignments abroad in Title XII areas under various other agreements between A.I.D. and the University, and so requests, A.I.D. will otherwise seek to the maximum extent practicable, to sustain those levels of employment. Such sustaining may be realized through the placement of staff members into activities funded by A.I.D. under contracts, grants or cooperative agreements with other entities; temporary assignments of the University's permanent employees to A.I.D. missions and/or regional or central bureaus by mutual agreement of the parties; on the engagement and funding of employees in accordance with the applicable provisions of a Dual Path Employment Agreement (DPEA), or the Inter-Governmental Personnel Act (IPA), as implemented by A.I.D.

ARTICLE VIII FUNDING

1. Contracts and Grants. Funding for university participation described in Article VI will be available through contracts, grants,

and cooperative or other agreements secured by the university from A.I.D. Under applicable acquisition or award procedures.

2. Program Support Grant. A.I.D. will utilize a "Program Support Grant," to fund the maintenance of long term professional support of A.I.D.'s foreign assistance programs, and for the conduct of other university activities directed toward sustaining and upgrading Title XII performance capabilities, and fulfilling the objectives of Title XII directed efforts. Subject to the availability of funds, the annual amount of the program support grant will be ten percent of the annual average of A.I.D. business for the past three years up to a maximum of \$300,000. Unexpended funds can be accumulated under the Project Support Grant in an amount not to exceed the total of amounts obligated to the grant over the immediately preceding three years. While the grant will be for support of A.I.D.'s programs, the University shall have maximum responsibility and flexibility in managing the grant. The grant will specify that A.I.D.'s funds will be in support of the following activities:

- A. to mobilize its professional and institutional resources, prepare its staff, focus relevant aspects of its research and educational programs on LDC problems and otherwise increase and maintain its capacity to participate in Title XII and related activities in the LDCs. Expenditures under this category are not meant to replace items normally included in grants and contracts.

- B. to meet unanticipated interim costs associated with core staff, programs and positions when not assigned to funded Title XII activities.

Program Support Grant Funds made available to the University by A.I.D. which are utilized for functional component A above, will be matched dollar for dollar by the University with non-federal funds. PSG funds utilized for this component will not be utilized for payment of indirect costs.

PSG funds utilized for functional component B above, will not be matched by the University nor be utilized for payment of indirect costs.

- 3. Indefinite Quantity of Contract for Short-Term Advisory Services. -- A.I.D. may request short term professional services from time to time through its missions, regional, or Washington offices. Such short term assistance shall be defined and funded under an indefinite quantity contract (IQC) between A.I.D. and the University.
- 4. A.I.D. Employment and Interchange Programs. - The University's permanent employees may be assigned to A.I.D. missions and regional or central bureaus by

mutual agreement of the parties. University employees would be engaged and funded in accordance with the applicable provisions of the Joint Career Corps (JCC), or the Inter-Governmental Personnel Act (IPA), as implemented by A.I.D.

University of _____

United States of America
Agency for International
Development

Signature: _____

Signature: _____

Title: _____

Title: _____

Date: _____

Date: _____

MAR 22 1982

ACTION MEMORANDUM FOR THE DEPUTY ADMINISTRATOR

THRU: ES

FROM: S&T, N. C. Brady 

SUBJECT: Title XII, University Joint Enterprises

Purpose: Hugh Dwelley's memorandum dated December 18, 1981, is attached. It records a meeting arranged by the BIFAD staff with university representatives to seek ways to implement what has come to be known as the "joint enterprise"* proposal from your speech at Alabama A&M and the Administrator's to the National Association of State Universities and Land Grant Colleges on November 10, 1981. We believe that the procedures described below will permit us to develop more effective and efficient access to a broad range of university resources, particularly among the smaller universities. The procedures arrived at involve five steps as follows:

1. AID identify the projects to be undertaken and in consultation with BIFAD staff pre-identify possible segments that might be suitable for a single institution to undertake.
2. AID and BIFAD staff invite "documentation of interest" from individual or self-formed groups of universities interested in the project or parts thereof.

(When the documentations of interest have been received by the AID/BIFAD staff, that staff will then notify all parties that have expressed interest of the entire listing of those who have responded, and of the segments in which each of them has expressed an interest. The universities will be encouraged to contact one another and participate in a self-grouping activity in anticipation of the formal solicitation of technical proposals to follow.)

3. The contracts office (SER/CM) solicit formal technical proposals from all those who previously expressed interest.

(Only proposals from joint enterprises of at least one small and one large institution --- with the smaller having significant participation --- will be considered. Proposals must be for the entire project, however, the segments to be undertaken by each of the proposing joint enterprises partners need not be as initially suggested by AID. Also, the enterprise may be subject to subsequent "tailoring" to ensure application of the best available talent to meet the needs of the project.)

*The GC has advised that the term "joint venture" which appeared in the Administrator's speech has a particular legal meaning which would make it an inappropriate title for the arrangements contemplated here.

4. Conduct a peer review and rank ordering of the proposals received. (Review will be by a technical evaluation panel under AID auspices composed predominantly of full time government employees and including bureau, missions and host country representatives, as appropriate, and two voting members from the university community. At least one of the university representatives will be from a smaller university -- but neither will be from any of the competing joint enterprises. The panel will submit a memorandum to SER/CM ranking each proposal in descending order of technical excellence, and which presents the panel's rationale for each proposal's position in the ranking.)

5. The contracts office (SER/CM) solicit a priced proposal from the highest technical ranked joint enterprise and negotiate and award a contract or cooperative agreement using standard procedures.

There are more details in the memo attached including a conclusion that established consortia of universities will not be eligible to propose for these two pilot joint enterprise projects.

The above procedure for selecting university participants closely parallel the collaborative assistance procedures set forth in subpart 7-4.58 of the AID/PRS.

Recommendation: I recommend that you approve the procedures outlined above and that, if you do so, you assign the S&T Bureau responsibility to identify the two projects and then to work with the BIFAD Staff and SER/CM in undertaking the contracting process.

Approve: [Signature]

Disapprove: _____

Date: March 26, 1982

Attachment:

~~A-2~~
H. Dwelle memo to The File
dtd 12/18/81

Clearance:		
AA/M, R.T. Rollis	<u>[Signature]</u>	Date <u>3-2-82</u>
BIFAD/S, E. Kiehl	<u>[Signature]</u>	Date <u>3/9/82</u>
GC, K. Kammerer	<u>[Signature]</u>	Date <u>3/19/82</u>
M/DAA/SER, J. Owens	<u>[Signature]</u>	Date <u>3/8/82</u>
S&T, L. Yaeger	<u>[Signature]</u>	Date _____

PROCESS OF SELECTION: TITLE XII UNIVERSITY CONTRACTORS TAB N

The selection method that is currently used for university contractors follows one of two tracks depending upon whether the Collaborative Assistance Method or Standard University Contract is used 1/:

Track 1

Collaborative Assistance

1. The Mission in collaboration with host country, provides Project Committee in a Regional Bureau with Project Identification Document (PID) describing the nature of the problem which requires technical assistance from a University. The Project Committee is comprised of representatives from (but not limited to) the Missions, the Regional Bureaus in Washington, and the Contract Office.

2. The Project Committee, after consultation with the Mission and host government requests that the BIFAD Staff prepare an initial source list of the most qualified universities 2/. The Project Committee provides BIFAD Staff with evaluation criteria, including the nature of expertise, geographical experience, host country relationship, institutional commitments, etc, required of a university, based on information in the PID.

Track 2

Standard Contract

1. The Mission in Collaboration with host country provides Project Committee in a Regional Bureau with Project Paper (PP) (The Mission may have prepared the PP itself, or with augmented resources from USDA, an IQC or Cooperative Agreement.) When the PP has been reviewed and approved, and a Project Agreement signed with the host country, the Mission prepares a Project Implementation Order/Technical Services (PIO/T). The PIO/T describes the scope of services needed to implement the project.

2. The Project Committee after consultation with the Mission and host government requests that the BIFAD Staff prepare an initial source list of the most qualified Universities 2/. The Project Committee provides BIFAD Staff with evaluation criteria including nature of expertise, prior experience, organization etc., required from a university, based on information in the PP and the PIO/T.

1/. Under Collaborative Assistance a University participates along with the host country in the design and implementation of a project. Under standard university contract, universities participate in selected services identified by AID and the host country, including project planning and design and, separately, for project implementation.

2/. BIFAD Staff informs the agricultural university community of actual and anticipated Title XII projects through publication of brief project summaries in BIFAD BRIEFS, and by providing copies of the Congressional Presentation (all Title XII officers regularly receive these publications). This provides an opportunity for institutions to indicate their interest and capabilities in light of specific project needs. Institutions that have interest and capability in any of the Title XII projects can send Documentation of Interest and Capability forms (periodically attached to the BIFAD BRIEFS or available at the BIFAD office) to BIFAD Staff, Country Programs Division, Room 2246, Washington, D.C. 20523.

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(Continued)

Collaborative Assistance

3. The BIFAD Staff submits a recommended source list to the chairperson of the Project Committee. The Universities on this initial source list are selected from BIFAD's roster of eligible universities on the basis of the registry of institutional resources, Documentation of Interest and Capability forms, and other current information, consistent with the evaluation criteria provided by the Project Committee. Universities which have submitted a Documentation of Interest and Capability form are automatically included in the recommended source list.

4. The Project Committee, in consultation with the Mission and host government, then prepares the Final Source List (or Short List) of institutions to be officially asked to express interest in designing and implementing the proposed project. The Project Committee may add universities to or delete some from the initial source list provided by BIFAD Staff. Requests for Expressions of Interest (REI's) are sent by AID's Contracting Officer to the Title XII Officer at each institutions on the Final Source List. University responses are expected to be received within 45-60 days. Universities which are not interested should send in a negative response. If some institutions cannot respond on time, then they may ask for extension of the deadline, setting forth their reason for the request. The deadline may be extended if there is sufficient reason. When advisable, potential contractor representatives may be sent to discuss the scope of nature of the problem to be addressed with the representatives of the Missions and the host country representatives to potential university campuses may be called for, but have not been utilized to date.

Standard Contract

3. The BIFAD Staff submits the initial source list to the chairperson of the Project Committee. The Universities on the initial source list are selected from BIFAD's roster of eligible universities on the basis of the registry of institutional resources, Documentation of Interest and other current information; and Capability forms, consistent with the evaluation criteria provided by the Project Committee. Universities, which have submitted a Documentation of Interest and Capability form are automatically included in the initial source list.

4. The Project Committee in consultation with the mission and host government then prepares the Final Source List (or Short List) of institutions to be officially asked to submit a proposal to implement the proposed project. The Project Committee may add universities to or delete some from the initial source list provided by BIFAD Staff. Requests for Technical Proposal (RFTP's) are sent by the AID's contracting officer to the Title XII Officer at each institutions on the Final Source List. (RFTP's include the selection criteria on the basis of which responses will be evaluated.) University responses are expected to be received within 45-60 days. Universities which are not interested should send in a negative response. If some institutions cannot respond on time, then they may ask for extension of the deadline, setting forth the reasons for the request. The deadline may be extended if there is sufficient reason.

(Continued)

Collaborative Assistance

5. The Project Committee, in consultation with the Mission and host government, evaluates all university responses on the basis of selection criteria, which are included in the REI package. The project committee may visit any or all of the universities which have submitted REI's. Each member of the Project Committee evaluates the responses and determines a score. BIFAD Staff is an ex-officio member of the Project Committee but does not participate in scoring. The institutions are ranked, based on their score, and negotiations are undertaken with the highest scoring university by AID's contracting office. If an agreement cannot be reached with the highest scoring institution AID negotiates with the next on the list. The Contractor is selected, and a contract is negotiated covering the services required for design of the project.

6. The contractor team goes to the field to participate with host country and Mission personnel in designing the project, preparing the project paper (PP), and the detailed work plan for the first year.

7. When the PP has been reviewed and approved and the Project Agreement signed with the host country AID prepares the PIO/T and negotiates with the university an amendment to the design contract, covering services required to implement the project described in the PP. There is no further selection process, assuming a satisfactory relationship has been established during the design phase.

Standard Contract

5. The Project Committee in consultation with the Mission and host government evaluate all university responses on the basis of the selection criteria. When advisable, the project committee will visit universities that have responded to the RFTP. Each member of the Project Committee evaluates the responses and determines a score. BIFAD Staff is an ex-officio member of the Project Committee but does not participate in scoring. The institutions are ranked based on their score and negotiations are undertaken with the highest scoring university by AID's contracting office. If an agreement cannot be reached with the highest scoring institution, AID negotiates with the next on the list. The contractor is selected.

ANNOUNCEMENT OF A.I.D. JOINT CAREER CORPS OPPORTUNITIES

The Agency for International Development (A.I.D.) is interested in negotiating agreements with appropriate universities to participate in the Joint Career Corps (JCC) under which selected faculty members would, on a career basis, spend 1/3 of their time working for A.I.D., normally on overseas tours ranging from two to four years, and 2/3 of their time at their universities. The individuals selected will serve under the Intergovernmental Personnel Act (IPA).

Participants in the JCC will be seen as an elite corps of senior-level professionals having a major impact on the scientific aspects of the Agency's programs as well as on the nature of related teaching and research at their universities. They should have the kinds of qualities sought by universities for department heads, scientific administrators or other such leadership positions.

Candidates proposed by universities should be tenured faculty, at least at the Associate Professor level, with established scientific reputations, leadership qualities and the ability to provide both technical and broad-gauge advice to missions and high-level host country officials. As substantial university participation in the arrangement, and support to the JCC members are essential, prior and continuing involvement in development assistance work in developing countries by the candidate's university will be a principal criterion in selection.

Since Corps members will be working in their scientific disciplines overseas, the experience is expected to enhance their professional roles in teaching and research at their universities between A.I.D. tours, during which periods the Agency would look to them for continuing advice and short-term consultancies under appropriate funding arrangements.

Since the JCC is a two-way program, it is expected that participating universities would be prepared to receive and utilize appropriately qualified A.I.D. professionals for a year or so in teaching, research or other university activities. Such assignments, and the remuneration involved, would be negotiated for each case.

The five JCC assignments currently available (listed below) are to be filled as soon as possible, but in any case, by September 30, 1983. The mandatory full-field security clearance normally takes 3-4 months. Requirements for pre-departure and end-of-tour physicals and hospitalization insurance will be

the responsibility of the university. In general, Corps members will receive all of the same benefits as A.I.D. Direct Hire employees, within local regulations established at individual posts. However, they will travel on tourist passports. Salary levels will be based on a combination of annualized university salary and Foreign Service grade for the particular assignment required by the mission.

We are currently requesting applications from qualified universities interested in participating in the JCC program under which initial assignments would be among the following mission requests:

Position Number 1.

TITLE Agricultural Policy Specialist

LOCATION OF FIRST A.I.D. ASSIGNMENT USAID/Ecuador
Quito, Ecuador

DURATION OF ASSIGNMENT 2-4 years with preference for 4 year
commitment

PRINCIPAL DUTIES High level advice, assistance and leadership to USAID in Agricultural Policy. Includes, preparation of policy studies, assessments and evaluations for USAID; assistance in developing USAID Agricultural and Rural Development Strategies and Projects; monitoring of on-going agricultural policy and statistics sub-projects. Specifically, the JCC employee will be responsible for: leadership in assessments and policy studies of Ecuadorean agricultural sector required for USAID programming purposes, including analyses of agricultural price policies, land reform policies, production incentives, policies toward agricultural research, education and extension, roles of private sector, etc. Will work closely with high level Ecuadorean officials and representatives of World Bank, Inter-American Development Bank, and other agencies concerned with agricultural policy. Is expected to exercise high degree of initiative.

QUALIFICATIONS High degree of analytic expertise and writing skill, ability to translate theoretical analyses into operational recommendations, Ph.D. in Agricultural Economics or equivalent. Previous Latin American experience highly desirable; Spanish proficiency S-3, R-3 level mandatory. Assignment to post desired as soon as possible.

Position Number 2.

TITLE Agricultural Economist: Agricultural Policy, Planning
Analyst

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LOCATION OF FIRST A.I.D. ASSIGNMENT USAID/Panama, Panama City

DURATION OF ASSIGNMENT Minimum 2 years

PRINCIPAL DUTIES Provide high level assistance to mission in the design, and later in the management/monitoring, of an agricultural policy and planning activity to upgrade and strengthen the Government of Panama's institutional capacities in agricultural sector analyses, policies and development strategies. This activity is designed as part of USAID effort to provide highly sophisticated sector analyses together with policy advice and counsel to senior Government of Panama decision makers. Specific duties of JCC employee would include helping mission define major production and marketing price policy and other issues; staff requirements of Panamanian agency for conduct of policy/strategy analysis, and technical assistance requirements for USAID project activity. Employee would also serve as the A.I.D. manager of this project, keep Mission informed on agricultural sector issues, and provide other sector analyses and reports as requested by the Mission.

QUALIFICATIONS Mandatory requirements: Ph.D. degree in Agricultural Economics, or in Economics with substantial agricultural content; 3-5 years experience in Latin America working in national or regional planning; Spanish language proficiency at S-3, R-3 level. Desirable, previous advisory or consultative experience at ministry or sub-ministry level. Employee must be good team worker, good communicator, able to work freely and effectively with host government officials. Assignment to post desired as soon as possible.

Position Number 3 and 4

TITLE #3 Agricultural Research Specialist with concentration on groundnuts or related crops and soil nutrients management

#4 Agricultural Research Specialist with concentration on post harvest technologies and utilization of fruits and vegetables and Soybean processing technology

LOCATION OF FIRST A.I.D. ASSIGNMENT USAID/India, New Delhi

DURATION OF ASSIGNMENT Minimum of 2 years, beginning as soon as possible

PRINCIPAL DUTIES To assist USAID/India in the management of a large, multifaceted agricultural research project. The purpose of this project is to strengthen the capacity of the Indian Agricultural Research System to conduct research on priority

agricultural problems. Collaboration between Indian and U.S. institutions will be developed in key functional and scientific areas to be implemented through sub-projects. The JCC employee in position #3 will be principally and initially responsible for assisting the USAID Mission manage the implementation of the sub-project on groundnut research with emphasis on production and, in future, research on integrated plant nutrient management systems with emphasis on biological nitrogen fixation.

The JCC in position #4 will be principally and initially responsible for assisting the mission manage implementation of the subprojects on utilization and post harvest technologies for fruits and vegetables and on Soybean processing technologies.

It is anticipated that for sub-project implementation A.I.D will contract for the services of a number of U.S. educational institutions and/or individual scientists to work with Indian institutions on short-time basis in support of specialized research on part of sub-projects. Duties of JCC employees will include, within his/her area of research, sub-contract management responsibility:

1. Maintaining close contact with Indian institutions involved,
2. Locating, recruiting, and arranging with U.S. institutions or scientists as required for the sub-project,
3. Identifying appropriate programs for U.S. training of Indian participants and arranging placements as necessary,
4. Preparing specifications for project supplies and equipment to be imported from the U.S.,
5. Participating in monitoring, evaluating, redesigning as needed, and reporting on the sub-project,
6. participating as above in new sub-project areas, within his/her subject area, as might be developed.

QUALIFICATIONS Ph.D. or minimum MSC degree. For position #3, individual should be trained in groundnut or related crop and in soil nutrient management research. For position #4, should be trained in post harvest technologies of fruits and vegetables. At least six years experience beyond degree level. Two years overseas experience in developing country desirable. Experience with A.I.D. procedures through previous work experience desirable. Ability to perform without close supervision, and ability to work as a team and communicate effectively with A.I.D, Indian agencies and officials and contracting teams, and

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ability to function to bring scientific competitiveness to bear on an operational approach toward A.I.D. program goals, are essential qualifications.

Position Number 5.

TITLE Forestry Specialist

LOCATION OF FIRST A.I.D. ASSIGNMENT USAID/India, New Delhi

DURATION OF ASSIGNMENT Minimum 2 years, beginning as soon as possible.

PRINCIPAL DUTIES Assist USAID in implementing ongoing "social forestry" projects and the biomass and agro-forestry research programs, and in development of a forestry sector strategy and identification of new forestry projects. JCC employee will maintain close contact with central and state government institutions involved in above activities; locate, recruit and arrange for U.S. institutions for specialized expertise needed; identify Indian participant training requirements for U.S. training and arrange for such training; develop broad sector strategy for USAID's future forestry activities including arrangement for additional U.S. expertise for this task. Strategy to include watershed management, minor tree products, potential for U.S./Indian private sector collaboration in pulp and paper industry, etc.; participate in monitoring, evaluation, reporting on forestry projects.

QUALIFICATIONS Ph.D. in forestry, essential. Minimum 6 years post degree experience. Ability to perform without close supervision, to work effectively as part of team, to communicate well with A.I.D. and Indian officials, and to work within an operational approach toward A.I.D. program goals, are essential. Two years prior overseas experience and familiarity with A.I.D. procedures are desirable.

University applications (requests from individuals will not be considered) should include the following information:

- I. Name of candidate(s) for a specific assignment, with bio-data:
 - a. Education and Training (degrees, dates, major, institution)
 - b. Professional Experience (include position titles, dates, overseas locations, research publications, honors, language skills, etc.) with specific reference to listed requirements of the assignment.

c. Date of earliest availability.

II Descriptions of programs at the university, related to the assignment, and providing a professional institutional base which would both benefit from and support the proposed participation in the JCC program.

Applications should be submitted by the university no later than December 1, 1982 to: Erven J. Long

S&T/RUR
Rm. 309, SA-18
Agency for International Development
Washington, DC 20523
Phone: (703) 235-8929

TALKING PAPER

REPORT TO BIFAD ON TECHNICAL SERVICES TO MISSIONS

BACKGROUND:

I WAS APPOINTED TO THE JCAD IN EARLY 1979. DURING THE FIRST MEETING THAT I ATTENDED, JACK RIGNEY AND OTHERS WERE REPORTING BACK ON RECENT TEAM VISITS TO THE MISSIONS TO EXPLAIN AND PROMOTE TITLE XII. THEY REPORTED BEING TOLD FREQUENTLY BY MISSION DIRECTORS THAT LOW USAGE OF UNIVERSITY SERVICES WAS PARTLY DUE TO THE LACK OF CONVENIENT INSTRUMENTS FOR CONTRACTING WITH THEM FOR URGENTLY NEEDED SHORT TERM SERVICES. THEY MENTIONED AID'S SERIES OF INDEFINITE QUANTITY CONTRACTS (IQCs) WITH CONSULTING FIRMS AS THE QUICKEST WAY TO REACH THE PEOPLE THEY NEEDED TO HELP DESIGN PROJECTS.

IN EARLY 1980 THE JCAD RECOMMENDED AND THE BIFAD APPROVED A TITLE XII INITIATIVE TO ENCOURAGE AID MISSIONS TO ENTER INTO ORDER-TYPE CONTRACT ARRANGEMENTS WITH A TITLE XII UNIVERSITY FOR TECHNICAL SUPPORT TO THE MISSION'S PROGRAM. THESE CONTRACTS HAVE COME TO BE KNOWN AS TSMs. THEIR PURPOSES ARE:

-- TO PROVIDE THE INSTRUMENT FOR READY ACCESS THAT THE JCAD TEAMS FOUND LACKING.

-- TO TAP THE STRENGTHENED RESOURCES OF TITLE XII UNIVERSITIES, AND

-- MOST IMPORTANTLY, TO PROMOTE AND FACILITATE AN ONGOING LONG-TERM RELATIONSHIP BETWEEN A UNIVERSITY WITH A PARTICULAR INTEREST AND COMPETENCE IN A COUNTRY AND THE AID MISSION WORKING IN THAT COUNTRY.

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PRESENT STATUS:

TSMs WERE AWARDED IN SEPTEMBER 1981 TO TEXAS A&M FOR WORK WITH THE USAID IN THE DOMINICAN REPUBLIC AND TO THE UNIVERSITY OF FLORIDA FOR SERVICES TO THE COSTA RICA MISSION. EACH OF THESE HAS BEEN USED A COUPLE OF TIMES AND THE MISSIONS HAVE BEEN WELL SATISFIED. I HOPE THAT THE UNIVERSITIES HAVE ALSO BEEN SATISFIED.

MORE RECENTLY TSMs HAVE BEEN AWARDED TO MIAC FOR SERVICES TO REDSO/EAST AFRICA AND TO MUCIA TO WORK WITH THE REGIONAL DEVELOPMENT OFFICER IN BARBADOS. THERE HAS NOT BEEN TIME TO EVALUATE THESE AS YET.

CONSORTIA HAVE BEEN CONSIDERED FOR TSMs WITH REGIONAL AID OFFICES BUT NOT WITH SINGLE MISSIONS. IN THE LATTER CASE, IT IS FELT THAT THE GOAL OF ESTABLISHING AN ONGOING UNIVERSITY/ MISSION RELATIONSHIP WOULD BE LOST IF A CONSORTIA WERE

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CONTRACTED. SINCE WE WISH TO INVOLVE AS MANY OF THE STRENGTHENING GRANT UNIVERSITIES AS POSSIBLE, IT IS ALSO CURRENT POLICY TO LIMIT A UNIVERSITY TO NO MORE THAN ONE TSM. THIS LIMITATION CAN BE RECONSIDERED AFTER WE GET 20-30 TSMs IN PLACE.

THE AUGUST BIFAD BRIEFS ANNOUNCED THE POSSIBILITY OF TSMs FOR THE MISSIONS IN NEPAL, GUATEMALA, ECUADOR AND SUDAN. THE NEPAL REFINEMENT INCLUDES A NEED FOR HELP TO INVOLVE WOMEN IN ITS PROGRAMS. THE BIFAD STAFF REPORTED VERY GOOD INTEREST IN ALL FOUR OF THESE. THE SOURCE LISTS FOR NEPAL AND GUATEMALA ARE IN MY OFFER AND REPRESENT THE TECHNICAL PROPOSALS TO BE ISSUED SOON. THE LISTS FOR ECUADOR AND SUDAN ARE BEING HELD UNTIL THOSE MISSIONS SEND IN PIO/Ts.

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THE FUTURE:

A LISTING OF CURRENT TSMS AND OF THOSE ANTICIPATED IS ATTACHED. IN MY VIEW, THE INTEREST OF MISSIONS IN THESE INSTRUMENTS HAS NOT BEEN AS GREAT AS IT SHOULD BE. FREQUENTLY, THEY DON'T SEEM TO FIND THE TIME TO DEVELOP A SCOPE OF WORK AND SEND IT TO CM WITH A PIO/T. PERHAPS THEY ARE JUST TOO BUSY ON IMMEDIATE PROJECTS TO FOCUS ON THIS LONGER TERM INSTRUMENT.

I HAVE BEEN PROMOTING THE TSM CONCEPT IN MESSAGES TO THE MISSIONS AND WHENEVER I MEET WITH THEM IN WASHINGTON OR AROUND THE WORLD. HOWEVER, IF WE ARE EVER TO HAVE THEM IN PLACE, I URGE THAT THE UNIVERSITIES THEMSELVES MAKE THEIR INTEREST KNOWN AT MISSIONS WITH PROGRAMS THAT ARE OF INTEREST TO THEM.

HUGH L. DWELLEY

DIRECTOR, M/SER/CM

Attachment: As stated

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STATUS OF
TITLE XII CONTRACTS WITH UNIVERSITIES
FOR TECHNICAL SERVICES TO MISSIONS
(TSMs)

Updated: 10/5/82

Missions Expressing Interest	PIO/T Received	RFTP Issued	Proposals Received	Contract Awarded	Awarded To
1. Dominican Republic	1/29/81	2/13/81	4/3/81	9/22/81	Texas A&M
2. Costa Rica	2/4/81	2/27/81	4/17/81	9/22/81	Florida
3. REDSO/EA	12/10/81 (reissued from 8/81)	9/22/81	11/16/81	3/22/82	MIAC
4. RDO/Caribbean	2/25/82 (reissued from 8/81)	9/10/81	10/30/81	6/1/82	MUCIA
5. Mauritania (Nouakchott)					
6. Zaire (Kinshasa)	(PIO/T being prepared)				
7. REDSO/W (Abidjan)					
8. Nepal (Kathmandu)	9/2/82				
9. Peru (Lima)					
10. Togo (Lome)					

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11. Niger
(Niamey)

12. Ecuador (Quito) (PIO/T being prepared)

13. Zimbabwe (Harare)

14. India (New Delhi)

15. Bolivia (La Paz) Possible PIO/T in Feb. 83

16. Liberia (Monrovia) (PIO/T being prepared) Oct-Nov 82 possibly

17. Guatemala (Guatemala City) 8/13/82

18. Sudan (Khartoum) (PIO/T being prepared)

19. Upper Volta (Ouagadougou) Possible PIO/T in third Qtr. 1983.

The following Missions originally expressed an interest in TSM, but have indicated they are no longer interested:

1. Zambia (Lusaka)
2. Bangladesh (Dacca)

Note: send copy of TSM (updated to: Jim Walker
S&T/AGR, Room 411-SA-18

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UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT

WASHINGTON, D.C. 20523



THE ADMINISTRATOR

26 OCT 1982

MEMORANDUM FOR: AA/NE, Mrs. Ford
AA/ASIA, Mr. Greenleaf
AA/LAC, Mr. Reich
AA/AFR, Mr. Ruddy

SUBJECT: Agency Strategic Planning Process

As we discussed during the AAs' meeting of August 5 and at Coolfont, I want to pull together, into an Agency-wide strategic plan, the thinking that you have separately been doing about your region's priorities for the next 2½ years, particularly on regional issues which cross individual country boundaries.

Over the next 4 months, your senior staffs should be thinking through what exactly is it that we expect to have achieved by the end of FY 1984? by the end of FY 1988? What "business" should your region and the Agency be in by FY 1985, and how does that product mix differ from what we are doing right now? When you explain to your children ten years from now what was different at AID because you were here, what exactly happened that wouldn't have happened otherwise (and what good it did, for whom), what are you going to say?

During the past year and one-half we in the Agency have worked together to establish a foundation of policy initiatives which will enable A.I.D. to contribute more significantly to development and basic human needs. These are the four emphases of policy reform, private sector initiatives, institutional development, and research and technology transfer, as well as the full integration of PL 480 into our total development efforts and an increased use of participant training.

This year's CDSS guidance stresses these components for delivering aid and asks Missions to come in with strategies within their country programs on how these basic approaches to development will be employed to achieve specified development goals in the period of the CDSS. In addition, there may be other areas of importance to a particular country, or to a region as a common theme, which warrant consideration; but the primary thrust should be on our main policy and program themes.

Now that the means this Administration intends to emphasize in attacking the problems of development have been clearly stated and broadly understood, we need to be sure we are using these approaches to attack the right development problems within each region. In short, I want you, working with others within and outside the Agency, to take a fresh and comprehensive look at the critical development problems in your region; to identify the goals you expect to achieve in attacking these problems; and to outline a regional strategy to accomplish these development goals. Your regional plans will be melded into an Agency-wide plan. I want this to be a soul-searching review, rather than a collection and rearticulation of what each region is already doing. Regional Bureaus and others should think through exactly what development objectives we hope to achieve in the period immediately ahead and over the longer-term. I want you to bring in outside experts to participate in this process. I want you to look at new ideas and fresh concepts. The Regional Bureau will take the lead in bringing in these outside resources and encouraging new ideas, and Rick Tropp of my staff will work with the Bureau on this.

I want to be as painfully specific as it is possible to be in stressing that I will not consider to be the product of a serious exercise any regional plan which does not specify what "businesses" you intend to get out of by 1984 and 1988, where you intend to diminish resources, and where you will need fewer staff--in addition to specifying the initiatives that you intend to take.

Please think through what outside resources (former AID AAs and staff, academic and "think tank" experts, foundation staff, current and former staff of other USG and international agencies, the Hill) you intend to bring into your reflective process. I want you to be catholic in reaching out to all possible sources of critique and ideas, and to stress people who are creative and imaginative. Please let me know (copy to Rick Tropp, A/AID) by COB November 10 what your detailed plan is for outside consultation.

I would like you to develop a preliminary regional plan by December 1. This will help to serve as additional guidance to the Missions as they develop their CDSSs. You will also receive by November 15, and the Missions by December 1, the sector strategies prepared by S&T. These along with the preliminary plan will provide a basis for comment and discussion as you move toward development of the final plan. Final regional plans will be completed by March 31 following completion of the CDSS reviews. It is essential that the strategic planning process both evolve out of and affect the CDSS effort. The CDSS and Mission participation must be an integral part of the total process leading to final regional plans and the overall Agency plan. The CDSS guidance spells this out more fully.

John Bolton and PPC will have overall responsibility for coordinating this exercise. S&T will take the lead in reviewing the technical aspects of your preliminary plans as well as ensuring the technical feasibility and cohesiveness of the final regional and Agency-wide products. Other central bureaus should also be consulted and involved as this process proceeds. As noted above, Rick Tropp will work closely with the Regional Bureaus in their plans to bring in outside assistance and look for new ideas; he will clear all papers sent out by PPC on this exercise.

In summary, the schedule of events related to this exercise looks like this:

- by October 27, PPC issues CDSS guidance to the field.
- by November 10, Regional AAs prepare list of outside resources to be used in the process.
- by November 15, preparation of S&T sector strategies.
- by December 1, preparation of preliminary regional strategic plans.
- by March 31, approval of final regional strategic plans and overall Agency plan.
- by April 15, transmission of ABS guidance to Missions based on approved regional strategic plans.

As you go through this exercise, please remember that I intend all future CDSSs, ABSs, and PID/PP reviews to be consistent with the strategic plan that we produce. All of these documents should therefore be written with the strategic plans very much in mind.

Please, therefore, put the time and the imagination into the exercise which is warranted by the fact that we are going to run the Agency based upon its results, and that you and I are going to live with them.



M. Peter McPherson

cc: DA/AID, Mr. Morris
AA/PPC, Mr. Bolton
AID/C, Mr. Kimball
AA/S&T, Dr. Brady
AA/PRE, Mrs. du Pont
AA/FVA, Mrs. Bloch
AA/EXRL, Ms. Semerad
AA/M, Mr. Rollis

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Talking Notes

I. Status of Strategy Paper

- o To Human Resources Sector Council (and to all other sector councils by same date)
- o To N.C. Brady (and to all AA's by same date)
- o To Administrator
- o To USAIDs (as per draft Tropp memo number 2)

II. Major Recommendations of Strategy PaperA. Planning and Assessments

1. Planned increase in development training of approximately 10% per annum
 - o "development training" is defined to include training in the U.S., third country training/regional, and in-country training
 - o FY 82 participants were approximately 7,200
 - o FY 83 goal is 8,000 participants
 - o FY 84 goal is 9,000 participants
2. Training needs assessment by Missions
 - o Training decisions should derive from joint U.S. a host country assessment of country manpower needs, an analysis of the training capability of existing in-country training institutions, and an analysis of other donor training activities.

Talking Notes

- o Levels of academic training
 - Undergraduate (seldom provided unless host country institutions inadequate, i.e., regional differences)
 - Masters Degree (most preferred level to provide technical competence)
 - PhD (used generally for research and institution building)
- o Short-Term Technical (non-academic) training
 - More than 50% of the 7,000 AID participants are in these programs
 - Vocational training, of particular interest to African students of 2-year certificate programs

2. Training Sites

- o U.S. Training
 - Greatest number of AID participant training
 - Most preferable for policy makers, high level government officials, future leaders, science and technology
 - Greatest scientific and technological education and expertise
- o Third Country Training
 - Generally less costly than in U.S. (occasionally eliminates English language training)

Talking Notes

3. Country Training Plans (CTP)

- o The results of manpower needs, in-country training capability and other donor activity surveys should be combined with other information on the social and economic status of the country and with country development aspirations and constraints to produce a five-year Country Training Plan which should be included in the CDSS
- o A training program, or the training component of a development project, should be developed as part of a larger strategy of institutional development, program implementation, or technology transfer. Besides the need for training, consideration should be given to economic and other incentives necessary to attract and retain key personnel, the mix of personnel needed to implement the sector or program strategy, supervisory arrangements, and the adequacy of support systems such as in-service training for individuals already employed.
- o The ABS should provide for training activities as described in the CTP.
- o S&T/IT will provide guidance and technical assistance to the field, including:
 - roster of professionals with training expertise
 - TRX services
 - guidance, plan, and format
 - regional training workshops

B. Training Modes

1. Level and type of training

- o Project specific or general training (dependent upon CTP)

Talking Notes

- Sometimes offers more appropriate technological level
- Supports third country institution building
- Current study underway of TCT in Africa
- Discussion with ASIA and LAC re evaluation of TCT institutions
- TCT may be more difficult to administer
- TCT institutions occasionally overcrowded or unwilling to accept foreign students
- o Regional Training Institutions
 - English language training (i.e., Francophone Africa)
 - Management training
- o In-Country Training
 - Less costly
 - No international travel
 - Conducted in native language, therefore, most flexible in participant selection
 - Most frequently provided under technical assistance projects, utilizing contractor services

C. Training Funding

1. Appropriation accounts

- o 105 - Primary source of development training funds but account is relatively small in relation to other sector accounts; emphasis should be on other sectors using their sector accounts for training rather than Account 105.

Talking Notes

- o ESF - should be used more frequently for training if possible (now used in Southern Africa)
- 2. Grants/Loans
 - o The majority of training is provided through grant Loans can be looked at increasingly as a mechanism for expanding training, e.g. the mission in Indonesia has successfully funded major projects by this method.
- 3. Cost reduction alternatives and incentives
 - o Reimbursable training program
 - Reimbursable training is a form of country financed training through which financing is provided on an "advance of funds" or reimbursable basis under provisions of Section 607 of the Foreign Assistance Act. Under existing reimbursable agreements with Nigeria, Guatemala and Bahrain, nearly 3,000 persons have received training financed by their own governments with only modest investments of U.S. dollars for administrative support.
 - Brochure regarding Program
 - Market Demand Study
 - Reimbursable training should not be limited to the public sector, but should be considered as a viable option for the LDC private sector, particularly for large firms.

Talking Notes

o Fixed amount reimbursement

- A method of financing whereby the host country and/or university agrees to undertake a series of defined activities, using their own financing, and be reimbursed by AID a fixed amount for the completion of each activity if the end result meets agreed criteria.

To be discussed

D. Training Process

1. Centralized or decentralized programming

o Centralized training

- S&T/IT new major contractor, Partners for International Education and Training (PIET), to handle approximately 1700 participants per year.
- USDA/OICD handles about 1300 participants per year
- Other RSSAs and S&T/IT (in-house) handle about 500 per year.
- Advantages of centralized training are regional expertise of new contractor (Amideast, The Asia Foundation, African American Institute, and Experiment in International Living); access to other Federal agencies through RSSA agreements; quality control; more comprehensive training data (i.e., number of participants, fields of training, and other demographics).

Talking Notes

o Decentralized Training

- Decentralized training exists via at least 115(?) USAID or host country contracts.
- Decentralized training is advantageous when there is technical assistance provided in the host country that is integrated into the development training.
- Disadvantages of decentralized training are great variations in handling and costs of participant training, duplicative administrative support structures, variation of quality, incomplete training statistics.
- IG, based upon study of decentralized participant training, recommends that AID offices and missions compare the cost of training as a contract component vs. training thru S&T/IT prior to entering into contracts.
- IG Report further recommends that host country contracts should comply with Handbook 10, otherwise inequities result from different treatment of participants.

2. Predeparture Training Activities

- o Missions responsible for selecting participants based upon training needs assessment and CTP, and selection criteria in Handbook 10, Participant Training.
- o Missions responsible for providing English language training per requirement in Handbook 10

Talking Notes

- o Missions responsible for providing predeparture orientation per requirement in Handbook 10
3. Evaluation and follow-up activities
- o S&T/IT and PPC/E should collaborate to produce an evaluation system to gauge the effectiveness of:
 - individual training programs
 - projects with training components
 - general training projects
 - training institutions
 - o S&T/IT should develop guidance for missions on a range of follow-on activities, depending on the number and type of returned participants.
 - o Missions should consider options for conducting follow up activities, i.e., returnee interviews, maintaining returnee rosters, conducting management and technical skills update courses.
4. Policy and Technical Guidance to USAIDs
- o Handbook 10 will be revised to reflect policy and procedural changes
 - o Project Manger's guidbook for development training will be developed and distributed to AID/W, the field, and contractors.

Talking Notes

E. Staffing and Professional Development

1. Mission Staff

- o There are only 6 Development Training Officers in AID worldwide (4 in the field -- 2 Cairo, 1 Yemen 1 Indonesia -- all serving as missions training officers)
- o There currently are 19 USAIDs without EHR, education or development training officers
- o Local hire employees backstopping training activities are frequently ill-equipped or are eligible for retirement. No adequate FSM personnel resources are being developed.

2. Regional Staff

- o There should be 6 Regional Development Training Officers to support regional (third country) and mission training activities (2 Asia, 1 LAC, 2 Africa, 1 NE)

3. AID/W Staff

- o There should be 4 Regional Coordinators (instead of the current 2) and 1 manpower assessments specialist in S&T/IT.

TAB S

D R A F T

November 20, 1981

A PROPOSAL FOR A
COOPERATIVE RESEARCH PROGRAM

BETWEEN

U.S. RESEARCH INSTITUTIONS

AND

THE INTERNATIONAL AGRICULTURAL
RESEARCH CENTERS

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I. OVERVIEW

This is a proposal for a cooperative research program between U.S. research institutions and the International Agricultural Research Centers (centers). The program would consist of research conducted by U.S. research institutions in cooperation with the centers. The objective of the program is to assist the centers in solving some of the major food problems of developing countries.

Funding for the program will be from the U.S. Agency for International Development (AID). A modest program is recommended, requiring about \$0.7 million in the first year, \$1.3 million in the second and \$2.2 million in the third year (in 1982 dollars). This modest initial program is recommended with the expectation that it would be expanded if the program was successful.

Background

Title XII of the Foreign Assistance Act was passed by Congress to bring the expertise of U.S. universities to bear more effectively on the problems of developing countries. Under provisions of this act, the Board for International Food and Agricultural Development (BIFAD) and its Joint Research Committee (JRC) were established. Purposes listed in the act include "to provide program support for international research centers" and "to involve universities more fully in the international network of agricultural sciences, including the international research centers."

Possibilities for a cooperative program have been explored extensively by AID, BIFAD staff and the Chairman of JRC with center directors and others for about three years. The center directors requested that JRC/BIFAD develop a proposal for consideration by the relevant parties.

This proposal was developed by James Nielson, Chief of the Research Division in BIFAD, in collaboration with Floyd Williams, Agricultural Research Adviser, Bureau for Science and Technology, AID. Inputs were obtained from center directors and scientists and from U.S. universities who have had linkages with one or more of the centers; reports of the Consultative Group on International Agricultural Research (CGIAR) and its Technical Advisory Committee (TAC) were studied and staff of the CGIAR Secretariat were consulted; views were obtained from staff of the USDA, Ford Foundation and Rockefeller Foundation; and inputs were obtained from other developed countries who have had cooperative programs with the centers.

Strong interest and support for the program was expressed by center directors, U.S. universities, foundations, the USDA, AID science and technology personnel, JRC and BIFAD. Representatives of other donor countries and the CGIAR staff encouraged such a program on the part of the U.S. Many believe that such a program would help round out the partnership among the developing countries, the centers and U.S. institutions on critical components of the U.S. agricultural development assistance program.

II. RATIONALE

The basic objective of the network of international agricultural research centers, most of which are supported through CGIAR, is to increase the quantity and improve the quality of food production in developing countries. They concentrate on the critical aspects of food production and farming systems in the developing countries that are not covered by other research programs and which are useful over broad geographical regions of the world. The centers are expected to produce a range of agricultural technology components that can be used by developing countries to achieve higher agricultural productivity. In addition to technology components, centers are expected to produce trained people who return to their home country to help that country increase its agricultural productivity.

During the 1970s, with the help of CGIAR and donors, the centers rapidly expanded their capacities to conduct research on a wide range of problems faced by less developed countries (LDCs). They recruited top scientists from around the world; obtained considerable land suitable for experimentation; and built and equipped laboratories and other research facilities.

But the centers cannot--and cannot be expected to--develop all of the capacity required to carry out a complete multidisciplinary program on all aspects of problems related to their missions. They are limited in numbers of scientists--in the absolute and especially in any one discipline. Their research facilities and budgets are tailored to their specific objectives. Most centers have neither the time nor resources to develop any but the immediately essential knowledge needed for the production of better technology. Further, it would not be the best use of scarce resources for the centers to invest in the specialized personnel and equipment needed to solve all of their problems or exploit all opportunities at the centers.

The 1980 CGIAR report calls attention to the slowdown in the rate of growth in the system; enumerates a number of gaps in their research programs; indicates that the developing countries and the international centers rely to a considerable degree on the developed countries for the generation of scientific knowledge and ideas; and stresses the need for back-up help, especially on mission-oriented basic research and research methodology. ^{1/}

CGIAR recognizes that the centers are components of international research networks, and as a matter of policy encourages the centers to link with developed country research programs--partly to share the scientific knowledge they discover and partly to get help where they need it. The 1981 review of the CGIAR system emphasizes the need for the centers to exploit the potential help ^{2/} from developed country institutions involved in strategic and basic research. ^{2/} The centers presently have cooperative arrangements with a number of developed country institutions for back-up research at their home research institutes and graduate dissertation research at the centers. Countries whose institutions have active cooperative programs with one or more centers include Australia, Belgium, Canada, Denmark, France, Germany, The Netherlands, Sweden and the United Kingdom.

^{1/} Consultative Group on International Agricultural Research, 1980
Report on the Consultative Group and the International Agricultural
Research System--an Integrative Report, September 15, 1980.

^{2/} Consultative Group on International Agricultural Research
Report of the Review Committee, September 1981

Several centers have had contractual or other linkages with U.S. universities, research institutes and the USDA. Examples include cooperation between Oregon State University and CIMMYT on spring-winter wheat breeding and screening; University of Minnesota's work with CIP on cold hardiness in potatoes; Cornell's linkages with CIMMYT, CIP and IRRI; Texas A&M's linkage with ICRISAT; and Boyce Thompson Institute's cooperative research with IRRI. Some of the cooperative research has been done on contracts from the centers; some has been funded by the foundations; and the research institutes have used their own resources to support some projects.

Most of the linkages have been worked out on the initiative of center directors and scientists. As yet, they have tapped only a very small fraction of the capability and interest in U.S. institutions that could be used to support the research of the centers. The center directors expressed great interest in a more organized, broader-based cooperative program with U.S. research institutions.

III. THE PROGRAM

Objectives

The goal of the program is to help people in developing countries solve important food and nutrition problems. This would be accomplished through one primary objective, namely to support critical research that will supply information needed by the centers in accomplishing their missions, but which they do not have the capacity to do themselves. Under this program, cooperative research projects would be designed to complement the work of the centers and increase their effectiveness in solving major problems or exploiting major opportunities for helping people in developing countries. This objective is consistent with the needs of and constraints on the international centers; exploits the comparative advantage of U.S. research institutions; and furthers the goal of AID of supporting international agricultural development work.

The program is also expected to contribute to the building of U.S. professional capacity in tropical and subtropical agriculture. This capacity would be valuable in helping developing nations solve their problems in the future, and could also be helpful in solving U.S. food and energy problems.

The Research Program

The cooperative program would focus on research needed by the centers but which they do not have the capacity to conduct themselves. No projects would be funded under this program unless a center has stated that there is an important need for the research at their center.

CGIAR and the center directors have identified three types of research on which support from developed countries such as the U.S. is needed. The first is to provide help on specific problems encountered by the centers in their programs (mission-oriented research).

The second type of research is to develop areas of relatively new knowledge that will allow centers to enlarge the scope of their programs. For example, a better understanding of the physiological processes that control efficiency of the use of the water and various nutrients in plants might well make possible the selection of much more efficient plants.

The third type of research, mentioned in the 1980 CGIAR report and by others is back-up research in methodology--such as research to provide more cost effective methods for conducting field testing of fertilizers and new crop varieties.

The cooperative program would stress mutuality of interests between the centers and U.S. research institutions. The relationships could be visualized by two intersecting circles: One circle representing the problems and interests of the centers and the other representing the interests and capabilities of the U.S. institutions. The program would focus on the subset of center problems in which U.S. institutions have comparative advantage by virtue of their scientific expertise, laboratories, equipment and other factors.

Location of the research

The location of the research would be determined for each project. In determining comparative advantage and division of labor in planning the research, it would be decided what parts of the research could best be done in the U.S. and what parts could best be done elsewhere. In some cases it may be necessary to conduct part of the research at the centers or in developing countries. In most cases, successful conduct of the research will require occasional travel to the centers or to developing countries, and in all cases close interaction among U.S., center and LDC scientists would be expected in carrying out the program.

Participants

The scientists involved in the program would be from public land grant and non-land grant universities, private universities, and the USDA. Biological, physical, social and engineering scientists would all be eligible to participate.

In many cases the USDA scientists would be those of the Agricultural Research Service who are stationed at and would be involved in cooperation with scientists of the state agricultural experiment stations. Programs such as those of the Boyce Thompson Institute could be linked with the program, and private laboratories would not be excluded from participation.

Duration of the research

In the program proposed, the aim is to support projects that will lead to progress in achieving intermediate and longer term goals in productivity. Consequently, it is anticipated that many of the projects would be completed in one to two years and that normally the projects would not exceed three years in duration. If a line of work is progressing well, project extensions would compete with new project proposals.

Size of project

The emphasis is to be on small projects that involve less than one scientist year. It is anticipated that some of the grants for back-up research would be for \$13,000 or less per year; that the mode would be about \$35,000 per year; and that there would be a limited number of larger projects.

Research at U.S. Institutions

It is anticipated that most of the research would be conducted in the U.S. Most of the buildings, laboratories and equipment needed to conduct the research would be available at the research institutions. More importantly, the key ingredient needed would be available there, namely the time and insights of the senior research scientists who would lead the research.

The U.S. institution would be expected to keep the center well informed of progress on the project. When the project is completed, the institution conducting the back-up research would be expected to publish a report containing the findings, prepared in such a manner as to be of greatest use to personnel at the center. (They may also find it useful to publish results in scientific journals.) They would not be expected to translate the research for use by extension workers or farmers in the developing countries.

Research at the Centers

Graduate student dissertations

Some of the back-up research could be done most effectively by having graduate students from U.S. universities conduct their dissertation research at the centers. The major objective would be to produce research results that are essential to the centers in accomplishing their missions. Secondary benefits include: the ideas, challenges and stimulation that students could provide to the center staff; the training of students for work in international agricultural development that would come from the research experience; and insights gained by the major professor who helped guide and plan the research. These secondary benefits relate to the strong complementarity between research and graduate education that has long been recognized in the U.S. and other countries.

The dissertation research would usually be a part of or linked with back-up research being conducted in the U.S. by the major professor or other members of the faculty from the same institution. On infrequent occasions, the dissertation research could be linked with the research of a visiting scientist from the same institution. In some instances, it may be advantageous to link the dissertation research with national research programs of universities near the centers, or to tie it in with one of the center's regional offices.

The program will center on Ph.D candidates.

It is anticipated that students would normally spend about one and one-half years at a center conducting their dissertation research after finishing course work and other degree requirements at a U.S. university, although some research may require two years at a center.

All candidates would complete the data gathering, data analysis and interpretation phases of their research while at the center. In some cases, the entire dissertation may be drafted while the candidate is at the center. In most cases it will be more efficient for the student and better use of center resources for the final preparation of the thesis to take place at the home institution.

Frequently, the dissertation research will make important contributions to the scientific literature, and it is expected that the results will be published in appropriate scientific journals. The candidate or his/her university would have the responsibility for providing to center personnel the dissertation findings that would be useful to the center, and in a form that would be usable by the center staff. In some cases the candidate or the institution may assist in preparing publications or in other programs to transmit the results to LDCs.

Postdoctoral fellows and visiting scientists

Some back-up research can best be done by postdoctoral fellows and visiting scientists from the U.S. working in the research program at the centers. The major objective would be to help the centers solve major problems or capitalize on major opportunities.

Postdoctoral fellows would normally spend 18 months to two years at a center. In some cases it may be mutually advantageous for the postdoctoral fellowship to extend beyond two years, but it would not be in the best long run interests of the fellows or the centers to extend individual fellowships over long periods of time. In this program, extensions beyond two years will be granted only in exceptional circumstances.

Where it is the most effective way to do the needed research, a limited number of mid-career scientists from U.S. institutions would serve as visiting scientists at the centers. They would be selected from among the most competent agricultural scientists at U.S. institutions; all would have insights into research that would be valuable to developing countries, and some would have had previous experience in LDCs. They would provide specialized expertise in areas where there was a void or a temporary need on the center's staff. They would be expected to make significant contributions on carefully specified problems of the center. They would also be expected to contribute ideas and stimulation to the center's staff and any postdoctoral fellows or graduate students that were in residence.

Visiting scientists could also gain insights that would be useful in solving U.S. problems or which would be valuable in their future research and teaching. Many of them would probably continue their involvement in international programs. This would contribute to U.S. capacity for assisting developing countries with the problems in the future.

Most visiting scientists would spend one year at a center. A variant of the one-year terms would consist of shorter periods at the center interspersed with work at the home institution. This would cost more in travel, but might make it possible to undertake research that could not be completed in a single year.

Postdoctoral fellows and visiting scientists would be expected to make a written informal report to the center that included a copy of all of the data gathered under the project and to publish their research results in the most appropriate form--scientific journals, reports prepared for use at the centers, and/or reports adapted for use in the LDCs.

IV. PROCEDURES FOR IMPLEMENTING THE PROGRAM

Successful operation of the program requires that policies and procedures be outlined in detail and agreed to by all parties that would be involved. The aim here is to outline some of the major elements or processes that could be used in implementing the program; additional details would be worked out by the entity responsible for administering the program.

The main burden of processes is to discover the needs and interests of the centers, to discover the capabilities and interests of the U.S. institutions, and then to collate those needs, capabilities and interests. Since the programs are to be cooperative between the U.S. research institutions and the centers, both would have an important voice in the program. The program will need two-sided relationships in which initiatives and program content come from both sides with mutual agreement on the division of labor based finally on case-by-case deliberations.

Entity to Administer Program

AID would have responsibility for administering the program. The program would require a full-time scientist/administrator and a full-time secretary, and perhaps some occasional additional help. It is proposed that the program be administered by a private entity on behalf of AID because personnel ceilings and other restrictions make it unlikely that the program could be managed effectively within the Agency. Assuming that the program leaves open the opportunity to utilize postdoctoral fellows who are not associated with a research institution, use of an outside management entity has the additional advantage of permitting grants directly to fellows. An example of an outside entity that might be considered to administer the program is the International Agricultural Development Service (IADS). It is recommended that the program administrator have maximum responsibility and authority to operate the program and that wide flexibility be permitted in kind and size of projects, staffing, location and specific arrangements between the centers and the U. S. research institutions.

Discovering Center Needs and U.S. Capabilities and Interests

As an early step in the operation of the program, a means is needed to discover problems that are of direct and large importance to the achievement of the program goals of the centers and that meet the joint criteria of the centers and the U.S. research institutions.

Ideas for research to be pursued in all phases of the program would be solicited by the program administrator from a number of

sources. The primary source would be scientists and administrators at the centers. Other sources would include U.S. research institutions, AID, USDA, foundations and CGIAR reports.

In implementing the program, the administrator would publish lists of research center needs by category, along with guidelines for submitting ideas and information on procedures and criteria to be used in selecting projects to be funded. The program would be widely publicized so that all who are interested and qualified have an opportunity to apply.

In the past, the centers have relied primarily on informal associations among individuals to discover where strengths lie in the U.S. and who might best help them with their problems. This approach has considerable appeal in terms of its simplicity and economy. However, opening up the system for all who have the interest and capability to contribute to the program has the advantages of discovering new talent that could make significant contributions to the centers' programs, and of giving new people and institutions the opportunity to participate. It is also in keeping with federal government policies on granting of public funds.

Ideas for cooperative projects could come about in several ways. Most often linkages will have been developed between a center and a U.S. research institution, and the two will submit a joint proposal to the program administrator. Sometimes the centers will communicate their needs to the program administrator and he/she will perform a "brokerage function" in identifying one or more U.S. research institutions that have the capability and interest to respond. Occasionally, research institutions may submit research ideas and the program administrator will explore whether there is a center that will benefit from the research and is willing to cooperate in it.

Screening the Proposals

Screening the proposals and selecting the projects to be funded will be one of the most crucial steps in the process. The process needs to be simple and flexible, with as little bureaucratic procedure as possible, and with most of the resources going into the research and a minimum going into selecting projects and administering the program.

Initial screening would be done by the program administrator. On the basis of such preliminary screening, proposals that had little potential for meeting the objectives of the program could be set aside. Advice on the remaining proposals could be obtained from a small group of advisers/consultants chosen by the administrator composed of noted research administrators.

Illustrative criteria that might be used in screening proposals for back-up research include:

1. Extent to which the research will address a present or potential problem of a significant number of people in developing countries.
2. Research on the problem that is already underway at the centers, in U.S. research institutions, in other developed countries or in LDCs.
3. Potential impact of the research in solving the problems.
4. Extent to which the research is of direct and significant importance in achieving the program goals of the center.
5. Extent to which the center has constraints that prevent it from doing the research itself.
6. Complementarity to ongoing research programs of the center.
7. Capability of the institution for conducting the research, including especially the capability of the senior scientists who would lead the research.
8. Commitment of the institution to research in international agricultural development.
9. Extent to which the research is focused and is manageable within the time and budget proposed.

Making Decisions

The screening outlined in the previous subsection would identify the projects with greatest potential from which those to be funded would finally be selected. Before decisions could be made on awards, there would need to be considerable interaction among the centers, institutions and the project administrator. The goal would be the final matching of center needs and constraints with the capabilities and interests of the institutions. Mutual agreement and joint decisions between the U.S. institution and the center would be required on research topics, size and duration of project, arrangements at the centers and other matters.

After some initial dialogue and tentative decisions, the program administrator could appropriately turn over much of the program development and arrangements to bilateral action between the centers and the institutions involved.

Final decision on the specific research, division of labor, sharing of support and arrangements would need to be approved by the center director and the relevant U.S. entities involved.

Funding

To fund the projects decided upon, grants would be made to and administered by the U.S. institutions who would be held accountable for performance under the grants.

The initial aim of the program would be to develop one-on-one cooperative programs between a center and a single U.S. institution. As the program develops, alternative ways of organizing participation in the program could be explored. Two obvious alternatives are: (1) organizing so that more than one U.S. institution might assist a center with different facets of a given problem, and (2) developing linkages so that a U.S. research institution would do research on related problems that were common to two or more centers.

Much of the program management would be taken care of by joint action between the centers and the research institutions.

Since any project would be for relatively short duration, it is suggested that reviewing and monitoring be kept to the very minimum. If a project is being considered for funding beyond two years, the extension would be based on performance as judged by the program administrator. Continuation of any project would require concurrence of all parties involved.

Review and Evaluation

The program administrator would report annually to BIFAD and AID so they could review progress and processes being used in the program.

In the fourth year of the program an outside consultant would be retained to conduct a thorough and objective evaluation of all phases of the program to determine its effectiveness in meeting its objectives. This analysis would be used in making decisions about the future of the program.

V. BUDGET

Division of Costs Among Participants

Since this is a cooperative program, it is anticipated that the centers and the research institutions will contribute some resources to the support of the program. However, inasmuch as the program constitutes a new initiative to serve the needs of developing countries, grant funds would be requested from AID.

The AID grant funds would be used to cover salaries, fringe benefits, travel, services, expendable supplies, relocation costs and living costs. Overhead costs of U.S. institutions only would be covered by the grants. The overhead would be limited to no more than 20 percent of the total grant and would apply only to the portion of projects conducted at U.S. institutions, since the centers would provide most of the infrastructure needed for research conducted by visitors at the center. No grant funds would be used for construction, and equipment purchases would be limited to items of \$1,000 or less, since the program is based on the premise that U.S. research institutions are selected partially on the basis of their having the facilities and equipment needed to carry out the research.

Provision of housing and food and reimbursement for relaxation and living costs would be in line with established policies of the centers.

Items for which the various parties would have responsibility are outlined below.

Research in the U.S.

U.S. Research Institution

Salary and fringe benefits for the senior scientists.

Use of land, buildings, facilities, labs, equipment, herds and flocks.

Management of the program.

Graduate students at centers

U.S. Research Institution

Overall planning and supervision of candidate

International Center

Complementary portion of research, if any, conducted at the centers.

Travel of center scientist to the U.S., if needed, to develop or maintain the linkage.

International Center

Supervision of candidate while at the center.

Use of land, buildings, facilities, labs, equipment, herds and flocks.

Expenses in connection with the research at the center.

Use of car if needed in connection with research.

Salaries of aides and/or workers as agreed in connection with research.

Subsidized housing and food.

AID Grant

Salaries and fringe benefits for assistants to the senior scientist (scientific aides, graduate assistants, etc.)

Services and expendable supplies.

Travel to and from center and LDCs, where relevant, to develop and maintain linkage.

AID Grant

Stipend and fringe benefits for the candidate.

Travel for student and dependents to center and return.

Relocation costs (e.g. shipment of household goods).

Travel to and from the center for the major professor.

Postdoctoral fellows at centers

U.S. Research Institution

Overall planning, if a U.S. research institution is involved.

International Center

Management of the program.
Use of land, buildings, facilities, labs, equipment, herds and flocks.
Expenses in connection with the research.
Local transportation.

Salaries of aides and/or other workers as agreed in connection with research.

Subsidized housing and food.

AID Grant

Salary and fringe benefits for fellow.

Travel to and from center for fellow and dependents.

Relocation costs (e.g. shipment of household goods).

Living expenses.

Visiting scientists at centers

U.S. Research Institution

One-half salary and fringe benefits of scientists on sabbatic leave.

Assurance of position on return from center

International Center

Overall management of program.
Use of land, buildings, facilities, labs, equipment, herds and flocks.
Expenses in connection with the research.
Local transportation.

Salaries of aides and/or other workers as agreed in connection with research.

AID Grant

One-half salary and fringe benefits for scientists on sabbatic leave and all for those not on sabbaticals.

Travel for one trip for the scientist to arrange program at the center.

Travel to and from center for scientist and spouse.

Relocation costs (e.g. excess baggage allowance).

Living expenses.

Project Model D

Research conducted at a U.S. research institution with assistance of 2 graduate research assistants and 2 scientific aides.

Total grant cost \$50,000

Project Model E

Research conducted at a U.S. research institution with the assistance of 2 graduate research assistants or 1 scientific aide and at a center with 1 graduate research assistant.

Total grant costs \$60,000

Project Model F

Research conducted at a U.S. research institution with assistance of 2 graduate research assistants and 1 scientific aide and at a center with assistance of 1 postdoctoral fellow and 1 graduate research assistant.

Total grant cost \$120,000

Budget Estimates for the First Three Years of the Program

In deciding on the magnitude of program to recommend, and its distribution among the various program elements, several factors were considered. One was the interests expressed by the centers. Another was the absorptive capacity of the centers--even the biggest have limited laboratory and housing space to accommodate visitors, and some directors indicated they were limited to one to two visitors at a time. A third factor was the likely interest and response of U.S. institutions/individuals. Another factor was the ongoing programs and future desires of other donor countries. In addition, the decision was made to recommend a modest initial program with the thought that it could be expanded after further experience had been gained if the program was successful and funds were available.

The magnitude of the program proposed, its distribution among the six project models and budget estimates for the grants portion of the program for the first three years are shown below. The plan provides for spreading of the administrative workload over a three year start-up period, with the program leveling off at the magnitude shown for the third year.

Inflationary increases in cost would have to be added to these budget estimates, with the amounts depending on the timing of the start-up and on economic conditions in the U.S. and the countries where the centers are located.

	<u>Project Model</u>	<u>No. of Projects</u>	<u>Cost per Project</u>	<u>Cost</u>
<u>1st year budget</u>				
	A	1	\$ 13,000	\$ 13,000
	B	8	35,000	280,000
	C	2	40,000	80,000
	D	1	50,000	50,000
	E	1	60,000	60,000
	F	1	120,000	120,000
	Total program	<u>14</u>		<u>603,000</u>
	Administrative costs			100,000
	Grand Total			<u>703,000</u>
<u>2nd year budget</u>				
	A	4	\$ 13,000	\$ 52,000
	B	11	35,000	385,000
	C	4	40,000	160,000
	D	3	50,000	150,000
	E	3	60,000	180,000
	F	2	120,000	240,000
	Total program	<u>27</u>		<u>1,167,000</u>
	Administrative costs at .15			175,000
	Grand Total			<u>1,342,000</u>
<u>3rd year budget</u>				
	A	7	\$ 13,000	\$ 91,000
	B	15	35,000	525,000
	C	6	40,000	240,000
	D	10	50,000	500,000
	E	4	60,000	240,000
	F	3	120,000	360,000
	Total program	<u>45</u>		<u>1,956,000</u>
	Administrative costs at .15			293,000
	Grand Total			<u>\$2,249,000</u>