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**MINI-WORKSHOP PROCEEDINGS**

**Internationalization of Universities and  
Participation in Development Cooperation**

by

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## **Mini-Workshop Proceedings**

### **Internationalization of Universities and Participation in Development Cooperation**

#### **Introduction and Background:**

The mini-workshop entitled "Internationalization of Universities and Participation in Development Cooperation" developed out of a number of discussions between various individuals in the U.S. Agency for International Development (AID) and Washington State University (WSU) during the course of the latter's studies on the internationalization of U.S. universities. These studies have confirmed that this is a period of time in which universities are undergoing changes as a result of a rapid alterations in the external environment and new demands by the clientele they serve. Internationalization or globalization of university programs and functions is both a major cause and an evolving result of some of these changes in U.S. higher education. An ongoing study at WSU is endeavoring to explore further the nature of these internationalization-related changes in order to better understand needs, opportunities and strategies for improving higher education. It was indicated that the materials and opinions to be presented reflects the university participants only and do not represent the university community.

This is likewise a period of change and transition for U.S. development cooperation. Programming and funding approaches and levels are rapidly transforming in response to a number of political and economic factors. Changes in Eastern Europe and the Soviet Union have mandated that development cooperation be reassessed with fresh approaches and fresh outlooks. Whether U.S. development cooperation should be re-organized and changed drastically or only modified slightly, is being debated. However, it seems generally accepted that change will occur.

With both universities and AID in such dynamic stages of evolution, it is an opportune time to share frank and candid dialogue regarding mutual resources, needs, and ways to enhance the university/AID relationship, for the benefit of both partners. There is no question that universities will continue to become more globally aware, involved and more closely linked to professional colleagues and institutions abroad. It is increasingly evident that universities will be involved in development cooperation, as AID's partners and in newly forged relationships with other agencies, public and private. Regardless of whether the AID/University partnership is strategic in nature or by default, U.S. universities will be generators and transmitters of information and technology relevant to development cooperation. They will serve as key members of AID's participant training system and as educators of U.S. development professionals, of foreign nationals--competitors and cooperators--and of the voting public, who ultimately determines the nature and level of U.S. foreign assistance.

AID, through its network of regional offices and country missions, provides worldwide access, experience and expertise which can serve as a resource to the university community as it further internationalizes. AID's focus on the complex interrelationships between global economic, and socio-political development -- and the recent focus on sustaining such development -- provides insights and identifies needs outside the

traditional scope of university involvement in development cooperation. It is new ground for AID and for universities. For these reasons, among others, the mini-workshop was developed as another mechanism in an ongoing process to assist both the university community and AID in identifying areas in which our evolving needs and capabilities can complement one another.

### **Purpose of Mini-workshop:**

The purpose of the meeting was defined as: "To assist in defining more effective strategies and approaches for university participation with AID in development cooperation." Specific objectives included the following:

1. Share information with AID concerning the internationalization of U.S. universities;
2. Solicit and obtain information from AID relating to the agency itself, to AID's relationship with universities and to their mutual participation in development cooperation; and
3. Explore with AID potential strategies and approaches, based upon the above, for developing more effective AID/university partnerships.

### **Summary of Workshop Activities and Findings:**

The workshop utilized an informal participatory format, with brief presentations, small working groups and open plenary discussions. The meeting workshop agenda is included as Figure I. A partial list of participants is given in Appendix I.

The group explored individual expectations of the mini-workshop. Individual expectations were far ranging and reflected the diversity of the individuals present. Many of the participants wished to learn more about the internationalization of universities and the resultant influence on university participation in development cooperation. A complete list of these expectations is included as Appendix II.

### **University and AID Organization and Functions - Implications for Cooperation**

The group as a whole first explored AID and the universities with respect to institutional missions--the question of who are we and what is it that we really do?--in order to identify whether there is some commonality or overlap of mission that will facilitate university/AID cooperation. Results of the WSU study indicated that at the purpose level, many universities, especially land-grant, increasingly perceived themselves as having a mission to serve society including a global dimension. Such a mission includes both an element of improving performance of today's society through teaching, research/scholarly activities and public service and building capacity to meet future needs of society. Such an overall mission includes acting as a generator and repository of information and knowledge from the past to safeguard knowledge for use by future generations. However, it was noted that the perception of universities as "ivory tower" institutions with no direct mandate to be responsive to social needs has undergone changes in response to the realities of funding and the demands of the

clientele served. Thus, while many individual faculty members and some institutional bodies and units perceive the preservation, generation and transfer of knowledge as the sole function of the university, this introspective orientation is seldom reflected in the overall mission statements of many universities.

This evolution is further reflected in the perception of the clientele served by the university. A list of such clientele was briefly generated by the group and included the following:

- ◆ Students and faculty themselves;
- ◆ The academic community (including scholars and researchers in other universities);
- ◆ Local and state clientele (especially the latter for state-funded universities);
- ◆ Religious or value-oriented clientele, especially when supporters/financers of specific universities or university programs;
- ◆ Corporations (large industry);
- ◆ Small business and industry;
- ◆ Special interest groups, agricultural commodity groups, etc.;
- ◆ U.S. Federal Government (especially influenced by the extramural funding arms of the federal government);
- ◆ The global community (International students, international scholars, others);
- ◆ International academic and research communities and institutions; and
- ◆ Developing countries--the poor, hungry, oppressed and disadvantaged of the world.

The overall purpose or mission of USAID was discussed. Specific objectives included under the mission were identified including: support of the political interests of the United States--national security; support of democratic processes and ideals, etc.; alleviation of hunger, poverty and oppression; and facilitating economic growth of developing countries as a worthy end in itself and also as it influences their participation as potential consumers of U.S. goods and services. Maintaining and conserving global natural resources were indicated as an emerging objective.

The addition or highlighting of the concept of sustainability with regard to development objectives was also mentioned. It was pointed out that AID has focused effort on the refining of mission and "vision" statements and that there appears to be a remarkable degree of consensus at the overall goal level of the agency regarding its organizational mission. While this is articulated in detail in a number of Agency documents, this group identified a mission statement which incorporated the concepts of "sustainable socio-economic development within the guidelines of U.S. foreign policy" as consistent with formal mission statements.

The group briefly compared and contrasted the university and AID missions. It was noted that the elements of improving current performance (short-term objectives) and building future capacity were present in both university and AID goal statements. Both address economic and social development, humanitarian concerns, and global awareness and participation. Likewise, they shared a number of the same clientele such as the U.S. government, the public and private sector interests in the U.S. and developing countries.

**Figure 1.**

**MINI-WORKSHOP AGENDA**

- 9:00 Workshop Opening, Overview, and Participant Expectations**
- 10:00 AID and University "Missions" (Purposes) and Expectations of Each Other**
- 11:00 Break**
- 11:20 University and AID Organization/Functions and Implications for Development Cooperation**
- 12:15 Lunch**
- 1:15 Internationalization of Universities and University Participation in Development Cooperation**
- 2:45 Break**
- 3:00 Alternative Models and Approaches for University Development Cooperation**
- 4:00 Conclusions and Recommendations**
- 4:30 Adjourned**

Major differences included the definition of the primary clientele to which each institution is most responsive (i.e. U.S. national interests in the case of AID, and domestic interests by the universities), and the focus on development "out there" by AID--albeit of benefit to the U.S.--versus the university's focus on development here in the U.S. and its relationship to the larger global environment. It was also noted that universities value the generation of knowledge, and to a lesser extent, technology, more highly than AID, which is oriented more to the transformation of knowledge and technology into improved development performance.

### **Institutional Perspectives and Perceptions**

Next, small working groups utilized a mirroring exercise to identify institutional expectations of each other. The focus was on what AID and the universities expect from the other and what each thinks the other expects of them. The exercise was done to identify how the two sets of development partners (AID and the universities) perceive one another, emphasizing positive expectations and/or untapped resources rather than on problem identification, per se. Some of the latter did inevitably creep into individual group findings. Due to the limited university representation, an accurate portrayal of how the university community perceives AID may not have been possible. However, the findings are worthwhile in that they demonstrate both perceptions based on expectations of Title XII project performance and the identification of new opportunities or potential areas of cooperation. Three different perspectives were solicited:

- (1) One group representing the AID Washington, D.C. perspective was asked to identify what it expects or would like to get from the universities. The group was also asked to identify what it (AID/Washington) thinks universities expect or would like to get from AID/Washington.
- (2) Another group representing the USAID field mission perspective was asked to identify what it expects or would like to get from universities and what it felt universities expect or would like to get from USAID field missions.
- (3) The third group was asked to represent universities and to identify what universities expect, or would like to get from AID and what they think AID expects or would like to get from universities. It should be noted that due to a limited number of people who are more university associated than AID associated, products of this group might be considered to be a mix of university perspectives and of AID's perception of the university's perspectives on these questions. The group findings are summarized in Appendix III.

Several things were noteworthy about the individual findings. There was a considerable degree of consistency between the organizations' perceptions of one another and their perceptions of the other group's perceptions. A majority of perceptions revolved around university abilities to deliver technical assistance in the form of Title XII or similar development projects. Certain incompatibilities, such as provision of long-term tenured faculty available within the time-frames of a traditional development project, remain unresolved. There was limited evidence of collaborative university/AID strategizing to identify alternative means or approaches for better tapping university resources. It was noted that AID is not the only agency with a development agenda. The university

community is increasingly interested in pursuing development cooperation opportunities outside the aegis of AID. There is evidence of increasing complexity in the agendas of AID, developing countries and universities as capacities and interests have evolved over time. It was noted that the perceptions identified by the AID groups probably reflect those of the "survivors". Agency personnel who have given up on the university community may not have been represented at the mini-workshop while some universities have dropped out of the AID/university partnership, for a number of reasons. There seemed to be a positive attitude about university participation with AID in development cooperation and open and candid discussion.

Comparison of the responses to AID's expectations of universities from the perspective of AID/W, AID/Missions and universities reveals agreements and differences. All three groups indicated that AID expects access to faculty; access to technical training, research and other services, information and capabilities; and investment of university resources. Both AID/W and AID/Mission groups expected both short- and long-term institutional interest, capacity and commitment and sharing and understanding of AID's mission, goals and strategies. The AID/W group and the AID/Mission group addressed a number of expectations not addressed by the other. The university group likewise indicate a number of expectations not addressed by the AID groups. These are summarized in Appendix III.

It is noteworthy that all 3 groups perceived that AID expected universities to contribute their own resources. The mission group indicated that missions expected more from universities than from other contractors for the same tasks.

In addressing university expectations of AID, all 3 groups indicated that universities expected contracts, resources and opportunities; clear statement of priorities and consistency of programs and objectives; and a "real" partnership based upon dependability, respect, etc. Both universities and the AID/W group expected long-term commitment and relationships, and support. A number of other expectations were indicated by individual groups (Appendix III).

### Organizational and Functional Characteristics Which Impact the University/AID Partnership

While it was noted that the universities and AID share similar development objectives for the clientele they serve, approaches and delivery systems differ appreciably. A number of perceptions identified by the small groups regarding university ability to perform according to AID's expectations and vice-versa are based in the organizational and functional characteristics of each institution. As some of these characteristics impact not only university ability to participate in development cooperation, but also their ability to internationalize, these functional characteristics were summarized briefly for the group.

#### University:

- (1) The university community is highly heterogeneous. While universities and university systems have a number of things in common, there are also many

differences between and among universities. State universities and land grant colleges differ in important respects from privately supported colleges. Some universities are mixtures of public and private support. Historically Black Colleges and Universities (HBCUs) have unique characteristics. Small universities have different resource endowments and sometimes function differently from those which are larger.

- (2) Economic and resource characteristics of an institution significantly impact its organization and function. Most universities rely on federal funding for some of their support. This federal funding comes through a number of agencies including the USDA, The National Institute of Health, The National Science Foundation, Department of Education, and many others. Most of these agencies have worked in partnership with the university community for a longer period of time and on a much broader basis than USAID. State funding from legislative allocations are basic funding sources for state supported universities and significantly influence their perception of their primary clientele. Foundations, endowment funds and alumni provide significant resources to many universities. For a large number of universities--especially those involved in research--extramural grants and contracts are critical sources of support which require continual nurturing and personal interactions by faculty. Effective and continuing access to the granting community and the ability to attract and successfully implement grants are increasingly used to measure faculty performance. Funding cycles for the university may differ significantly from those of USAID. State funding cycles are often different from federal funding cycles. Upon this is superimposed a variety of external grant and/or foundation funding cycles. These impact the university's willingness and ability to respond to opportunities outside the usual funding mechanisms.
- (3) Political and other influences external to the university influence its willingness and ability to change. State clientele and state politics are highly influential for state funded universities and generally have some influence on all the universities. A variety of constituency groups at the local, state, and funder or benefactor levels exert powerful political influences on a given university. Demographic factors associated with the university's location, mission or source of endowment, and related factors also influence the university. National and international pressures are increasingly heeded by the university community, as it responds to the perceptions of its clientele that universities should be more responsive to society and relevant in today's world. The U.S.'s declining role as a political and economic leader in the global setting, the issues facing the nation related to economic competitiveness, educational performance of U.S. students in comparison to peers worldwide, the decline in the skills and flexibility of the U.S. workforce and other factors are mandating changes in higher education. While these take different forms on different universities, all feel them to some extent.
- (4) Dual Governance. Most universities are subject to dual governance. The central administration, itself influenced strongly by Boards of Regents and other governing bodies, represents the administrative structure often dealt with by the outside world. However, internal to the university, the faculty and its various governing bodies--and students and their governing bodies--play important roles

in determining the university's commitment and ability to respond to opportunities and changes. Factors such as academic freedom, individual faculty autonomy versus coordinated objective-driven institutional endeavors, and other factors are played out in this internal institutional arena. The end result is that university strategies and commitments, while articulated at a central level, are significantly influenced at the implementation level by faculty and other groups. Reaching agreements and bringing about change are frequently complex.

(5) The university is composed of and functions primarily through its faculty.

- ◆ Faculty reward and incentive systems have both an internal basis (i.e. annual review, promotion and tenure within the university) and an external basis associated with the larger university community, peer system, and employment marketplace. Promotion, tenure and salary considerations are determined at the departmental, unit and college levels, with concurrence by the central administration. Attempts to affect change at the individual faculty member level are doomed to failure without recognition of the consideration that the departments and colleges play in addition to that of the administration. Incentives systems external to an individual university influence faculty decisions. Market values are determined by demand in the educational and the private sectors. The peer review system is generally disciplinary in focus and spreads across state boundaries. Regardless of the reward system in place on a single university, faculty are aware that they must protect their career options by pleasing disciplinary peers in other institutions as well as at their own university.
- ◆ On most campuses, individual faculty carry out multiple tasks and therefore have the capacity for multiple impacts, both positive and negative. Through instructional functions, faculty teach undergraduate and graduate students. Through research functions, faculty influence graduate students and develop and test scientific, managerial and technological advances. Many individual faculty have a public service mandate as a part of their responsibilities. Formal extension and outreach functions are common to the land-grant system and to other institutions as well. Increasingly the public service function is more active in linking both public and private sector institutions with one another. Thus, universities have the potential to influence a broad spectrum of citizenry. Many faculty also have administrative functions which allow them to influence the delivery of various functions. Since individual faculty may have multiple sets of responsibilities and report to different administrators at department and/or other administrative levels (for example, through cooperative extension, research or resident instruction channels), affecting change in faculty behavior and in university organization and function with regard to faculty may be difficult and complex.

(6) The university has a special set of schedules and calendars to which it must adhere. Teaching and resident instruction functions, whether organized by quarters, semesters or other cycles, must meet rigorous timing demands. Research functions must be coordinated with granting cycles as well as implementation cycles and with teaching functions. Public service activities must

be take into account clientele expectations and needs (for example, cropping cycles and emergencies for cooperative extension). Changes in university organization and function and participation of faculty must be sensitive to and consistent with such timing realities.

- (7) Universities are organized along disciplinary lines, generally by department and college. The U.S. educational system has developed to be analytic in nature, disaggregating the whole into its parts. It is historically less strong in resynthesizing these parts into problem solving configurations which cut across disciplinary lines. This area is one in which the university community is now seeing a strong need for change. Interdisciplinary programs which involve multiple disciplines, departments and colleges are increasingly common. However, the administrative channels and reward and incentive systems have not yet caught up with this perceived need for change. Tension persists between the need for an ever-increasing level of specialization and the need to synthesize specialized information and knowledge in order to solve problems and capitalize upon opportunities.
- (8) Participation in development cooperation has not been well accepted and integrated into the academic and other university programs at most universities. This influences faculty recognition and rewards, availability and utilization of university resources and other considerations. Complementarity with ongoing faculty and institutional programs is essential for sustainable and probably effective university participation. Participation in development projects has been completely and effectively integrated into university academic and research programs to our knowledge at a few universities. This appears to be the exception rather than the rule.
- (9) Universities are long-standing institutions with a vested interest in their own survival. As such, they change slowly. However, Internationalization is being recognized as a potentially powerful agent of change for reshaping and improving the organization and function of universities in our changing global environment. The need for change is being recognized internal to the institutions and is being mandated from pressures external to the university at the state, national and international levels. A number of factors are influencing the acceptance on the part of the universities of the need for change. As a result, this is a time of dynamic evolution of the university community. Since this is also a time of potential major changes in development cooperation and U.S. development assistance, it is an excellent time to see how the two can evolve in complementary ways. Emphasis on the internationalization of universities can and is in some instances serving as an agent of change.

#### Organizational and Functional Characteristics of USAID:

It was noted that AID, too, is an institution with a set of organizational and functional characteristics which affect its ability and interest in forming partnerships for development cooperation with universities and other entities. Some organizational and functional characteristics were addressed by the group and are summarized below.

- (1) USAID is an action arm of the U.S. government and is highly sensitive to national and congressional political mandates.
- (2) AID's organization and structure is complex, with multiple regional and functional bureau's in Washington, DC and decentralized bureaus and regional offices globally. There is some tension between the roles, prerogatives and resources of these various arms of the Agency.
- (3) Implementation of AID's strategic plan varies considerably from bureau to bureau and from mission to mission and is influenced by the specifics of the individual countries served.
- (4) Financial and administrative processes are cumbersome and complex, with approvals necessary at numerous levels before implementation of activities can result. Approvals can involve a broad spectrum of players in the U.S. Government, AID/WA, USAID regional bureaus, USAID-missions and in host countries.
- (5) Funding cycles, periodic and of relatively short duration, are not always in synchrony with program objectives, which tend to be longer term in nature.
- (6) Staffing patterns, with the cycling of personnel from country to country and between Washington, DC and international sites, allows for rich cross fertilization within the Agency, but does not allow for continuity of programs, approaches, and styles at any one site.
- (7) AID is moving from a heavy focus on project assistance as a primary mode of development assistance delivery to new modes including policy analysis/policy reform, program emphasis and reliance on the private sector and market forces as agents of development. The concept of sustainable development incorporating natural resources as well as sustained economic development is reshaping AID's approaches.
- (8) AID is facing a time of declining resources. Such mandates self-examination and reshaping of its own approaches to development assistance. Likewise, AID sees an increasing need to build a constituency for U.S. development assistance (development cooperation) within the U.S. public. A part of AID's strategy has been to articulate how development abroad results in benefits to the U.S. public.
- (9) Host countries are partners in AID programs and significantly influence what the Agency can do. AID has the responsibility, but not the authority, to assure host country compliance with schedules, resource commitments and others.
- (10) The AID staff reward and incentive system recognizes attributes and accomplishments that are not related directly to university participation and different from the university faculty reward system.
- (11) Debate over the direction of the Foreign Assistance Program is ongoing. This contributes to a significant level of uncertainty and indecision within the Agency.

## **Internationalization of U.S. Universities - An Overview**

The internationalization of universities and its impact on participation in development cooperation was discussed. The presentation of the paper given as Attachment IV formed the basis of the discussion. The information presented was derived in large part from a national study on the internationalization of U.S. universities being conducted by the authors; from the author's experiences in the planning and implementation of development projects funded by USAID; and from ongoing efforts to further internationalize Washington State University. The readers are referred to Appendix IV entitled "Internationalization of Universities and Participation in Development Cooperation."

## **University Participation in Development Cooperation**

### **Factors that Promote/Stimulate University Participation in Development Cooperation**

From the WSU research efforts the following factors have been identified as promoting and stimulating university participation in development cooperation. Many of these are interrelated and are not given in any order of priority.

- a. **Faculty interest and participation** - Central to university participation is faculty interest and participation based upon complementarity and fit of programs and activities; benefits and rewards; provision of resources; and congruence of time schedules.
- b. **Complementarity of activities and programs** - This factor has both institutional and faculty aspects. It incorporates the concept that the cooperating institutions share common objectives and expertise and that each can contribute something to the other. From a faculty perspective, the activities need to complement and generally be synergistic to and supportive of domestic programs and activities.
- c. **The degree of internationalization of the university** - The degree to which international dimensions, content, activities, understandings and commitment are incorporated into the university influences a number of aspects of university involvement.
- d. **Dual or mutual benefits** - This means multiple streams of benefits from a single activity. This includes benefits to individual faculty, their departments and the university, simultaneous with benefits to the host country and its institutions. In many successful models, the donor agency, host country and university are all beneficiaries as well as participants in the cooperative effort by faculty and departments.
- e. **Support and commitment by the college and central administrations** - This is especially valid when evidenced by incentive systems, resources and other tangible indications of commitment and support.

- f. Availability, mobilization and leverage of resources - External resources from AID are required. These support university participation and can be leveraged to mobilize university resources. The realization of benefits from participation are likely to influence the availability of university resources. This includes resources of the university, of the host country, and of external donors.
- g. Broad based university support and participation - While individual activities may involve a limited number of faculty within a narrow technical area, successful programs tend to look beyond this narrow focus and capitalize on opportunities for participation and involvement by a broader spectrum of university personnel as either participants or beneficiaries of the activity. The broader the base of involvement and benefits, the more likely is participation.
- h. Compatibility with policies, procedures and calendars - There needs to be compatibility of policies and procedures to enable the university to implement the designated activities effectively. Compatible calendars and time frames also need to be compatible.
- i. Success - Unpleasant experiences can strain development cooperation, while the perception of success on the part of both parties promotes continued participation and finally the establishment of long-term linkages.

#### Functional Aspects of Selected Models of Development Cooperation

A number of models for development cooperation were briefly characterized. Based on the characteristics identified for each, there was discussion of the potential for each model, or a variation of it, to serve as an effective means for university development cooperation. Some brief characteristics of these models are given below:

##### (1) Traditional AID Projects

- ◆ Tightly bound by time, resources, objectives.
- ◆ Usually single donor/host country agreement implemented by one or more contractors.
- ◆ Are a number of different AID project forms with contractor in simple product delivery role or, less commonly with a shared agenda and responsibility for design and implementation, such as the collaborative assistance mode.
- ◆ University involvement frequently through Title XII.
- ◆ Good fit with faculty interests, but poor relationship with time frames and perhaps programs.
- ◆ May access university faculty through direct relationship with participating university or through other (including non-university) contractors.

##### (2) Collaborative Research Support Programs (CRSPs)

- ◆ Multiple universities and countries involved.
- ◆ Interdisciplinary (although single university may be involved in only single disciplinary area).

- ◆ Individual faculty involvement and good fit with faculty domestic research activities.
- ◆ Mutual benefits.
- ◆ Single donor.
- ◆ Focused - on specific program/problem/commodity.
- ◆ Direct relationship with participating universities.
- ◆ Good fit with faculty interests, programs and time frames.

(3) The International Agricultural Research Centers (IARCs)

- ◆ Focused programs (commodity/program/ agro-ecologic area).
- ◆ Scientific/technical staff primarily resident at central location in foreign country -usually multi-national staff, usually with appointments for extended periods of time (more than 2 years).
- ◆ Regionally/globally oriented programs.
- ◆ Long-term support base and continuity.
- ◆ Multiple donors.
- ◆ Limited U.S. university involvement.

(4) The World Health Organization (WHO), World Bank and United Nations Development Program (UNDP) Special Program for Research and Training in Tropical Diseases

- ◆ Focused programs on specific diseases.
- ◆ Interdisciplinary.
- ◆ Globally oriented programs.
- ◆ Central-location for program planning and administration.
- ◆ Global grant program and technical implementation.
- ◆ Multiple donors.
- ◆ Selected U.S. universities participate as grantees.
- ◆ Good fit with faculty and programs.

(5) "Centers of Excellence"

- ◆ Focused on technical needs and areas of expertise with narrow program focus.
- ◆ Selected institutions (selected on the basis of demonstrated technical performance).
- ◆ Locally, regionally or globally oriented programs.
- ◆ Usually single donor.
- ◆ Good fit with university faculty and programs.

(6) Long-Term Institutional Linkages

- ◆ Focus on institution-to-institution linkages, mutual benefits and professional relationships between institutional faculties/staff (research organizations, universities, public and private sector institutions, etc.)
- ◆ Long-term support and relationships.
- ◆ Problem solving, opportunity seeking and capacity developing in nature - potential for emergence of new program areas and shifts in focus.

- ◆ Potential for leverage and resources from both sides (or from all collaborators).
- ◆ Single and/or multiple donors.
- ◆ Good fit with faculty, programs and institutions.

(7) Other Models (not described/characterized)

- ◆ Joint Career Corp (JCC) (and reverse JCC) - What has been the perception of its success from AID and university perspectives, and what has been its impact?
- ◆ Technical Services to Missions (TSMs) - Mixed response. Little used. Why?
- ◆ Indefinite Quantity Contracts (IQCs) - usually limited to involvement of individual faculty members, or occasionally a team of faculty members - limited institutional involvement or reimbursement for faculty.
- ◆ University sabbatical leaves or faculty exchange programs.
- ◆ Collaborative research or technology transfer activities funded by outside grants.
- ◆ Individual faculty involvement via PASA or other USDA arrangements.
- ◆ Others

The group briefly reacted to/discussed these descriptions and developed some suggestions for avenues for further exploration *vis a vis* future University/AID development cooperation:

- (1) A dynamic university model "alliance" applicable to AID development needs, perhaps patterned along the old model of private sector linkages for economic activities.
- (2) Especially in Africa, establish mechanisms to provide continued stimulus and support for human resources when they return to their home country - university back-stopping support linkages for continued professional development and cooperation.
- (3) Support and strengthen on-going university activities where these have shown to support AID programs. Working from successful programs or activities, explore how to enhance and leverage these successes in support of AID objectives.
- (4) Establish sister institution type relationships possibly through partnership grants.
- (5) Better capitalize on the existing disciplinary networks between university disciplines and their global networks.
- (6) Explore the use of the TSM concept, perhaps at the regional bureau level, as well as in individual missions.
- (7) "Product" marketing/development scheme approach - identification by university/host country of specific needs and opportunities and proposal for specific activities to AID.
- (8) Explore establishment of more flexible agreements between the university community and AID. Instead of project or rigidly defined contracts, develop more

open, cooperative agreements, perhaps along the models utilized for PVOs.

- (9) Within broad-based programs or needs, focus on specifics which are feasible and attainable, are of high mutual interest to institutions and host countries and have a high probably of success. Invest as a building block for leveraging further development with the host country and internationalization of the university.
- (10) Determine whether the Agency for International Development has a commitment to working with universities in development cooperation. If so, explore the nature, level and potential avenues for such cooperation. If not, universities are and should look elsewhere for partners.

### Next Steps

The group identified three potential follow on activities which could be pursued by the university and AID communities both individually and in concert. These are as follows:

- (1) Define strategies for capitalizing on commitment demonstrated by select, already involved universities.
- (2) Define strategies for potential involvement of new universities to gain, demonstrate and use commitment in support of development cooperation and economic development objectives.
- (3) Continue honest, productive, candid dialogue between universities and AID regarding what the universities want to do. Define potential new models or approaches to be used for development cooperation involvement by universities to get multiple impacts or multiple streams of benefits from development cooperation.

Every effort such as this workshop seems to generate at least one observation which captures the spirit of the endeavor. In this case, the following seems appropriate to share. In the context of remarks regarding the evolution of AID's strategic approach to development--the so-called "four pillars"--it was noted that even these are undergoing such rapid evolution and reinterpretation that:

*"What AID really has nowadays is two pillars (and a keen sense of balance!)"*

It is hoped that AID and the university community can work together to build a more firm basis for development cooperation than in the past--one that requires a less keen sense of balance.

## APPENDIX I

### PARTIAL LIST OF PARTICIPANTS

<u>Name</u>	<u>Organization</u>
Brad Langmaid	AID/S&T
John Austin	AID ST/H
William Miner	BIFAD/S
Frank Fender	OICD/USDA
Peg Hively	OICD/USDA
Ruth Fisher	S&T/RUR
Gary Hansen	AID/PPC/CDIE
Krista Stewart	AID/S&T/ POP
Tom Donnelly	AID/OIT/PETA
Shirley Toth	AID/S&T/EN
Cal Martin	AID/AFR/TR
Jim Hoxeng	AID/S&T/ED
Antonio Gayoso	AID/ST/HR
Nora Berwick	AID/S&T/EN
Richard Pelczar	AID/S&T/ED
Loren Schulze	AID/S&T/AGR
John Stovall	BIFAD
Frank Method	AID/PPC/PDPR
Ralph Cummings, Jr.	AID/S&T/FA
Cameron Bonner	AID/AFR/TR/EHR
Vince Cusumano	S&T/FA
Larry Allen	NASULGC
Ted MacDonald	OTA
Eric Chetwynd	AID/S&T/RD
Norma J. Ayers	AID/S&T/PO
John Swallow	AID/ANE/TR/ARD
Gene Chiavaroli	AID/S&T
Lois Godiksen	AID/PPC/CDIE
Owen Cylke	A-AA/FVA
Sue Schram	NASULGC
David Bathrick	AID/S&T/AGR
Jim Henson	WSU
Jan Noel	WSU
Richard Cook	WSU

## APPENDIX II.

### PARTICIPANT EXPECTATIONS OF THE MINI-WORKSHOP

- ◆ What are universities' expectations of AID and AID's expectations of the university?
- ◆ What is university internationalization? How is this defined, and what is happening in this regard?
- ◆ What are the requirements for achieving internationalization?
- ◆ What is the potential for universities and AID to provide guidance to one another in areas of mutual interest?
- ◆ How can and are universities being internationalized, and what is the impact of this on U.S. clientele?
- ◆ What is the nature and level of assistance forthcoming from Congress *vis a vis* support for internationalization. What about support for development assistance, and how might one impact the other?
- ◆ Explore more effective USAID/University partnerships.
- ◆ What is the commitment of universities to development cooperation?
- ◆ Can and will the states and their universities participate more in development cooperation? How can resources be mobilized at these levels, and what kinds of resources might they be?
- ◆ Who benefits?
- ◆ Analysis of present/potential university/AID cooperation, modes, methods and issues.
- ◆ Identify obstacles to internationalization and to more effective university participation in development cooperation.
- ◆ Listen - What are universities saying and what is AID saying--find out more about university internationalization and university/AID potentials and issues.
- ◆ Understand from the data more about the changes on-going in university internationalization.
- ◆ How is internationalization of U.S. universities relevant to AID? To Universities?
- ◆ Better identify the relevance of internationalization of U.S. universities to development and developing countries.
- ◆ What changes in AID might be made to better apply guidance to university programs and/or to access university resources?

## APPENDIX II - EXPECTATIONS (CONTINUED)

- ◆ What are the potential for and nature of linkages between U.S. and non-U.S. universities –development cooperation linkages?
- ◆ What are and can be university linkages with other non-university delivers of development cooperation (public, private sector, PVO, etc.)?
- ◆ Explore the politics, the internal development and change mechanisms, and the issues associated with internationalization on university campuses and within university systems.
- ◆ Is university internationalization a fad or a long-term sustainable change in universities?
- ◆ How much does it now and will it cost in the future to internationalize universities?
- ◆ What is the progress to date and what are the future steps and strategies for university internationalization, and how does this relate to university potentials for contributing to development agendas in developing countries?
- ◆ How can universities energize and mobilize states' political processes, the citizenry and national constituencies for multiple benefit streams to developing countries, USAID, the universities themselves and their public and private sector clientele, and others?
- ◆ What are the factors which promote or strategies which can help a university establish activities and relations with a broad range of international organizations and institutions?
- ◆ Are there compelling arguments for Congress regarding benefits from internationalization?
- ◆ What are models for potential long-term linkages and relationships between developing countries, AID and universities?
- ◆ Examine university and AID perceptions regarding one another and whether data and empirical evidence supports these perceptions.
- ◆ Define internationalization.
- ◆ Discuss/determine states' willingness to support internationalization and/or university participation in development cooperation.
- ◆ What is the commitment at the university level to internationalization? How is this recognized/measured?
- ◆ Explore viable approaches for university participation in development cooperation.
- ◆ How can scattered and diverse internationalization activities on campuses be brought together, mobilized and coordinated for optimal impact?

## Appendix III.

### UNIVERSITY/AID PERCEPTIONS AND EXPECTATIONS OF ONE ANOTHER

#### I. AID/WASHINGTON PERSPECTIVE:

##### AID/WA expects or wants from the university community:

- ◆ Individuals, bodies, human resource pool for technical and other expertise.
- ◆ Technical services.
- ◆ Training services at the project level.
- ◆ Research services.
- ◆ Resource investments - cost sharing/matching/dollars invested by university in support of AID objectives.
- ◆ Institutionalized capacity and commitment - University as a continuing source of resources and capabilities to be made available to AID - personnel, services, etc.
- ◆ Information generated by the university to be distributed to AID.
- ◆ A lobby or advocacy role of the university with its clientele in support of AID.
- ◆ Issue leadership - Technical issues; global issues; policy issues; etc.
- ◆ Management/implementation (as contractors) of AID projects.
- ◆ Sharing of mission or goals.
- ◆ Universities to follow AID regulations, procedures.
- ◆ New ideas and innovation.

##### AID/WA thinks universities want/expect from AID:

- ◆ Money.
- ◆ Development professional experience - access to development experience.
- ◆ Signals regarding current priorities - what is important - what AID thinks is important.
- ◆ Reciprocity.
- ◆ A chance to relive the old days, to relive the sixties and the modes of development assistance in place at that time - replicate the U.S. university model worldwide.
- ◆ Commitment from AID and tangible evidence of that commitment.
- ◆ Long-term relationship with AID.
- ◆ Respect/appreciation.
- ◆ University independence or isolation from the "whole AID package" - i.e., any part of the AID agenda not embraced by the entire university/university community.
- ◆ Autonomy - a greater degree of programmatic and/or operational independence.
- ◆ Participation - Opportunities to participate.
- ◆ AID should understand how the universities work and be sensitive/accommodating.

## II. USAID FIELD MISSION PERSPECTIVE:

### USAID field missions expect/desire from universities:

- ◆ Commitment and interest from the university based on long-term mutual institutional benefits between the host country, USAID, and the university (commitment beyond the specific time-frame and funding base of the project).
- ◆ Understanding on the part of the university of USAID mission commitments development objectives, and strategies.
- ◆ Provide AID/host country access to a spectrum of resources including, but not limited to staff (especially permanent faculty).
- ◆ Knowledge/technical information.
- ◆ Networks (global for information sharing by the university and university-accessed information systems).
- ◆ Responsible partnership, mutual respect and responsibility.
- ◆ Intellectual honesty--objectivity.
- ◆ Missions expect more from universities than from private sector firms, PVOs and NGOs contracted to do similar activities.
- ◆ Universities to provide their own resources in support of project activities.

### Universities expect/desire from USAID missions:

- ◆ Missions to be "responsible development partners".
- ◆ Source of funds and support.
- ◆ Long-term consistency of development objectives; for mission agendas not to make drastic shifts as personnel rotate.
- ◆ AID should understand that universities know better what to do and how to do it than AID gives them credit for.
- ◆ For mission to ensure host country institutional support (i.e., assist universities when host country is not meeting institutional support commitments).
- ◆ For university personnel to have equal status/benefits, etc. (i.e., not lowest on the totem pole for entitlement to U.S. government support and services).
- ◆ For missions to be dependable and responsible.

### III. UNIVERSITY PERSPECTIVE

#### Universities expect/desire from AID:

- ◆ Contracts, dollars, access to resources.
- ◆ Clear statement of AID's program priorities with some sense of continuity and consistency (less chameleon-like).
- ◆ Real partnership, or "meaningful relationship".
- ◆ Partnership more like USDA's - University partnership, formula funding/not only individual, narrowly focused and time bounded contracts.
- ◆ Professional relationship beyond individual contracts.
- ◆ Involvement beyond the land-grant involvement in specific Title XII projects (more public universities involved, more private universities).
- ◆ All universities (including Title XIs) to have the opportunity for involvement in non-Title XII designated areas.
- ◆ Continuity of AID support and partnership.
- ◆ More influence and involvement in setting the course and content of development cooperation.
- ◆ Better utilize university knowledge and expertise in AID strategy and policy as well as in implementation ("We know more than you give us credit for").
- ◆ AID to play facilitating role between universities and developing countries - beyond provision of money.
- ◆ Universities expect AID to see the development profession is a shared one between the agency and university and an ability to move back and forth in setting and implementing agendas - more and shared ownership.
- ◆ Universities without a high volume of business expect and want mechanisms to break into the business, while universities with a high volume of project business expect/want new/difference modes of development partnerships.
- ◆ Universities want/expect a better understanding of and mechanisms to access university resources.
- ◆ Be more realistic in expectations of universities, specifically, and projects in general--provide programs with realistic objectives, time frames, budgets.
- ◆ More fair treatment in relation to private contractors--expect more from universities in terms of institutional resource investments, commitment, etc. than from private contractors.

Universities thinks AID expects/desires from them:

- ◆ To access the capabilities and support of entire university and is disappointed when it gets individuals or departments only (even though paying for just the latter).
- ◆ A job done within relatively narrow boundaries; little interest in what else the university might provide in support of AID objectives; adhere to the "blueprint" and don't be innovative.
- ◆ Respectability/credibility as a result of university involvement.
- ◆ For universities to serve the mission director--to make the field mission director look good to meet his/her objectives.
- ◆ A professional result - AID wants and expects a professional result from universities even where the environment and external factors makes this unfeasible. It expects more of the university than it does of itself.
- ◆ For universities to manage AID's project in accordance with AID's accepted management processes independent of or without regard to university, state and other administrative and legal requirements.
- ◆ Universities to develop and transmit information and technologies to the agency through S & T and other approaches.
- ◆ For the university community to engender political support at local, state and national levels.
- ◆ To train participant trainees in accordance with AID regulations, procedures and needs (without regard to extra work and expense this might entail over non-AID-funded foreign students or domestic students)
- ◆ To educate/train and encourage future development professionals, to meet staffing needs of AID, other donor agencies, other contractors, etc.
- ◆ To invest considerably of their own resources in support of AID development objectives.

**Internationalization of Universities and  
Participation in Development Cooperation\***

by

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research by the authors, some of which has been conducted in cooperation with the International Development Management Center at the University of Maryland, and the reports of other authors. The experiences of Washington State University over the last 10 years will also be used as an example of a university that has attempted to address internationalization while being involved in development cooperation. We will also call upon our own individual experiences, primarily in Africa, in the design and implementation of development assistance projects funded by USAID and other donors.

In this presentation, *internationalization* is defined as the incorporation of international related contents, materials, activities and understandings into the teaching, research and public service functions of the university to increase their relevance in an increasingly interdependent world. The conclusions reached indicate that internationalization is being accorded a high priority by many universities and will likely impact university programs; that participation in development cooperation can contribute to the internationalization of universities and their programs; that the most effective utilization of university capabilities and expertise is likely to be based upon long-term, mutually beneficial relationships that promote the mobilization and utilization of donor funding as well as university resources; and that effective utilization of universities will require a different relationship between USAID and the universities. Part of these results have previously been published.<sup>11</sup>

### The Global Setting and the University Response

Dramatic changes are occurring throughout the world. The significant political changes in Eastern Europe and the Soviet Union will bring about as yet undetermined consequences, but are likely to change U.S. strategy in terms of its relations with a significant part of the world. The U.S.'s declining economic competitiveness and its status as the largest debtor nation in the world have focused the attention of many on international topics. It is being stated that the U.S. comparative advantage in the global marketplace will be information and technology driven and that it will require a well trained and flexible workforce.<sup>5</sup> Many studies have shown a lack of understanding of and knowledge about other countries, cultures, ecologies, economics and political systems by students and other citizens. Some have indicated that it is essential for the U.S. to further globalize its educational system along with improving its ability to produce

capabilities of graduates highly competent in science, mathematics and other topics in order to regain its previous economic and political positions, or perhaps even retain its present ones.<sup>5</sup>

Environmental issues that transcend national boundaries are receiving more attention than in the past. Organizations and coalitions are exerting increasing pressure on state and federal governments and the private sector to become more environmentally "responsible". In development cooperation, sustainable management and use of natural resources and the design and implementation of development cooperation activities that explicitly takes such into account are being emphasized.

Universities are responding to these changing global circumstances with an increased emphasis on internationalization (globalization).<sup>5,9-10</sup> In the past, major emphasis has been placed on traditional "international education" activities which include foreign students and scholars, study abroad, student and faculty exchanges, foreign language training, area studies, incorporation of non-Western materials and information into the curriculum, and others. It is being suggested that these traditional international education activities have frequently been isolated and not well coordinated and integrated into university academic programs.<sup>9-10,13</sup> We suggest that other potential contributors to globally relevant universities have not been emphasized and utilized as effectively as they potentially can be. These included international-oriented research programs, faculty development, internationalization of departments, participation in development cooperation and others.<sup>9</sup> An overall university strategy for internationalization that incorporates all potential contributors, including participation in development cooperation, is frequently lacking. In our study,<sup>10</sup> 66% of responding universities indicated that development cooperation programs and activities were managed and administered separately from international education. In many of those institutions (33%) where these activities are housed together, they are functionally and programatically separate.

When asked to indicate the degree of incorporation of non-Western subject matter material into the curriculum as one indicator of internationalization, 10% of 182 responding universities indicated incorporation to a high degree, 40% to a moderate degree, 45% to a low degree and the rest not at all. When asked to compare the level of present internationalization with 5 years ago, all indicated that there had been increased levels of internationalization of teaching, research, cooperative extension, public service and faculty understanding and experiences. Of the 182 responding universities, 98% indicated that international information and understanding

will be more important to the society they serve over the next decade, and 99% indicated that the international dimensions of their programs will increase over the next decade. Seventy-nine percent (79%) of the responding institutions indicated that they were at present or had recently carried out studies, examinations, planning activities and other endeavors related to internationalization. Of those indicating that they had carried out such efforts, 84% indicated that resulting recommendations were or would soon be implemented.

The data collected by questionnaires and case studies indicate that many universities view present traditional educational programs as incomplete, with a need for the incorporation of more non-Western cultural, economic, environmental and other content. The traditional U.S. university educational programs are depicted in Figure 1 with the more global-oriented university educational programs given in Figure 2. The emphasis in the latter is on the incorporation of international content, materials and understanding -- as appropriate -- as intrinsic parts of all programs. However, in many institutions, "international" is still viewed as separate and distinct from domestic activities and as something which will be addressed only when additional finances and/or faculty are available. In the more progressive universities, international content is being incorporated across the broad spectrum of university activities and programs to support and supplement science, liberal arts, business, and other disciplines. Thus, in the progressive institutions, international is viewed as an integral part of everything that the universities do - teaching, research and public service.

### **Factors Promoting Internationalization**

In our study, we asked universities to indicate the importance of factors for establishing, strengthening and/or operating international activities. Table 1 indicates those factors that were selected as very important by 50% or more of the responding universities. Faculty interest and support, availability of funds and support of the central administration were selected by the largest number. Also selected as very important, but by a fewer percentage of the responding universities, were departmental support; faculty incentives and rewards; support of the departmental chair; a strategic plan; and departmental incentives and rewards. These and other studies emphasize the central role that faculty play in internationalization. Our own study<sup>9</sup> and the results of others<sup>5</sup> indicate that internationalization of universities is being influenced by a number of interests, circumstances and concerns, both internal and external

to universities. Some of these are given in Figure 3. Economic competitiveness and the role universities can play in its enhancement received considerable emphasis.

### University Participation In USAID Funded Development Cooperation

In our internationalization study, 59% (86 of 145) of responding universities indicated that they had participated in donor funded development assistance activities. We further asked the participating universities to indicate the dollar volume of business over the last 2 years. This is given in Table 2. Of the participating universities, 25% had a dollar volume of business of over \$3 million per year, whereas 35.2% had a dollar volume of business of less than \$.5 million.

Examination of documents and discussions with USAID staff in Washington and in missions and with university administrators and faculty indicated expectations from university participation.<sup>1,9,16-17</sup> USAID expects the universities to provide a readily available pool of capable and experienced faculty that are not only technically knowledgeable and competent, but also understand development. These faculty are expected to be readily available for long- and short-term assignments and should be the best, most experienced faculty, as evidenced by tenure and other less well-defined characteristics. The Agency expects a range of technical and disciplinary expertise to be available and that the universities be capable of administering and managing projects. Furthermore, universities are expected to be supportive of USAID programs, i.e., to assist in building constituency and support for the U.S. development cooperation effort and USAID at the state and national levels. The establishment of the strengthening grants and later the memoranda of understanding was based upon the assumption that investments in universities which strengthen their capabilities will promote more effective participation. The universities are also expected to train host-country participants effectively to meet the requirements of their home institutions and countries and at the same time educate future development workers, voters, etc. in the U.S.

The universities expect to realize economic and other benefits from participation with USAID. Included are opportunities for faculty to gain international experiences and understandings and to gain information that is useful to teaching and research. Opportunities for project participation are expected to be available. Universities anticipated becoming partners with

USAID in the design and later implementation (collaborative assistance mode) of programs and projects which in turn would enhance university opportunities and effectiveness. It was envisioned that a long-term partnership would be established and that AID would understand the characteristics and uniquenesses of universities and perhaps accommodate to their *modus operandi*. These and additional expectations were defined in this workshop.

A number of assessments have been carried out on the effectiveness of university participation<sup>1,16</sup> and the AID/university partnership. Limited analyses with a similar focus have been carried out for USAID as an organization and for PVOs, NGOs and private sector firms. Examination of the results of the university assessments indicate that some university-managed projects have been effective by AID criteria of effectiveness, while others have not. Within the context of a long-term impact, however, it appears that a number of activities in which universities have been engaged in the past have had significant impact.<sup>22</sup> Furthermore, it has been suggested that perhaps universities should be more and not less involved in the U.S. delivery of development cooperation.<sup>10</sup> One author has suggested that the U.S. university participation is the comparative advantage of USAID compared to other donors.<sup>14</sup>

Examination of the available information and discussions in our case studies indicate that universities have realized benefits across a broad range of disciplines, from participation in development cooperation.<sup>9</sup> In some cases these benefits have been significant. However, there have been limited efforts to identify and quantify them. In other cases participation has had a negative effect, rather than a positive one. Some faculty, department chairs and deans interpret "international" to mean faculty serving long-term overseas assignments with resultant negative impacts on domestic programs. This perception clouds to a surprising degree the concept of internationalization held by some in colleges of agriculture. This is important since our findings suggest that one of the key factors for university participation in development cooperation is the realization of actual and/or potential benefits from such participation.

Universities responding to our questionnaire were asked to indicate benefits they had achieved from participation in development cooperation. Their responses are given in Table 3. Faculty experience and exposure from participation was selected most frequently, with assistance to developing countries, information useful to teaching and information useful to research being selected frequently. Increased sources of funds, student experience and exposure, information applicable to public service and information useful to cooperative extension were selected less

frequently. When asked to indicate the three most important benefits that they wish to receive from participation in development assistance, 78 responding universities indicated that faculty experience and exposure was the most important benefit that they wish to receive from such participation. When asked to indicate the second most important benefit that they wish to receive, faculty experience and exposure was again selected most frequently. Information useful to research was selected most frequently as the third most important expected benefit. In terms of expected benefits, it is interesting to note that information useful to cooperative extension and information applicable to public service received practically no responses.

Further examination of benefits to the universities have resulted in the identification of others, which are given in Figure 4 (there is some duplication with those benefits given in Table 3). Examination of benefits to developing countries from university participation have identified the list of benefits given in Figure 5. In both instances, the benefits are not given in any specific order of priority.

#### **Factors That Will Promote University Participation and Effectiveness In Development Cooperation**

Examination of the organization and operational modes and characteristics of both USAID and the universities indicates incompatibilities.<sup>17,19</sup> Both institutions are significantly influenced by internal faculty and staff reward systems and a need to promote and sustain their individual organizations and activities.

For university faculty this involves incentives and rewards (tenure, promotion, and others); a peer evaluation system both internal and external to the individual university; a general need to access extramural research support; necessity of program compatibility; a fairly rigid calendar and long-term time frame; and, in the past, a sometimes hostile and unappreciative clientele. USAID on the other hand must continually convince Congress of its relevance and benefits to the U.S.; utilize a burgeoning and complex bureaucracy; must respond to the needs of its staff to be recognized and rewarded; face declining staff members and frequent staff turnover with associated lack of program continuity; frequently seem to stress expenditure of funds rather than impact; seem to seek scapegoats for lack of program accomplishments, many of

which are frequently unattainable at the outset; and have a need for success in a short-term time horizon.

We have examined successful university participation in development cooperation and the organizational and functional characteristics of universities to identify those characteristics that are most essential to be addressed for successful university participation. These are given in Table 4 and are not listed in order of priority. These have also been examined within the context of various models for the delivery of development cooperation to identify the compatibility of these models with the identified characteristics.<sup>18</sup>

There seems to be general consensus that the Collaborative Research Support Programs (CRSPs) have been reasonably successful.<sup>4,12</sup> Some are of the opinion that they represent the most successful examples of university participation in development cooperation. It has been suggested that the CRSP model has not reached its potential and should be expanded in scope and magnitude.<sup>4</sup> However, limitations in the performance of CRSPs have been indicated. The multi-institutional collaborative mode complicates planning, implementation and management with resultant inefficiencies.<sup>21</sup>

When one examines and attempts to rank the degree of compatibility between the aforementioned university characteristics for effective participation and the organization and function of the CRSPs, the results are given in Table 5. Also given in this table is a similar subjective ranking of the same characteristics for traditional projects. In the latter, it is appreciated that the degree of compatibility with the suggested characteristics will vary considerably from project to project. In this comparison, the CRSP model seems more compatible with the indicated characteristics than does traditional projects. It is recognized that the list of university characteristics is not exhaustive, and the subjective ranking of them in Table 5 is debatable.

### The University - AID Partnership Revisited

The university-AID partnership envisioned in the Title XII legislation has developed severe stresses on the part of both parties. Some suggest that the partnership is moribund. The economic and political environments in terms of needs, characteristics, and opportunities for

development cooperation are changing. Universities are likewise changing with many becoming more international-oriented, with the potential for incorporation of development cooperation as one of a number of components in the total arsenal of university international related activities. If the partnership is to be resuscitated, changes must occur in the relationship and in both institutions. The following represent conclusions that are drawn from our studies on the internationalization of universities and participation in development cooperation.

It appears that sustainable participation in development cooperation will depend upon the university and its faculty realizing benefits from such participation. This probably means mutually beneficial, long-term relationships with institutions and colleagues in other countries.<sup>2,10,23-25</sup> The mobilization and availability of both university and non-university resources will be required. It is likely that a more globally oriented university will recognize benefits, make available resources and encourage and reward faculty for participation. The recognition and incorporation of development cooperation participation as an activity contributing to university academic and research programs and as part of an overall university strategy for internationalization and program relevance are important.<sup>10-11</sup> In our view, the characteristics of universities given in Table 4, and perhaps others, must be taken into account in designing mechanisms for university participation. These must be congruent with characteristics of the partners in foreign countries and of the donor agency.

Failure to take these characteristics into account in the planning and implementation of university participation in development cooperation will likely result in short-term, non-integrated, fragmented efforts that will have limited long-term impact on the university with the activities and relationships not sustainable beyond the tenure of donor support. Also, the full capacity of universities to participate and contribute to the developing countries will likely not be available. By contrast, incorporation of development cooperation efforts as contributors to university program effectiveness and relevance will benefit all partners.

We have previously suggested that the present operation and function and perhaps organization of USAID are not supportive of optimal university participation.<sup>19</sup> Changes from the present management of most USAID - university activities and relationships will be required if universities are to be most effective. Some USAID participants in this workshop have suggested that missions expect more from universities than from private sector organizations in the implementation of development assistance projects. They also indicated that USAID, at

both the mission and Washington levels, expects the universities to provide their own resources for participation. The authors seriously doubt that provision of such resources is an expectation of private sector firms, NGOs and PVOs. Workshop participants further suggested that unrealistic expectations of universities may contribute to the disappointment in university performance. There are obviously other considerations. In order to optimize the effectiveness of university participation, improved university - AID dialogue at the mission as well as Washington, DC levels is required. Based upon previous experience, in order for missions to buy in and be full partners, they must participate in the development and implementation of any concepts or new approaches for university participation. Universities have long been grappling with how to build incentives for internationalizing their programs. This is starting to be incorporated into the reward systems. If USAID is serious about the university - AID partnership, collaboration with universities should be actively encouraged, perhaps within the context of the reward system, and must assume different dimensions than in the past.

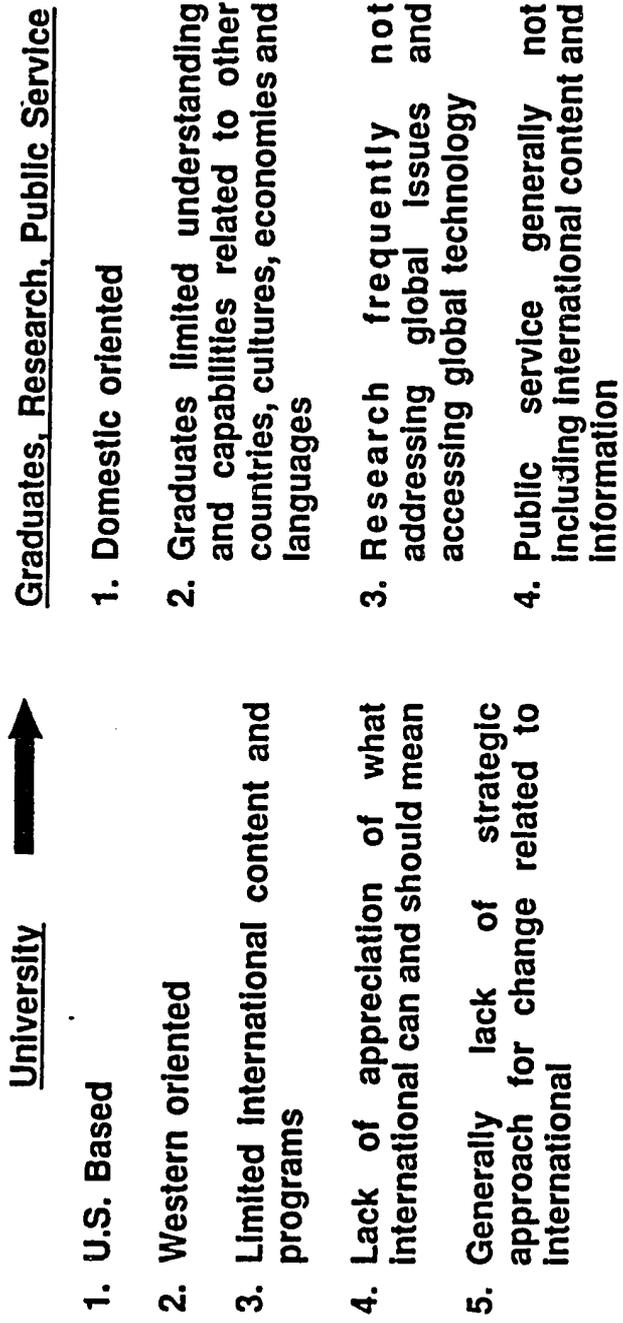
It appears that there will continue to be a need for the traditional project and program mode of operation for the delivery of development cooperation. However, it is suggested that the compatibilities between the universities and the Agency will be better met by the definition and implementation of long-term, institutional linkages model that stresses mutual benefits and flexibility. Such should enhance the compatibility between universities, USAID and the host countries and build upon the current emphasis on the internationalization of university programs. A frank and candid dialogue by all three partners in development cooperation, building upon previous experiences and lessons learned, should enable the U.S. development and university communities to fashion a more effective approach to utilizing the considerable capabilities of the universities. This has been one of the benefits of this workshop.

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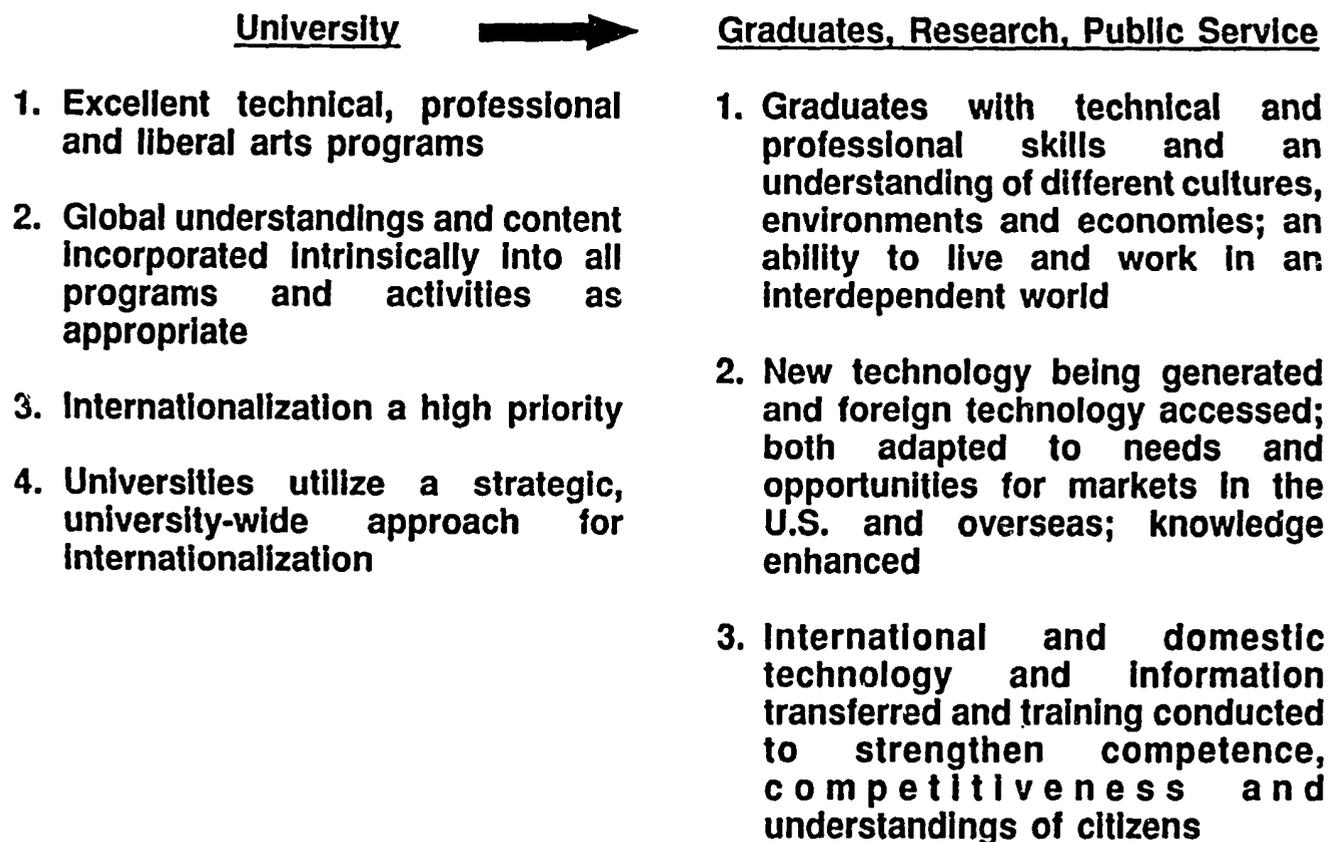
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Fig. 1. TRADITIONAL U.S. ORIENTED EDUCATIONAL PROGRAMS



SW

**Fig. 2. FUTURE GLOBALLY ORIENTED EDUCATIONAL PROGRAMS**



**Fig. 3. Internal and External Pressures  
Influencing Internationalization**

- **Economics and economic competitiveness and the role of universities in enhancing such competitiveness**
- **Reports at the national, regional, and state levels which indicate a significant lack of knowledge about different countries, cultures, economic and political systems, and other international related topics by students (both university and K-12) and other citizens**
- **The incorporation of international requirements into accreditation standards by college accreditation boards and organizations**
- **Increased interest on the part of academic administrators, faculty and students in internationalization**
- **Interest in and/or demand by legislators, boards of regents, clientele groups and others for the incorporation of international-related materials, content, and activities into university programs to serve various clientele**
- **Desire on the part of faculty and students to assist others less fortunate in the world (humanitarian concerns)**
- **Perceived need and priority for internationalization of disciplines and programs by faculty and administrators**
- **Availability of non-university funds for international related activities (Title XII, Title VI, etc.)**
- **Growing awareness of the global inter-relatedness of environmental, economic, population, food, ethical, political, and other topics directly relevant to individual U.S. citizens, states, and the nation and of the intellectual challenges and stimulations posed by them.**

**Fig. 4. Other Benefits to Universities from  
Participation in Development Cooperation**

- 1. Opportunities for professional and personal faculty experiences and development.**
- 2. Source of extra-mural funds.**
- 3. Conduct of collaborative research and other activities that provide access to germplasm, predators, agents, field conditions, environments, materials, institutions, social conditions and technologies not available in the U.S. and useful to U.S. based programs and activities.**
- 4. Participation in student exchanges and internships and in faculty exchanges.**
- 5. Provision of opportunities to enhance experiences and understandings about non-western cultures, economies, environments and political systems.**
- 6. Promote potential market development and understandings about multiple economic and other parameters related to marketing and economic competitiveness.**
- 7. Access to a variety of information and data useful to clientele and programs.**
- 8. Promotion and support of internationalization of university programs.**

**Fig. 5. Benefits for Developing Countries Resulting from University Participation in Development Cooperation**

- 1. Assistance for developing and strengthening institutional programs and human resources.**
- 2. Promote relationships between institutions and individuals that stimulate interest and long-term commitment and promote sustainability.**
- 3. Provide opportunities for training and professional enhancement for faculty and staff.**
- 4. Serve as a source of information, technology, and access to equipment, expertise and facilities that might not otherwise be readily available and provide access to a broad spectrum of institutional resources and capabilities resident in the U.S. universities.**
- 5. Assist in creating a "critical mass" of scientists and disciplinary expertise that might be lacking, at least in the early evolutionary stages of an institution.**
- 6. Provide scientific stimulation and encouragement as colleagues and peers.**
- 7. Assist in developing strategies, approaches, plans, and provide models for institutional development, strengthening and/or change in response to changing conditions internal and external to the institution.**
- 8. Carry out collaborative research, teaching and other activities.**
- 9. Provide potential source of additional resources.**
- 10. Assist developing country institutions to develop and maintain political support.**

**Table 1. Factors Very Important for Establishing, Strengthening and/or Operating International Activities on Universities**

<b><u>Factors</u></b>	<b><u>% Responding Universities Indicating Very Important</u></b>
<b>Faculty Interest and Experience</b>	<b>94%</b>
<b>Funds</b>	<b>93%</b>
<b>Support of Central Administration</b>	<b>91%</b>
<b>Departmental Support</b>	<b>74%</b>
<b>Faculty Incentives and Rewards</b>	<b>67%</b>
<b>Departmental Chair Support</b>	<b>66%</b>
<b>Strategic Plan</b>	<b>60%</b>
<b>Department Incentives and Rewards</b>	<b>56%</b>

**Table 2. University Participation in  
Development Assistance**

**Participated in Donor Funded Development Assistance:**

**Yes = 86/145 (59%)      No = 59/145 (41%)**

**Volume of Business**

<b>Less Than \$500,000</b>	<b>35.2%</b>
<b>\$500,000 - \$1,000,000</b>	<b>9.0%</b>
<b>\$1,000,000 - \$2,000,000</b>	<b>11.4%</b>
<b>\$2,000,000 - \$3,000,000</b>	<b>5.7%</b>
<b>Over \$3,000,000</b>	<b>25.0%</b>
<b>Don't Know</b>	<b>13.6%</b>

**Table 4. Characteristics That Will Promote  
University Participation In Development Cooperation**

- 1. Complementarity and Synergism of Programs and Interests**
- 2. Mutual Benefits**
- 3. Faculty Interest and Support for Participation**
- 4. Compatible Time-Frames**
- 5. Sustainability of Relationships**
- 6. Mobilization and Availability of University and Non-University Resources**
- 7. International Status of University**
- 8. Compatibility with University Organization and Function**

**Table 5. Comparison of Characteristics for Effective University Participation with CRSPs and with Traditional Projects**

<u>Characteristics</u>	<u>CRSPs*</u>	<u>Traditional Project Mode*</u>
1. Complementarity and Synergism of Programs and Interests**	5	4
2. Mutual Benefits	4	3
3. Faculty Interest and Support for Participation**	5	4
4. Compatible Time-Frames	4	2
5. Sustainability of Relationships	4	2
6. Mobilization and Availability of University and Non-University Resources	4	2
7. International Status of University	2	3
8. Compatibility with University Organization and Function	3	2

**\*Scale of 1 (low) to 5 (high) Degree of Compatibility**

**\*\*Project Specific**

42

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