

**Report of an A.I.D. University Center Workshop**  
**"Sustainability of International Higher  
Education Linkages"**

**Dallas, Texas, December 7-8, 1992**

**Organized by**  
**Agency Center for University Cooperation in Development**  
**U S Agency for International Development**

**Facilitated and Documented by**  
**International Science and Technology Institute**

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## **Acknowledgments**

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# **“Sustainability of International Higher Education Linkages”**

**Dallas, Texas, December 7–8, 1992**

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## **EXECUTIVE SUMMARY**

One hundred and thirty one representatives from 97 colleges, universities, associations and consortia, plus staff from the A I D University Center, US Information Agency, National Research Council, and the International Science and Technology Institute, gathered in Dallas, Texas. The attendees at the two-day workshop explored ways of improving the sustainability of linkages between US and developing country institutions of higher education.

### **Purpose and Method**

The objectives were to exchange information on enhancing sustainability, identify approaches for expanding resource availability, identify key components for successful linkages and improve criteria for judging proposed linkage arrangements. The format for achieving these objectives included an interactive approach with opportunities for sharing of knowledge and experiences among colleagues. The interaction and exchange of ideas occurred in various ways including small brainstorming groups around flip charts, panel presentations and breakout groups to discuss specific topics.

### **Results and Conclusions**

Discussions focusing on components and approaches to sustainability have been synthesized into the following seven themes:

- there must be perceived mutual benefits to both institutions and to both countries,
- responsive planning processes must be employed which are flexible, responsive, and long range,
- multiple funding sources should be sought from local, state and national governments, institutions' own budgets, non-governmental organizations, businesses, foundations, and private donors,
- broad institutional commitments are necessary from both the United States and Developing Country Institutions of Higher Education including institutional support beyond individuals,
- strong outside relationships must be developed in support of the linkage at institutional, local, regional, and national levels,
- two-way communication must be achieved which ensures that participants all share a common vision of the project, and utilizes the latest communication technologies, and
- cultural sensitivity is an absolute necessity for the linkage and can be gained by building cultural bridges.

## **Application and Evaluation Criteria**

The participants made a number of specific suggestions for including sustainability in future UDLP application criteria. They were directed to suggest specific ways to include sustainability in all the major components of the UDLP application criteria and reviewers' worksheets. For part I of the application, "The Linkage", suggestions covered the subheadings a) rationale, b) implementation and management and c) monitoring and evaluations. Similar suggestions were put forward for parts II & III of the application, "Characteristics of U S and Developing Country Institutions"

The participants also made specific suggestions for including sustainability in the criteria for the midterm and final UDLP evaluations. These sustainability criteria specifically related to the following areas: 1) accomplishment of project goals, 2) expansion of linkage and programs, and 3) effectiveness of the linkage process.

## **WORKSHOP OVERVIEW**

A two-day workshop on “**Sustainability of International Higher Education Linkages,**” was held in Dallas, Texas, sponsored by the Agency Center of University Cooperation in Development (University Center or UC) of the US Agency for International Development (AID). The workshop was attended by 131 representatives from 97 colleges, universities, associations and consortia, and staff from the University Center, US Information Agency, National Research Council, and the International Science and Technology Institute.

### **Background**

AID, by way of its University Center, is involved in promoting and supporting linkages, partnerships and ties between US and Developing Country Institutions of Higher Education through the existing University Development Linkages Project (UDLP) and the proposed Higher Education and Development (HEAD) project.

It is of concern to the UC, as a sponsor of these partnerships, that the efforts made in establishing and furthering international ties by US Institutions of Higher Education lead to sustained, long-term relationships and that the benefits derived from the relationships by both US and developing country institutions are also sustained. US Institutions of Higher Education are also expending considerable effort and resources to develop international partnerships and, therefore, are also vitally concerned with the issue of sustainability.

The UC believed it was useful to sponsor a workshop focusing on the issue of the sustainability of international higher education linkages to promote and share in the exchange of information on this topic.

### **Goal**

To improve the sustainability of linkages, ties, exchanges, partnerships and other relationships between US and Developing Country Institutions of Higher Education.

### **Objectives**

The following were the objectives of the workshop.

- Exchange information on enhancing the sustainability of international higher education linkages,
- Identify approaches for expanding resources available for international higher education linkages,
- Identify key components of successful linkages, and
- Improve the criteria by which the sustainability of proposed linkage arrangements are judged.

## Format

The workshop was interactive, with opportunities for sharing of knowledge and experiences among colleagues. This interaction and exchange of ideas occurred in various ways (see the Agenda in Appendix A) including small brainstorming groups around flip charts, panel presentations, and breakout groups to discuss specific topics.

## Highlights of the Process

The workshop was opened on Monday morning by Dr. Ruth Frischer, Director, University Development Linkages Project (UDLP), who stated this was the third year in which workshops related to the UDLP have been held by the University Center. As this was the first workshop with representation from higher education institutions abroad, she introduced thirteen representatives from developing countries (DCs) (see participant list). Dr. Frischer then presented the **workshop goal and objectives** as stated above. She stated the agenda was based on input from the participant response sheets. The task of the workshop was to develop **criteria for sustainability**, which will be incorporated into the next UDLP Request for Applications (RFA) due out in February 1993. She expressed hope that participants could also use the workshop results in their institutions.

Participants then divided into 16 groups and wrote brief **definitions of sustainability**. The results have been incorporated into the Suggested Components and Approaches to Sustainability presented on page 11.

Dr. Ralph Smuckler, Executive Director of the University Center in his keynote speech provided an **overview of the Center** (see Appendix B). He also suggested eight key elements of sustainability based on his 35 years experience working in international development (see Appendix C).

Representatives from five **sample linkages** (in most cases including both the U.S. and developing country personnel) gave overviews of their programs and how they were approaching the question of sustainability. These reports were followed by working sessions that discussed **components and approaches to sustainability**, which have been incorporated into the summary starting on page 11.

Roundtable discussion groups on Monday evening explored informally topics that were suggested by the participants which were not otherwise covered in the workshop agenda. These topics included USIA's Affiliation Program, the University Center's proposed Higher Education and Development project, the future of development cooperation, and establishing a linkage.

The second day of the workshop opened with a presentation by three members of the **National Research Council** panel that reviewed and rated UDLP applications who reported on how they approached the task of evaluating proposals for 'sustainability' (see Appendix D).

Participants then prepared **operational definitions** of possible components of sustainability, which have been incorporated into the summary starting on page 9.

Finally the participants looked at how to incorporate sustainability into the **criteria for reviewing new linkage applications** (page 17) and for **midterm and final evaluations** of ongoing linkages (page 21)

### **Notes About This Report**

The remainder of this report, exclusive of the annexes, presents the summary of the presentations and discussions. In developing a list of components of sustainability, the ideas which came out of the definitions of sustainability from Monday morning and the discussion groups on Monday afternoon were synthesized by the Documentation Consultant into a list of 14 components, (see Appendices C and D). These 14 components were used as the basis for the operational definitions developed on Tuesday. After the workshop, these 14 components were synthesized into the list of 7 components presented in this report. In addition, the reporters' original notes and flipchart notes are provided to give the full detail (see Appendix D).

Every effort has been made to organize the information into a useful form

## I COMPONENTS AND APPROACHES TO SUSTAINABLE LINKAGES

Participants listed many components and approaches to sustainable linkages in definitions of sustainability Monday morning, in working sessions Monday afternoon, and in operational definitions of sustainability Tuesday morning, which the documentation consultant organized into the following categories

- 1 **Perceived Mutual Benefits**
- 2 **Responsive Planning Processes**
- 3 **Multiple Funding Sources**
- 4 **Broad Institutional Commitment**
- 5 **Strong Outside Relationships**
- 6 **Communications**
- 7 **Cultural Sensitivity**

1 Mutual Benefits The linkage must be perceived to provide mutual benefits to both institutions and to both countries through

- Relating to identified national priorities, such as focusing on sustainable development to make the linkage in line with national government goals,
- Solving perceived global, national and community problems in both countries,
- Building on existing institutional priorities, strengths, experience, projects and relationships,
- Creating balanced shared ownership through jointly sponsored activities (research, seminars, conferences, publications, cooperative degrees, exchanges, etc ),
- Developing a sense of ownership by in-country personnel by training them to provide technical and logistical support, developing a sense of self reliance, emphasizing a self-help approach that does not build in dependency,
- Involving developing country partners from the beginning of the planning stage,
- Identifying a broad base of linkage beneficiaries involving many departments, and
- Transferring technology in both directions

2 Responsive Planning The linkage must use flexible, responsive, long range planning processes through

- Joint strategic planning, including defining complementary and mutually accepted goals and well defined objectives, keeping the priority focus on the target group,
- Clarifying the development objectives, including the measuring criteria for these objectives,

- Stating the benefits to each institution, including how to measure the benefits,
- Making clear agreements on goals and timelines, with balanced responsibilities and expectations,
- Applying a process of continuous evaluation and revision of goals, objectives and strategies, including feedback loops, modification procedures, debriefings, outcomes assessment, and criteria for measuring and reporting successes,
- Having patience and perseverance through the time needed,
- Creating processes so all have a “voice” as project evolves, such as joint advisory committees, perhaps including key political decision-makers,
- Using mechanisms for conflict resolution, such as advisory boards in all participating institutions, and
- Having mechanisms to deal with personnel changes in institutions

3 Multiple Funding Sources The linkage must seek multiple sources of funding from local, state and national governments, institutions' own budgets, non-governmental organizations, businesses, foundations, private donors, etc through

- Developing business sector relationships, including placing a private sector member on the advisory board, providing consultants to private sector, involving the business school, providing cultural language training and telecommunications facilities for businesses,
- Developing indigenous sources of funding within the participating institution where possible,
- Noting that private sector involvement can be direct (funds) or indirect (human resources and services) Contact businesses and other organizations that are working in the host country for possible in-kind and financial assistance, for example, free shipping, communication, transportation, volunteers, resource donations, involve industrial leaders, etc in the local community to develop infrastructure, show benefits to their business (You can identify businesses in the host country through the U S Embassy, U S Department of Commerce, Chamber of Commerce or local directories ),
- Showing the private sector the advantage of good corporate citizenship in their own communities, convincing them to see advantage of funding in other countries,
- Involving American company subsidiaries in the host country as well as local American companies that may benefit from our international programs,
- Obtaining public sector involvement, including key political decision-makers who can leverage resources, generate project support and grant allocations, utilize other American Federal agencies, State agencies (look for special state funding for international development programs), host country agencies,

- Develop “national networking” skills to learn how to develop and fund projects by contacting government agencies, other colleges and universities with linkage projects, attending information sharing conferences, reading proposals, etc,
- Seek non-governmental organization sector involvement, including community organizations, social service agencies, churches, private foundations, and private donors in both US and developing countries (perhaps doing joint activities with non-governmental organizations),
- Piggybacking on existing projects and following up on spin-off projects that could be separately fundable,
- Encouraging linkage partners to seek in-country funding sources,
- Doing PR as described below to build bridges with your local communities and develop goodwill toward the activity,
- Making the case that learnings from developing countries can be transferred for use in disadvantaged areas of US, and
- Educating parents on the benefits of international education for their children

4 Broad Institutional Commitment The linkage must obtain broad commitment of both institutions, including institutional administrative support beyond individuals through

- Reviewing institutional mission statements and making changes, if necessary, to include linkage programs,
- Creating or strengthening a central office/organization for international programs (with direct access to the President), including standing advisory committees representing many divisions and departments, and linkages to existing programs across the institution,
- Involving respected academic leaders and key administrators within the university, having them be “key personnel” in the project by participating in the planning process prior to submitting the UDLP, being represented on advisory committees, etc,
- Obtaining faculty support and involvement, through incentives and benefits, credit for tenure and promotion from international activities, funding faculty international activities,
- Committing to the country and institution above the funding sources,
- Making the linkage visible and well known on campus through international project festivals, seminars, pamphlets/brochures, internal publications and networks (E-mail, internal bulletin board, etc ), conferences and activities to which others are invited, and high level official visits (It is helpful to have definite PR responsibility in a single person),

- Creating and sustaining a committed core of individuals in both institutions, with the support structure to ensure continuity in the event of personnel changes, etc ,
  - Broadening the base to include more people and departments,
  - Involving, supporting and integrating students in both institutions, including doctoral students exchange and thesis sharing,
  - Bringing learnings from the linkage back to the US for professors and students to establish, strengthen and diversify curriculum, course syllabi and academic degree programs, and
  - Jointly creating and maintaining computer-based learning technology, distance learning techniques, etc
- 5 Strong Outside Relationships The linkage must seek a broad community “buy-in” at institution, local, regional and national levels through
- Having inclusive advisory councils, including representatives of governments, business, the community, non-governmental organizations, private donors and other interest groups in both US and developing country (everyone meet as a group, perhaps in workshops several times per year),
  - Doing public relations, through publishing and disseminating results outside the institutions to the communities, seminars for target groups and potential target groups, outreach, etc ,
  - Strengthening governmental involvement, involving key decision-makers, knowing the developing country government priorities and discussing before, during and following the project how the linkage fits in with those priorities (perhaps use a workshop to bring together policy makers with researchers to discuss findings),
  - Developing in-country partner organizations, encouraging autonomy among individual components of the linkage to deal with grassroots organizations in their area,
  - Developing broad-based participation in projects, through involving community-based service clubs (Lions, Rotary, etc ), higher education institutions, local cultural organizations, labor unions, university international student associations, etc ,
  - Doing training that brings in lots of other people, and
  - Networking with related institutions in each country

6 Communications The linkage must have open two-way communications, through

- Ensuring participants all share a common vision of the project, including a program for participants who join the project after linkage commences, perhaps including visits to the other countries involved,
- Maintaining openness and patience through orientations, team building exercises to develop “togetherness,” friendships, careful selection of personnel as good collaborators,
- Using the latest communication technologies, including telephones, fax, mail, courier, satellite communications, Internet, computer-based E-mail, etc ,
- Enabling communication at all ranks (especially higher levels) between institutions and professionals and across and within countries at regular intervals, and
- Having an explicit mechanism for resolution of any conflicts that arise

7 Cultural Sensitivity The linkage must be sensitive to cultural differences through

- Building cultural bridges, through on-going sensitivity, language training, and awareness of customs and common courtesies (perhaps having people who know the other country's systems and culture working on the each team),
- Providing travel support, including briefings, in-country support systems, and de-briefings upon return,
- Ensuring the component for women in development recognizes cultural differences and realities in different countries,
- Facilitating developing country partner participation in professional society conferences,
- Identifying political sensitivities, and
- Using international students to evaluate curriculum or courses to provide input and sensitivity relevant to their countries and cultures

## **II SUGGESTIONS FOR INCLUDING SUSTAINABILITY IN APPLICATION CRITERIA**

Participants suggested how to include sustainability in all components of the UDLP application criteria and reviewers worksheet. They had a general concern that the sustainability criteria not overlap in different categories, so that characteristics are not counted twice. They suggested the review give a higher weight to the section on rationale for the linkage. Specific suggestions for the different parts of the application form were:

### **Part I The Linkage**

#### **A Rationale**

- Demonstrate that the issue addressed is a priority issue in the developing country, linked to its development plan
- Show mutual benefits to (and respect by) both countries and institutions, identify common goals and complementary missions of the two institutions, show participating institutions as equals
- Indicate observable, measurable impacts on the populations, with clearly defined objectives
- State a strong underlying cause for the linkage and project
- Show good chemistry of personal relationships
- Describe extent to which non-governmental organizations are beneficiaries of the project

#### **B Implementation and Management**

- Describe scope and breadth of faculties and administration involvement
- Have clear objectives: how, when, where, how many
- Indicate a plan for utilizing multiple sources of funding, especially after the fifth year
- List members and duties of advisory board to show how effective it will be
- Demonstrate plan to institutionalize the management process
- Include a plan for continuity of management
- Show a long term planning process, perhaps including a multiple activity time chart (PERT chart)

- Illustrate how you will be flexible, adjust to change, reflect and re-think the program
- Explicitly identify the key management team and support personnel, show how their roles are appropriate, and how you will refine management and personnel roles over time
- Show adequate communications both ways, including building cultural bridges and understandings

### **C Monitoring and Evaluation**

- Program design should build in plans for periodic and on-going evaluation throughout the linkage
- Assess outcome as well as measure outputs (use both qualitative and quantitative measures) Indicate how you will know both institutions have internationalized
- Be customer-focused, including monitoring recipients of services Project should measure increased benefits to others in the general population beyond the project target group being trained or directly impacted
- Monitor growth and evolution of the project throughout its life
- Show how plans are designed to be flexible with periodic redefinition of objectives
- Evaluation costs should be reflected in the budget
- Provide evidence an advisory board is being used in the design and evaluation of the project
- Use non-traditional models of evaluation such as a panel composed of members from the host country or other developing countries

### **Parts II and III Characteristics of US and Developing Country Institutions**

- Demonstrate broad institutional commitment, including administration, academic leaders, and many faculty Show how linkage builds bridges across many departments and colleges in international linkages Involve a critical mass of motivated faculty Include endorsements from regents, trustees, CEOs, presidents, etc
- Indicate that the institution has an operational mission statement, adopted prior to proposal submission, that addresses meeting community, regional and national needs in both countries
- Show funding capabilities to continue the linkage
- Demonstrate a willingness to learn

- Include team building exercises within and between institutions
- Build on institutional strengths yet include consideration of actual impact of linkage on internationalization, with less weighing on experience, to get a more level playing field among institutions
- Demonstrate how results will empower individuals, which means that the individual has the knowledge, skills, competency and status to deal with whatever the situation requires
- Include diversity of faculty and students
- Have an international program office or some entity for centralized institutional coordination of international programs
- Show high level of commitment from the political structure of the developing country such as concurrence of relevant government ministries, businesses, etc  
Indicate that the developing country institution has in-country support
- Demonstrate language ability of institutions, related to the project
- Have strong involvement of women
- Show that the institutions and country environment are stable

### III SUGGESTIONS FOR INCLUDING SUSTAINABILITY IN UDLP EVALUATION CRITERIA

Participants suggested criteria for the midterm and final linkage evaluations to determine if the ongoing linkages are sustainable and help them make adjustments to be sustainable

#### 1 Accomplishment of Project Goals

- Validating and accomplishing internal and external objectives as compared against original proposal, both quantitative and qualitative, reporting the cost/benefit ratio (if quantifiable)
- Having regular, cyclical evaluation sessions and reports, with continuous feedback from professors and student visits Look at degrees completed, number of publications in the peer-reviewed journals, whether research plans extend beyond the initial period, etc
- Following up participants and trainees to identify their activities after training
- Identifying and solving problems as they evolve
- Evaluating benefits to
  - Faculty—finances, research, new frontiers of knowledge,
  - Students—curriculum development, international experiences, new frontiers of knowledge,
  - Institution—achievement of linkage goals, curriculum development, internationalization,
  - Society and Community—service received, research is applied, informed about the project, sustained involvement, and
  - International relationships—reduced prejudices and mistrust, more communication among groups, better information about each other

#### 2 Expansion of Linkage and Programs

- Expanding the same or similar activities beyond initial funding commitments,
- More people involved (administrators, faculty, students and other participants) than at the start,
- Expanding the network to include other institutions,
- Appearance of new projects, new ideas, spin-off activities, such as new goals, especially activities that will continue beyond the initial five year funding period, and
- Additional funding sources involved on both sides

### **3 Effectiveness of Process**

- Evidence of better communication patterns within groups and between groups,
- Increased visibility of the program to
  - Professionals, i.e. joint teams, joint presentations
  - General public
  - AID local mission
  - Host government staying in contact with people in host government to build support, and
- Mutual benefit as measured by degree of two-way exchanges, including professors, information, etc

**APPENDIX A**

**WORKSHOP AGENDA**

**Agenda for A.I.D. University Center Workshop, Dallas, Texas, December 6-8, 1992**  
**"Sustainability of International Higher Education Linkages"**

**Workshop Goal**

- To improve the sustainability of linkages ties exchanges partnerships and other relationships between U S and Developing Country Institutions of Higher Education

**Workshop Objectives**

- Exchange information on enhancing the sustainability of international higher education linkages
- Identify approaches for expanding resources available for international higher education linkages
- Identify key components of successful linkages
- Improve the criteria by which the sustainability of proposed linkage arrangements are judged and ongoing linkages are evaluated

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**Sunday**

- 6 00 pm** Reception
- 6 30** Opening Remarks Dr Ralph Smuckler Executive Director, Agency Center for University Cooperation in Development
- 7 30** Close (dinner on your own)

**Monday**

- 8 00 am** Coffee and Networking
- 8 30** Welcome and Purpose of the Workshop Dr Ruth Frischer Director, University Development Linkages Project
- 8 45** Review of Agenda and Process Jim Carney Workshop Facilitator
- 9 00** "Running" Definition of Sustainability - Discussion Clusters
- 9 30** "Essential Ingredients of Sustainability" Keynote Speaker Dr Ralph Smuckler
- 10 00** Break
- 10 30** Highlights/Components of Successful International Higher Education Linkages Panel
- Harvard Univ-Mexico Mozambique
  - Univ of Massachusetts Nepal
  - Sinclair Comm College India
  - Washington State Univ Jordan
  - Univ of Missouri South Africa
- 12 30** Lunch
- 2 00** Concurrent Working Sessions to Analyze Key Components of Sustainable Linkages
- 3 45** Break
- 4 15** Reports of Highlights and Key Learnings from Concurrent Working Sessions
- 5 30** Dinner (on your own)
- 7 30** Roundtable Discussion Groups
- 9 30 pm** Close

**Tuesday**

- 8 00 am** Coffee and Networking
- 8 30** Review of Sustainability in UDLP Applications Members of the National Research Council Panel
- Q&A
- 9 30** Redefinition of Sustainability
- 10 00** Break
- 10 30** Explanation of the Concurrent Working Sessions Dr Ruth Frischer and Dr Traci Tanaka
- 10 45** Concurrent Working Sessions
- Application Criteria evaluating new linkage proposals for sustainability
  - Evaluation Criteria evaluating ongoing linkages for progress toward sustainability
- 12 00** Reports of Highlights from Concurrent Working Sessions
- 12 45** Observations and Concluding Discussion by Dr Ralph Smuckler
- 1 00 pm** Close

**APPENDIX B**

**OVERVIEW OF THE UNIVERSITY CENTER**



The Agency Center for University Cooperation in Development was created by the A I D Administrator in September 1990 and became operational one year later in the Bureau for Research and Development. The Center has a dual role as an operating unit of A I D and as the support staff for the presidentially-appointed Board for International Food and Agricultural Development and Economic Cooperation (BIFADEC).

**Purpose** The purpose of the Center is to broaden and deepen the involvement of U S colleges and universities in inter-national development. The U S system of higher education is seen as "an extraordinary asset" which can be of significant benefit to the developing world. The fact that many U S colleges and universities are internationalizing their programs presents an unusual opportunity for productive collaboration with A I D.

**Basic Assumptions** The Center's role in A I D and its program are built on four important assumptions -- namely, that (1) the developing country university is an essential contributor to the development process, (2) U S higher education is a great American asset, widely respected in the developing world, especially at advanced levels, (3) A I D has made major investments in building universities in developing countries, and (4) A I D will be missing a unique opportunity to enhance its development efforts if it does not now build on its previous investments.

**Operating Principles** Among the qualities and operating principles which guide the program are the following: short-term service and long-term programming perspectives, activities which involve the full range of college and university resources and capabilities, mutuality in terms of benefits gained and costs shared by A I D and the higher education community, objective selection and evaluation procedures, and improvement in the policies and processes which govern existing and historically important contractual and other relationships between A I D and many U S institutions of higher education.

**Program** The University Center inherited two continuing activities which are supportive of its purpose. One is the **Research Grants Program for historically black colleges and universities (HBCUs)**. Established in 1983, the program encourages HBCU faculty members to become involved in international development activities supported by A I D and is part of the Agency's strategy which responds to a presidential executive order directing federal agencies to provide opportunities for HBCUs. Of the 160 research projects which have been funded, 120 have been completed. A compendium of abstracts of 72 completed projects, published recently, describes the results of research activities in agriculture, health, nutrition, and population in 25 developing countries and the United States.

The Center also provides support services for the BIFADEEC, which advises the A I D Administrator on board issues of development and on A I D 's program

The new program activities of the new Center have been planned with the help of a university task force, a high-level, broadly-defined advisory committee on which a number of university presidents served, and a wide range of consultations

The long-term programming began in 1991 with the University Development Linkages Project (UDLP). Designed to support and encourage long-term linkages between U S and developing country institutions, the broad areas of collaboration are in harmony, although not necessarily aligned, with A I D field mission strategies. The linkages contribute to the internationalization of the U S colleges and universities and help strengthen the developing country institutions to meet their societal needs more effectively

Thirteen matching grants totalling \$1 4 million were awarded the first year, and 15 matching grants totalling \$1 8 million were awarded the second year. A lengthy, stringent, external peer review process helped with the selection from among more than 75 fully responsive proposals each year. Over the five-year life of these cooperative grant agreements, A I D 's \$15 5 million will be matched or exceeded by the grantees

These linkages are multidisciplinary and cross-sectoral with an emphasis on quality, innovation and sustainability. Half of these linkages deal with health, 43% are in business and management, and 29% address environmental issues. Work is being supported also in agriculture, technology transfer, legal education, child survival, and democratization. Six linkages involve historically black colleges and universities. Thus, the UDLP has 28 linkages projects in 23 countries, involving 33 U S and 33 developing country institutions of higher education

The core program of the University Center is scheduled for beginning implementation in 1993. Called the Higher Education and Development (HEAD) project, its primary purpose is to expand the quality and breadth of the contributions to development of developing country higher education institutions. By engaging U S higher education institutions in this process, HEAD will encourage greater U S institutional focus on developing countries and the development processes and expand the pool of expertise to which A I D and other donor agencies might have access. Among the activities being considered for early implementation are the following development action networks (DANs), cooperatively planned, mutually beneficial and jointly supported systems focussed on addressing specifically defined development needs and seeking to improve the quality and enhance the academic, research and service capability of the participating institutions. Business education management, natural resource planning and management and teacher training programs have been identified as possible focus areas,

small grant competitive awards to encourage faculty work and exchanges in developing countries, joint U S -developing country dissertation research, continuing education for developing country alumni of U S higher education, and innovative and relevant unsolicited proposals. A suitable peer review process, using criteria established for the program, as well as specific subject matter criteria, will help determine awardees, and interaction -- that is, activities to expand and share expert personnel resources of value to both A I D and the higher education community, including joint seminars, a fellows program, and short-term consultations

The University Center has a cooperative agreement which makes available the resources of the six U S higher education associations, who represent the broad spectrum of U S colleges and universities, to help plan and implement the Center's program. The associations have formed an Association Liaison Office as the focal point to coordinate relationships, dialogue among the associations, and maintain contact with the University Center

For more information, write or call

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U.S. AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

December 1992

## APPENDIX C - 1 THOUGHTS ON SUSTAINABILITY BY RALPH SMUCKLER

Based on my 35 years of working in international development at Michigan State University (MSU), I have some comments on sustainability. Sustainability of relationships is very important because sustainable linkages must fit into a broader social framework. Development policy and foreign policy can be built around bringing people closer together, building bridges between our society and the developing world. Bridges in the higher education field can have long term impact. Easy movement of ideas and people is important.

Look at examples of links in science and technology and between private voluntary organizations and non-governmental organizations here and in the developing world. There are important private sector relationships, such as Partners of the Americas. Sister cities programs are helpful.

Remember that sustainability has different meanings in the different development sectors, such as environment, finance, economic growth, agriculture, etc. In relation to development itself, the Sustainable Development Fund (SDF), as proposed by the Overseas Development Council, focuses on continuing the momentum toward economic growth. Sustainability depends on being involved in something seen as productive.

Sustainable linkages are seen as having

- 1 Genuine value to both institutions — the activity is seen as productive, such as academic gains
- 2 A broadly rooted relationship on both sides. It is beyond just two professors relating, preferably it is multi-department, across the whole of both institutions
- 3 Professional value for individuals involved (in addition to the institutions, departments, etc.) Professors see something of value to themselves professionally, such as working in seminars in the country
- 4 Means of covering necessary costs of the relationship in a timely way. AID is ready to relate to you for a period of five years, so there must be some way to pick up the slack after that, such as the university budget. I found that until the university financing was in place, everything was on a bed of sand. The departments and colleges have the key budgets for supporting visiting professors, graduate students, etc. You should also look for many other sources, such as NSF, private foundations, etc.
- 5 Dedication of a few individuals on both sides. Sometimes this may involve graduate students and alumni from developing countries who are now here in the US.
- 6 Communication — the easier the communication between institutions, the more sustainable the linkage.
- 7 Respected academic leaders within the university involved in the process (or else you are seen as marginal). This brings the legitimacy of prestige into the international effort. For example, a senior professor can bring in younger faculty who carry the major effort.
- 8 Clear understanding of costs, obligations and responsibilities on both sides. Clear written agreements are important.

How long does "sustainable" mean? It should be built so that it can at least continue beyond the current professor's involvement, into the next generation of faculty. Remember, we are talking about sustainable linkages of institutions over time, not about specific projects, which may be temporary expressions of those linkages.

## APPENDIX C - 2 REPORTS OF SAMPLE LINKAGES

Notes from Monday Morning Panel Presentations (12/7/92)

**Harvard University School of Public Health, Massachusetts, Instituto Nacional de Salud Publica, Mexico, Universidad Eduardo Mondlane, Mozambique**

Catherine Michaud, Harvard We face wide diversity among the three countries Mozambique is the poorest country in the world, with serious literacy, health (70 infant deaths per 1000 births) and other problems Mexico has the largest city in the world and a rate of 40 deaths/1000 births The US is experiencing an explosion of cost in health care, with HIV, TB and other infections increasing We have unsolved health problems in common which institutions of higher education can address

The primary objective is to strengthen the research capacity to address national health problems, to have research relevant and useful, to develop essential national health research (ENHR), promote national health research systems, focus on equity This project is a real common branchchild, developed jointly by all three institutions through common brainstorming A concern held deeply by all institutions is to see how much we can learn from each other

Activities to operationalize conceptual framework

- 1 Continue the interactive process with the research, including a 2 week workshop on how to unify priorities for research related to national priorities
- 2 Transmit the knowledge to others through new education programs, student exchanges, etc then writing up results
- 3 Address national health problems directly through research
- 4 Link results with policy makers

Susan Vendale I have been living in Mexico for 17 years I am working at Instituto Nacional de Salud Publica (National Public Health Institute), which was formed in 1987 to do research It combined the Center for Study of Infectious Diseases, Public Research Institute, and School of Public Health

We knew going into the linkage that we have extreme differences in public health problems, but we have very well educated people in all three institutions Mexico has aspects of health problems from both over-development and extreme poverty There are cultural similarities, we do not experience cultural barriers between Mexico and Mozambique, both are former colonies The policy workshops on ENHR process priorities have been helpful

Factors for sustainability include institutional commitment at the highest level We have at least a dozen committed people in the group, some will be studying at Harvard for 6 months We have a plan for doing collaborative health research We are looking for national financing and other funds to continue this linkage

**University of Massachusetts and Tribhuvan University Research Center for Educational Innovation and Development (CERID) in Nepal (represented by Ratna Man Pradhan)**

David Kinsey, University of Massachusetts Metaphors are very important in looking at sustainability, good to use relational, organic metaphors to put things together, such as "roots"

Literacy Linkage Project (LLP) Goals

- 1 Respond to needs of grassroots practitioners in Nepal
- 2 Increase involvement of University of Massachusetts in international development and literacy through joint projects
- 3 Build CERID's capacity for literacy training in Nepal

US partners include the University of Massachusetts School of Education CIE and LSI In Nepal, CERID, an institution for educational innovation and development, is attached to the chancellor of the University World Education, a non-governmental organization, has helped to facilitate the linkage It has long experience with literacy programs in Nepal There are 6 researchers on both sides directly involved, meetings involve 25 University of Massachusetts faculty members CERID has involved 50 organizations in Nepal Literacy is a good seedbed for linking to health, education, development, self-esteem, self-empowerment Like the linkage itself, sustainability is a means, not an end, it implies a desired "cause" To be sustainable requires shared ownership, it implies openness to change LLP sees sustainability in terms of "an institutional relationship around planned and emerging efforts in the name of a cause"

A challenge is the criteria for evaluation should not box in the creativity of a project How can we have mutual benefits for both institutions, and for the third parties, the grassroots people?

We have been asking which are the conditions that are sufficient and necessary vs those that are merely helpful We think increasing sustainability is

- Less via information/personnel exchanges per se and more via focus on shared projects for a "cause,"
- Less via only a one to one relationship between two parties and expectation of take-over by the university budget and more via establishing a broader base and network of participation and funding sources, and
- Less via effort to achieve pre-set goals though a genuine structure over time and more via flexibility and experiments to see what it takes in different combinations, in reference to the general "cause"

Strategies we have used include

- A **Research Marriage Broker** strategy for joint action research to bring together practitioners and academics for joint action research projects on literacy, help with design, writing grant proposals, implementation documentation and communication of results Sustainability taps new funding sources, engages broader range of personnel in new exciting combinations, produces skills, commitments and contacts useful for extension or branching

- B **Training Satellite** strategy for specialized training for practitioners to promote ancillary programs for institutes for training in literacy/informal education that can be self-sustaining Sustainability from self support via fees and/or sponsoring agencies, in response to expressed interest and motivation for up-grading that will probably continue
- C **Service Catalyst** strategy to develop collaboration and networking with literacy providers to facilitate exchange of information ideas and flow of resources from, among and to field programs to help the university be more responsive to field needs Conduit/catalyst idea for ongoing needs interest and resource assessment to reinforce utility and fund-worthiness of university-field linkages We see need for aid to have a scale and time appropriate to non-governmental organizations Could we be a conduit for large funding institutions such as World Bank to the smaller non-governmental organizations?

**Sinclair Community College, Ohio, Eastern Iowa Community College, Iowa, and the Center for Vocational Education (CVE) in Madras, India, (including the A M Jain College and Institute of Management, Loyola College, Stella Maris College, Madras Christian College)**

lean Cook, Sinclair Community College We are using the model, developed by the Society for Taking Active Responsibility For International Self-Help (STARFISH), which has raised over \$550,000 through corporate and private donations, recruited 42 volunteers, etc We are linking educational institutions, a non-profit agency, and a for-profit organization We have worked with a mining company in Sierra Leone that is making money We want to do the same in India

Our plan is to list resources in the area to be served

- For-profit organizations in the area,
- Social services provided to employees by these for-profit organizations, also do they give grants, etc, and
- Connections they have with other for-profit organizations and social agencies, e g , have they brought in consultants to help them with environmental issues, etc

Use the consumers of the for-profit organization's products as your volunteers Volunteers go for a short time (such as two weeks) with a long term goal Mature professionals who go for 2 weeks at a time are helpful because they have resources, connections, etc We use an algorithm proposal format including criteria such as acceptance, long term impact, etc Disadvantages of using volunteers include needing orientation, in-country facilitator, volunteer functions and experience inventory

We believe this could be done with companies all over the world Non-profit organizations can get equipment and supplies donated more easily than educational institutions, they pay no import duty in Sierra Leone Tell this system to President Clinton on how to get non-governmental support for foreign aid If this model can work in Sierra Leone, it can work anywhere

## **Washington State University (WSU), and University of Jordan**

Gordon Rodewald, WSU We are working on improving natural resource management in Jordan. WSU sponsored an international conference on internationalization. We are totally committed to internationalization. We have Asian, African, Eastern Europe, Middle East networks with faculty, alumni and private sector involved. WSU offers competitive mini-grants for faculty research abroad.

WSU always runs a proposed project past the entire faculty to get faculty buy-in. The faculty was very supportive of the Jordan project. We helped build the faculty of agriculture there in 1975. We received a 1988 MOU agreement to help build the library, have worked with engineering, etc.

Suliman Arabiate, VP of University of Jordan, and Deputy Minister of Agriculture  
Jordan has four universities with 40,000 students including undergraduate, masters and doctorate degrees. This project is the result of many years of collaboration with WSU.

Both countries are open societies. Both have increasing population, fragile eco-systems, shortage of water availability, pollution of air, soil and water, soil salinity, conflicts among interest groups, and a public demanding higher environmental protection but unwilling to pay for it. This linkage will strengthen the capacity of the Jordan Water and Environmental Research and Study Center to do research, training and social programs.

Strategies include

- 1 Joint Management Team,
- 2 Advisory Committee with representation of non-governmental organizations and others, and
- 3 Coordination Committee

## **University of Missouri and the University of the Western Cape, South Africa**

Owen van den Berg, Dean of Education, University of the Western Cape This linkage is funded by USIA, not AID. The politics of setting up the linkage starting in 1986 were very complicated. It started with the politics of divestment. The University of Missouri wanted to do something positive, establish a linkage with an historically black university.

The University of the Western Cape became a strong opponent of apartheid, supporting the boycott of South Africa. A problem is the American assumption that you have a lot to give, but all you really have to give is money. We needed to be clear any agreement is to benefit each institution as an institution.

Survival criteria for a linkage

- 1 It takes **time** to develop an understanding of different worlds, experiences, frameworks. University of Missouri got us through the USIA proposal, but waited for us to catch up, so we developed a reciprocal, not a colonial relationship.
- 2 **Reciprocity**, mutual respect, joint planning, due process agreed to on both sides, linked to personal respect for each other. Linked to institution building in each institution.

- 3 **Meaningful** program vs academic jet setting, both parties go in prepared to be changed, not handing our largess to another. We can be overwhelmed by more resources.
- 4 **Support** at the top with no suspicion at the bottom, and an infra structure to sustain and bring coherence. To institutionalize exchanges, use existing normal channels of financial support and procedures.

Some of my personal preoccupations

- 1 Beware of metaphor of consensus, if there is no conflict there must be a dominant-submissive relationship. Sustainability is the ability to irritate each other on an on-going basis.
- 2 Not everything needs to be sustainable, some projects should be short term and disappear. Some people are spending 45% of their time worrying about next year's money. Decide why a project needs to be sustained.
- 3 Innovation is key. We should write up our innovation experiences. Write an account of what and how innovation has been achieved. Report our mistakes.

John Heyl, University of Missouri (UM)

Relationships in Missouri

- 1 High-level initiative/commitment, consistency of leadership/coordination/funding
- 2 Time to build mutual confidence, permit relationships to evolve/grow/focus from 30+ topics and departments (from 150 exchanges) to six emphasis areas that are mutually desired to extend into the future.
- 3 Multi-campus collaboration, involving UM (four campuses) plus Lincoln University, with a UMSAEP committee that represents all five campuses. The public health example reflects mutual interest of five US campuses glad to be working together, a parallel coordination among our nursing, public health, etc people. The linkage has an impact on all of us at the UM.

### APPENDIX C-3 NOTES ON SUSTAINABILITY FROM THE NATIONAL RESEARCH COUNCIL REVIEW PANEL

**Fred Horne**, Oregon State University, chair of the National Research Council (NRC) review panel reported on the process of ranking applications. The 16-member review panel was selected on the basis of experience in the areas of the proposals and international experience. The panel had good diversity with respect to gender and color (seven women, two blacks, two Asians, one Hispanic), a diversity of disciplines, various types of institutions, etc. If there was any possibility of bias, that person left the room for discussion of that proposal.

The panel reviewed and ranked the proposals and wrote comments to be sent back to the applicants. They also made comments to AID on the review process itself. The panel weighted more heavily the benefit to the developing country people, rather than the institution of higher education.

Although the score sheet has a section on sustainability, the panel thought of sustainability in every section of the proposal. They looked for sustainable projects that will forever after benefit all parties. The panel wanted the people involved in both institutions to continue to contribute to the ideas in the proposal and project. They saw involvement of women as important to ensure the project will continue.

The panel considered the strength of the linkages, how much previous work had gone into establishing the ties, involvement/consultation with the host country institution, and viability of the local relationships in the US institution. They believed that if you had a lot of people involved, the more interest there would be in all the institutions involved (but the other people have to be supported by other funding sources). The panel looked for continuing interest to the US institution such as research benefits.

**John Heyl**, University of Missouri, reported the diversity among the 16 panelists was excellent. His role was as a generalist in international affairs, especially in the curricular aspect. The panel did a technical review, but did not have access to the budget.

Issues considered for sustainability included

- 1 Resources expected in five years? If the university declares we will pick up the costs in year six, that is convincing. How are you leveraging outside funding?
- 2 Private sector and government support in the region? You should indicate if you have been talking to political figures.
- 3 Involvement of stakeholders?
- 4 What entity is being created that will sustain this administratively? Are you going to start a center, build a building, hire a staff? Is the US university reorganizing its activities to support such a project? Is an editorial board being created to edit the proposed journal?

**Sonia Patton, University of Minnesota, was impressed that the entire panel worked as a committee of the whole to address every single proposal. Ranking, especially within groups, was very serious and agonizing.**

The panel looked for sustainability throughout the proposal, such as

- 1 Stated missions of the linked institutions, quoting the mission statements was helpful,
- 2 How the proposed linkage complemented existing activities,
- 3 How it could initiate other activities that could be fundable,
- 4 How you intend to look for and attract diverse sources of funding,
- 5 Viability of the links among US institutions,
- 6 Linkages up and down the institutional hierarchy,
- 7 How the management plan shows mechanisms for troubleshooting, timely and effective implementation, etc ,
- 8 That it is not dependent on just one or two people, with a relatively broad base of personnel represented at both institutions, and continually expanding,
- 9 Not describing the US institution as having all the know-how, clear indications that the benefits flow both ways,
- 10 Proposals building on old links are easier to show sustainability, for new links, that is more difficult, and
- 11 The issue of women in development pervaded the entire review. Show that women are included as personnel and that women are equally the recipients/beneficiaries

## APPENDIX D - 1 PROPOSED DEFINITIONS OF SUSTAINABILITY

(Definitions suggested by 16 groups of participants on Monday morning, 12/7/92)

- #1 Sources of sustainability are**
  - Long term evolving dynamic relationship
  - Two-way relationship
  - Value to all parties and mutuality
  - Not dependent on individuals who may leave
  - Rooted in a long term institutionalized program
  - Commitment of A I D to the program
  - Multiple sources of funding
  - Both developing world and U S institutions seeking support
  - Shared expertise
  - Clear cut and mutually accepted goals
  
- #2 Sustainability involves a process or method of continuous re-evaluation of objectives and new goals**
  - Process or method depends on
  - Sustained commitment by the institutions, with willingness to be flexible
  - Faculty-based to ensure continuity of program by exchanges, degree-granting process, resource development
  
- #3 Sustainability includes**
  - Institutional commitment and institutionalization (beyond individuals)
  - Mutual interest and benefit
  - Potential for expansion with progressively increasing developing country responsibility
  - Long term funding with potential for broader support base
  
- #4 Sustainability includes**
  - Sufficient funding for a length of time to nurture the relationship
  - Community support/ownership
  - Partnerships with public and private sectors
  - Mutually beneficial and meaningful
  - Integration of students in other institutions
  - Administrative institutional support
  - Add to ongoing national agenda
  - Financial assistance beyond A I D support
  - Continued faculty incentives and motivation
  - Mutual educational values
  - Compatibility with institutional mission and national goals
  - Consistency in leadership
  - Creating a broad base of interested personnel
  
- #5 Universities agree on mission statements to support objectives and results of programs to enhance both institutions, secure all the resources to continue the programs, develop university-wide support, including the mission statement.**

Programs must have positive impact on both the developing country and U S institutions

**#6 Sustainability is**

- 1 Mutually beneficial over the long run
- 2 Financially self-supporting in the long run
- 3 Process oriented
- 4 Leadership from each unit, advocates at each unit, critical mass
- 5 Financial support in short run
- 6 Private sector linkages involved — multi-dimensional
- 7 An emerging process over time
- 8 Continuity of efforts leading to fulfillment of common goals
- 9 Complementary goals, issues, missions

**#7 Sustainability requires important and meaningful linkages with true collaboration and mutual benefits**

Conditions for sustainability include  
resources

institutional commitment from all partners

stability of the partner institutions and host countries

mutuality of linkage goals

compatibility of linkage and partner institutions' development goals

**#8 Sustainability involves a long term relationship of equals to work in priority areas of mutual interests and benefits which are capable of surviving changes of funding, administrative and political variability**

Conditions

maintenance of relationships

work in areas of mutual interests

perceived benefits must be common

institution/individual commitments

developing countries priorities and US priorities must be taken into account

equal partnership

mutual trust

ability to survive change

**#9 Sustainable linkages are jointly planned and accepted activities and programs with shared responsibility for support and implementation which will result in symbiotic change with mutual benefit and long lasting relationships**

**#10 Sustainability includes**

Community buy-in, more than just the partner institution, resulting in shared financial commitment

Continuity in output

Evaluating original goals and changing as needed, determining what resources are needed to continue project as part of evaluation process

Mutual benefits to each partner

Institutional commitment measured in operation budget

**#11 Sustainability includes**

Continued A I D funding  
Resource development base  
Flexibility  
Long term relationship beyond project  
Growth potential beyond project  
Ongoing review (\*monitoring and evaluation) to restructure relationship  
Handling problems with changes in leadership and key personnel

**#14 Sustainability is achieving strong mutual benefits for partners that re-enforce the commitment of their members to define and continue to carry out new goals, with more people, relations, additional funds (from whatever sources) through revised processes and linkages**

**#15 Sustainability includes**

Concentration on academic exchanges of faculty and students, focusing on specific topics of mutual importance and benefit  
Get the whole university involved, but selection of participants is very important  
Institutional commitment at the highest levels, get administrators onto boards and international committees  
Government commitment from developing countries is critical  
Both institutions must make financial commitment and share expenses

**#16 Linkage agreements and projects will be more meaningful and productive if there is institutional commitment at the highest level, as well as support from the government in the countries abroad** Active participation of the faculty and students with a continuous monitoring of the terms of references of the linkage will ultimately dictate the sustainability of the linkage project One must concentrate at the university to university level and pick up the priorities of each partner  
There must also be adequate provision of funds and a careful selection process of exchange participants

## APPENDIX D - 2 SUGGESTED COMPONENTS AND APPROACHES TO SUSTAINABILITY

(Reports from 5 Participant Groups, Monday Afternoon, 12/7/92)

### Group A

#### 1 Government Involvement

Know the developing country government priorities and discuss from the beginning how the linkage project fits in with those priorities  
Look for opportunities for the dialogue with the developing country government before, during and following the project  
Use a workshop to bring together policy makers with researchers to discuss findings

#### 2 Communications Bridges

Technology of communication is rapidly advancing Plan to incorporate new methods  
Learn to communicate across cultural obstacles, speak the others' language, learn body language, customs, common courtesies, etc Know why most Americans are considered boorish

#### 3 Sustainability of Funding

Utilize other American Federal agencies, State Agencies (look for special state funding for international development programs), developing country agencies  
Show private sector advantage of good corporate citizenship in their own communities convince them to see advantage of funding in other countries Involve American company subsidiaries in the host country, local American companies that may benefit from our international programs  
Build bridges with own local communities  
Find non-governmental organizations and private donors in D C s  
Ask private foundations

#### Additional notes

Use strategic planning, including flexibility, long range planning [One group found a fit with government priorities, generated "useful" data, received supportive sanctions which lent credibility, removed barriers ]  
Have a community advisory council in all participating countries  
Have program help foreign nationals run local organizations  
Have everyone meet as a group several times per year  
Sponsor conferences and activities to which others are invited

Note A plea to USAID to make the criteria for sustainability explicit in the RFA

Discussion Add university funding sources  
Identify the criteria that makes programs successful

## **Group B**

### **1 Financial Resources**

- Use existing institution budgets
- Have private sector involvement, direct (funds) or indirect (human resources)
- Piggyback on existing projects
- Follow up on spin-off projects that could be separately fundable
- Use existing data bases for fast start to initiate new projects
- Encourage linkage partners to seek out in-country funding sources
- Do public relations
- Make the case that learnings from developing countries can be transferred for use in disadvantaged areas of US
- Educate parents on the benefits of international education for their children

### **2 Communications**

- Have free flow of information between US and developing countries
- Identify existing channels (need a survey of methods)
- Use multiple channels for communication
- Develop new channels such as E-mail
- Foster openness
- Engender "togetherness," friendships, focused on what the linkage needs are
- Use team building among all participating members
- Bridge culture and language barriers
- Learn sensitivity to other cultures
- Language classes
- Develop survival skills to operate in each other's institutions and avoid gaffs at the beginning of the relationship
- Careful selection of personnel, good collaborators
- Have people who know the developing country systems working on the US team
- Be open to cultural exchange, for example including traditional medicine
- Do outreach
- Have identifiable outputs and use PR to communicate to local clientele, communities
- Spread information within institutions

### **3 Adaptability**

- Use mechanisms for conflict resolution, such as advisory boards in all participating institutions
- Develop well defined objectives, keep priority focus on target group
- Use feedback mechanisms and flexibility to modify objectives as needed
- Have mechanisms to deal with personnel changes in institutions
- Identify diverse resources to deepen the linkage
- Broaden base to include more people and departments
- Include key political decision-makers who can leverage resources

#### 4 Institutionalization

- Have course syllabi incorporate aspects of the linkage
- Have mission statements revised to include the linkage program
- Create new entities within the institutions
- Link to existing programs
- Implement professional reward structure for faculty credit toward promotion and tenure
- Bring learnings back to the US for professors and students to use
- Publish and disseminate results outside the institutions to the communities

#### 5 Ownership

- Have balanced shared ownership between both institutions
- Develop a sense of responsibility and autonomy in developing country participants
- Involve developing country partners from the beginning of the planning stage
- Broaden base of linkage beneficiaries to include other departments and broaden the sense of ownership (The fewer people involved, the more proprietary interest those few have)

#### Additional notes

- Encourage autonomy among individual components of the linkage, let each deal with grassroots organizations in their area
- Bring everyone together through workshops
- Do training that brings in lots of other people
- Network with other institutions in each country
- Get involvement from government and community volunteer

#### Group C

- 1 Advisory committees, including key people in US and developing country plus people with relevant expertise will strengthen shared ownership
- 2 Outcome enunciation, including involving faculty from both countries, supporting students through internships, scholarships, study abroad
- 3 Involve new constituencies, including community, faculty, students, community education and public relations, institutional communication
- 4 Seek "private" sector involvement, including local government agencies, business community, social service agencies, churches, etc
- 5 Do orientation, including team building, cultural awareness, clarity on cultural differences, travel support, briefings, in-country support systems, de-briefing when return to help improve the program
- 6 Develop mission/focus, including entrepreneurial spirit Assess and build on existing strengths Seek continued support and commitment
- 7 Train 'in-country" personnel for "ownership," use "self-help" process, continued interaction where appropriate with US link but to not build in dependency, train local people to provide technical and logistical support
- 8 Develop "national networking" skills to learn how to do projects by contacting government agencies, use protocol to measure outcomes against the stated goals, get feedback from agencies, contact other colleges and universities with linkage projects, attend information sharing conferences, read proposals, etc
- 9 Use evaluation processes, including feedback loops, modification procedures, debriefings, outcomes assessment, measuring successes

### Additional highlights from discussion in group room

- Contact businesses and other organizations that are working in the host country for possible in-kind and financial assistance, for example, free shipping, communication, transportation, volunteers, resource donations. Involve industrial leaders, etc. in the local community to develop infrastructure, show benefits to their business. Identify businesses in the host country through the U.S. Embassy, Department of Commerce or local directories.
- Gain organizational commitment, e.g. release faculty time, provide match by indirect costs.
- Gain presidential and administrative interest in encouraging faculty to have experience in lower income countries.
- Do marketing on campus, using all existing university sources of publication and outreach.
- Identify clear and useful outcomes of interest to both sides: faculty research and teaching opportunities, administrators exchange, students benefits.
- Show student benefits: study abroad, scholarships, internships and other experiences in host country. Impact on curriculum development.
- Bring in new constituencies, through community education and PR, intra-institutional communication of the benefits.
- Do something that draws from institution's existing strengths.
- Support institutional introspection, commitment beyond initial "turndown" of proposal.
- Need core of committed people with zealotry, entrepreneurial drive/spirit.
- Institutionalize a global perspective to support individual projects.
- Identify sources of support for logistics and supplies outside of AID funding source.
- Have an in-country support system for the U.S. faculty when over there. Use Fulbright guide to the country.
- Encourage political involvement from host country.

## Group D

- 1 Mutual benefit is the main factor for sustainability
  - Select a prominent institution that does consulting with government, non-governmental organizations, has a regional role with the area
  - Focus on sustainable development so the linkage in is line with national government goals
  - Do technology transfers in both directions
  - Carry out joint activities, including research, degrees, exchanges, workshops
- 2 Private sector involvement, including a private sector member on advisory board, providing consultants to private sector, involving school of business, doing cultural language training, telecommunications
- 3 Non-governmental organizations and private donors including representatives on advisory committee, providing consultants to non-governmental organizations, joint activities with non-governmental organizations, seeking support from foundations
- 4 Public sector involvement, including project support and grant allocations

Note The key is a diversity of funding sources, activities, and institutions

Monitoring and evaluation (accountability) should be built in at the beginning of the linkage rather than added at the end

## Group E

### Highlights of group discussion

- 1 Indigenize funding within the participating institutions where possible
- 2 Develop multi-campus involvement including all levels, high to low, supporting the international program
- 3 Identify mutually important goals
- 4 Have patience and perseverance through the time needed
- 5 Recognize the need for flexibility
- 6 Commit to the country and institution above funding sources
- 7 Identify political sensitivities

### Components of sustainability

- 1 Finances
  - Indigenize funding within the universities, where possible
  - Seek aid from A I D to the disadvantaged institutions
  - Leverage from private sector and other non-A I D sources
  - Pump priming money
- 2 Ownership
  - Open communications
  - Mutually respectful negotiations
  - Foster sense of ownership
  - Commitment at all levels

- 3 **Constituency Support**
  - From high level in university structure
  - Involve senior decision-makers from government, university, and departments
  - Critical mass of people across the institution
  
- 4 **Flexibility to respond to emerging needs (from both university and government)**
  - Develop a multi-year strategic rolling plan with linkages including diversity of participant and private sector inputs
  - Respond to vision of both university and government
  - Use managerial flexibility
  
- 5 **Mutually Beneficial**
  - Build on institutional history
  - Target areas of jointly perceived importance
  - Show what's in it for us
  - Develop linkages with private sector in local and target communities
  
- 6 **Institutional development**
  - Participating organizations should see that they are strengthened

## **APPENDIX D - 3 OPERATIONAL DEFINITIONS OF 14 SUGGESTED COMPONENTS OF SUSTAINABILITY**

(The 14 boldfaced components were created by the Workshop Reporter based on the participants' 16 definitions Monday morning and the afternoon discussion groups. Then the participants on Tuesday morning added the following operational definitions.)

- 1 Enhancing mutual benefits to both institutions and to both countries (relating to identified priorities, solving perceived problems, involving key decision-makers)**
  - Establishes, strengthens and/or diversifies curriculum and academic degree programs
  - Contributes to solution of global, national and community problems
  - Enhances research activities
  - Enhances self reliance
  - Improves international relations through better understanding by internationalizing administrators, faculty and students at both institutions
  - Heightens international awareness within both institutions
  - Involves directly key administrators and respected faculty
  
- 2 Using flexible, responsive long term planning processes, including defining complementary and mutually accepted goals, applying a process of continuous evaluation and revision of goals, objectives and strategies, making clear agreements, building shared ownership, involving advisory committees**
  - Stating the development objectives
  - Stating the benefits to each institution
  - Stating the criteria for these objectives and benefits
  - Stating how these will be measured (quantitative and qualitative)
  - State at the beginning that monitoring and evaluation will be a continuing process
  - Provide feedback loop to ensure that monitoring and evaluation results are incorporated in the project
  - Significant planning joint effort is necessary for success (pre-proposal visits)
  - Set milestones, define timelines and deadlines
  - Decide early on the evaluation process: who will do it (internal and external), timing, who is the audience (receivers of the evaluation)
  - Share information and experience at midcourse so change can happen
  - Build flexibility into the granting agency's guidelines to allow changes that improve project design
  
- 3 Seeking multiple sources of funding from local, state and national governments, institutions' own budgets, non-governmental organizations, businesses, foundations, private donors, etc**
  - Funding from multiple sources who have gained or have goodwill toward the activity
  - Go through Chamber of Commerce to businesses involved in trade, (GMSS) to generate goodwill and get funding

- 4 **Obtaining faculty support and involvement, building faculty incentives and benefits**
  - Credit for tenure and promotion from international activities
  - Information to faculty through networks (E-mail, internal bulletin board, etc ) and interest groups
  - Funding faculty international activities and involvement
  
- 5 **Gaining broad institutional commitment of both institutions, including administrative support beyond individuals, mission statements, institutionalization, multi-departmental involvement, etc**
  - Review initial mission statement and make changes, if necessary
  - Make it visible by international project festival, seminars, pamphlets/brochures, internal publication media, definite PR responsibility in a person
  - High level official visit the other institution
  - Form a standing advisory committee which represents different division and departments
  - Explore the possibility of in-country partner organization
  
- 6 **Involving, supporting and integrating students in both institutions, applying to curriculum development**
  - Alumni association participation in projects
  - Doctoral students exchange
  - Thesis sharing and "do it in your country" programs
  - International students to evaluate curriculum or courses for new inputs relevant to their countries/cultures
  
- 7 **Seeking a broad community "buy-in," at institution, local, regional and national levels, through public relations, information, seminars, outreach, etc**
  - Establishment of advisory committees representing interest groups in both US and developing country
  - Information seminars for target groups and potential target groups
  - Prepare information packets for policy makers
  
- 8 **Enhancing open communications and free 2-way flow of information**
  - Need existing communication system to work well including telephones, mail, satellite communications
  - Enhance communication network (computer-based E-mail, fax, courier services)
  - Mail via USAID mission diplomatic channels? Not allowed under this project?
  - Communication at all ranks (especially higher levels) between institutions and professionals and across and within countries at regular intervals

- 9 Building cultural bridges, increasing sensitivity, maintaining openness and patience through orientations, team building exercises, language and cultural training, conflict resolution, etc**
- Cross-cultural training visits for all participants
  - Explicit component on conflict resolution with responsibility assigned to specific individuals
  - Language training for all participants as needed
  - Component for women in development, recognizing cultural differences and realities
  - Continuing program for sensitivity training throughout linkage program
  - Create a mechanism to ensure all participants have a shared vision of the project at all stages
  - Specific program to “mainstream” participants who join the project after linkage commences
  - Provide opportunities for all active participants to visit every country involved
  - Facilitation of developing country partner participation in professional society conferences
- 10 Creating shared ownership through jointly sponsored activities (research, seminars, degrees, exchanges, etc ) This can be done through**
- Creating a joint advisory committee
  - Clearly defined shared goals, with balanced responsibilities and expectations
  - Creating a process so all have a “voice” as project evolves
  - Cooperative degrees
  - Jointly sponsored internship requirements
  - Joint publications and scholarship
  - Joint creation and maintenance of computer-based learning technology
  - Joint distance learning techniques
- 11 Building in-country support systems for faculty and students on exchange visits**
- Participation of alumni associations
  - Fulbright commissions
  - Community-based service clubs (Lions, Rotary, etc )
  - Higher education units
  - Local cultural organizations
  - Labor unions
  - Ministry for cultural affairs
  - USIA libraries/BNC
  - USAID missions
  - Foundations
  - Involve university international student associations
- 12 Involving respected academic leaders within the colleges or institutions**
- Have respected academic leaders be “key personnel” in the project (e.g list resumes in the UDLP, participate in the planning process prior to submitting the UDLP)
  - Obtain letters of support

**13 Building on institutional strengths, experience, projects and ongoing relationships**

This includes

- Identifying strengths of partners, including curriculum, research and outreach
- Selecting strengths of one that balances with the needs and interests of the other
- Drawing from past experience as well as knowledge generated from project to facilitate furtherance of mutual goals and new projects, including both experience with each other and experience separately
- Sharing resources, including access to networks, equipment laboratories, faculty and students, programs

**14 Creating and sustaining a committed core of individuals in both institutions, with the support structure to ensure continuity in the event of personnel changes** This includes

- People number involved
- Commitment % of time involved
- Finances % full time equivalent covered
- Materials and Equipment % provided
- Integration with institutions

**Tasks**

- Definition of vision mission statements
- Periodic assessment of progress monitoring and evaluation
- Consensus regarding participants and roles joint planning
- Active pursuit of diversity in participants
- Provide benefits for individuals, such as training link with activities in place in host and US universities
- Equity in allocation of finances and equipment collaborative budgeting process
- Incorporate project mission into college/university mission evidence of revision/rewording of mission statements

**Additional factors for sustainability**

- Productivity as measured by joint scientific publications in peer-reviewed journals
- Productivity as measured by impact on community of the program of linkage
- New programs and curricula
- Women's centers
- Continuation with quality
- Trust
- Permanently change organizational scope and mission
- People involved in the linkage, working together
- Funds still coming in
- Achievements reinforcing benefits
- Process over time (3 - 5 years)
- Sustainability is achieving strong mutual benefits for partners that reinforce the commitment of their members to define and continue carrying out new goals with more people, additional funds (from other sources) and a revised process

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