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INTERIM EVALUATION OF USAID'S

UNIVERSITY DEVELOPMENT LINKAGES PROJECT
(PROJECT # 936-5063)

FINAL REPORT

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Ruth Frischer, Ph D
Director, University Development
Linkages Project
Global Bureau
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MSI
MANAGEMENT
SYSTEMS
INTERNATIONAL

600 Water Street S W
Washington D C 20024
USA

202/484-7170
Fax 202/488-0754

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TABLE OF CONTENTS

PREFACE i

EXECUTIVE SUMMARY ii

PROJECT IDENTIFICATION SHEET v

SECTION ONE
OBJECTIVES AND METHODS 1
A Overview of the University Development Linkages Project 1
B Evaluation Objectives and Scope 4
C Evaluation Methods 4
1 Objectives of the Project 6
2 Development of Indicators for the UDLP 6
3 Procedures for Data Collection and Analysis 8

SECTION TWO
EVALUATION FINDINGS 10
Part One Performance in Relation to Objectives 10
A Substantive Contributions that Support the Achievement of UDLP Objectives 11
1 Management Support for Linkages 11
a Objective Setting 11
b Planning and Implementation 14
c Financial Management and Accountability 18
d Performance Reporting 19
2 Operating Systems and Communications Improvements 23
a Operating System Improvements in Developing Country Institutions of Higher Education 23
b Technology and the Communications between Linkage Partners 26
B The Immediate Results, or Outputs, Produced through Existing University Linkages 27
1 The Development and Expansion of Academic Programs 27
a New Academic Programs In Developing Country Institutions 28
b The Expansion of Existing Academic Programs in Developing Country Institutions 29
c New and Expanded Academic Programs in U S Institutions 30
2 Faculty and Student Development 33
a Participant Training 34
3 New and Expanded Research Programs Underway 37
4 New/Expanded Outreach Programs Implemented 42

C Achievement of the Program's Primary Objectives 44
1 Progress in Strengthening Participating Institutions 45
a Changes in the Reputation of Participating Institutions and Programs 45
b Changes in the Ability of Participating Institutions to Compete for Funds 46
2 Progress with Respect to the Internationalization of Participating U S Institutions 49
a Expanded Faculty Involvement in Overseas Development 50
b Increased Institutional Support for Internationalization 51
D The Steps Partners are Taking to Make their Linkages Sustainable 52
E Progress in Achieving the Program's Overall Objective 58

Part Two Supplementary Evaluation Findings 63
A The Validity of Program Hypotheses 63
B Adequacy of the Information Received by USAID Project Managers 68
C The Appropriateness of the UDLP Project Design 69

SECTION THREE
CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNED 71
A Nature and Character of UDLP Linkage Partnerships 71
B Project and Individual Linkage Objectives 72
1 The Appropriateness of UDLP Objectives in USAID's Evolving Context 72
2 Objectives at the Level of an Individual Linkage 73
C Communications and Other Aspects of Linkage Management and Reporting 75
D Lessons Learned 77

ANNEXES
Volume One
Annex A Evaluation Scope of Work
Annex B Desk/Self-Study Instrument
Annex C UDLP Linkage Reports on File
Annex D USAID and Non-Governmental Funding for the UDLP Project
Annex E Institutional Linkage Partners for the Linkages Examined in the Evaluation
Annex F Linkage Profiles
Annex G Templates and Guidelines for Workplanning, Implementation and Reporting
Volume Two
Annex H Site Visit Reports
Annex I Sample Request for Application
Annex J UDLP Project Paper

PREFACE

The contributions of many people made this evaluation of the University Development Linkages Project possible Management Systems International (MSI) would like to acknowledge the efforts of Ruth Frischer, UDLP Program Manager, and William Teska, AAAS Diplomacy Fellow and UDLP Project Coordinator and, at the CENTECH Group, Byron Bahl, Deputy Director of the Technical Support Project and Julia Jackson, Program Assistant to UDLP, as well as the faculty of all the institutions of higher education visited by the evaluation team Our thanks also go to the faculty of other participating universities and colleges who took the time to complete the evaluation's self-study instrument

The MSI field team for this study was led by Molly Hageboeck, who served as the study's Technical Director Team members included Eloise Carter, Doug Daniell, Allison Herrick, Bill Teska, Hariadene Johnson and David Leuthold who served on field teams and, Michael Eddy, Bill Guyton, Laura Kent, Jo Kirk, Karen Lippold and T R Ramanathan who served as coders Janet Tuthill provided corporate oversight for this evaluation and assisted with the team planning meeting

EXECUTIVE SUMMARY

Background

Since its inception in 1991, the University Development Linkages Project (UDLP) has helped to support 40 linkages between a total of 48 institutions of higher education in 28 countries in the developing world and 48 institutions of higher education in the United States The UDLP's task is to facilitate the development of permanent, sustainable, collaborative partnerships which provide lasting benefits to U S and developing world institutional partners and the societies of which they are part Linkages focus on areas which are of mutual interest and benefit to linkage partners and are consistent with USAID's development priorities The process is one where linkage partners jointly design and implement projects in the areas of environment, democracy, economic growth, nutrition, health and population Individual Cooperative Agreements are executed for each linkage with USAID providing up to five years of "seed" money in the form of partial funding for linkage activities which is matched by linkage partners

Methodology

USAID contracted with Management Systems International (MSI) to perform an interim evaluation of the UDLP This evaluation provided an assessment of the project's progress to date and suggestions on how the UDLP could become more efficient and effective during its remaining years The evaluation involved a detailed analysis of the 28 linkages, begun in 1991 and 1992, which had been in operation long enough to justify analysis in terms of results

There were four facets to the evaluation's methodology First, information on 28 linkages was collected from existing documentation, primarily quarterly and annual progress reports, trip reports and cooperative agreements Second, linkage partners commented on and added supplementary information to this summary of linkage experience, using a self-study instrument developed by CENTECH from suggestions made by UDLP personnel and participating universities Third, eight of the 28 linkages were selected for more in-depth analysis Members of the MSI evaluation team visited the partner institutions of these linkages, in both developing countries and in the United States Fourth, interviews were conducted with UDLP staff in the United States and a supplementary analysis of UDLP documentation was performed Each of these facets of the evaluation's methodology was, to the extent practical, standardized to allow for cross-cutting comparisons

Linkages' starting dates were the criteria used to select the broader sample of 28 linkages Because it was felt that linkages which started after 1992 had not been in operation long enough to be evaluated in terms of results, the sample chosen consisted of all linkages begun in 1991 and 1992 Financial constraints limited the number of linkages which could be chosen for in-depth analysis Eight linkages were selected on a non-random, representative basis The criteria for representative selection included geography and types of linkage partners The sample therefore included linkages operating in the three geographic regions where the UDLP is active and a diverse set of linkage partner institutions including, on the U S side, community colleges, historically black colleges and universities, private institutions and state universities The range of partners on the developing country side was equally broad and representative

Criteria

The criteria upon which these linkages were analyzed were based upon the evaluation Scope of Work and included

- Progress towards linkage's objectives,
- Institutional strengthening in partner institutions,
- Development impact of linkage activities,
- Linkage institutions' ability to address development needs,
- Internationalization of U S institutions,
- Sustainability of linkage activities, and
- Management and funding of linkages

In addition, a set of hypotheses, also listed in the Scope of Work, were tested These hypotheses dealt with the nature of linkage partnerships and the changing international development roles of U S and developing country institutions of higher education

Findings

At the time the evaluation took place, the UDLP was entering the fifth year of a ten year project period This evaluation shows that the project is operating effectively and meeting its objectives The linkages examined have made significant progress in the following areas

- Development and expansion of academic programs,
- Faculty and student development,
- Creation and/or strengthening of research programs,
- Development and implementation of community outreach programs,
- Strengthening and internationalization of partner institutions, and,
- Institutionalization of linkage activities

Though linkage partnerships are progressing at different rates, the majority of partnerships are making significant progress towards achievements in the areas of development and expansion of academic programs, faculty and student development, research and community outreach In terms of achievement of overall objectives which include institutional strengthening, internationalization and long-term sustainability, there is considerable evidence that linkages are making progress There

is also anecdotal evidence that linkages are assisting institutions of higher education to better meet the developmental needs of their societies

Recommendations

This evaluation's recommendations focus on determination of objectives, reporting and related management issues They include

- Establishment of true linkage partnerships where important decisions about objectives, programming and funding are made jointly,

- Engaging in an interactive decision making process, involving linkage partners and linkage management, to (1) decide at what level(s) it is most appropriate for linkages to set and report on their objectives and (2) determine whether objectives such as program sustainability should be required for all linkages, and

- Increased emphasis, by linkage partners and UDLP management, on the timely production of linkage reports which systematically document progress against objectives and program impact This would enhance the ability to assess the effectiveness and development impact of linkage activities

Increasing the clarity and precision of objective setting, management and reporting processes can make the UDLP, a project which has demonstrated its value to participating institutions, even more effective

PROJECT IDENTIFICATION SHEET

1	Country	Worldwide
2	Project Title	University Development Linkages
3	Project Number	936-5063
4	Project Dates	January 1991 to September 2000
5	Project Funding	Every dollar USAID spends on this project is matched by a dollar or more of non-governmental funds The ceiling for USAID's contribution was established at $40,840,000 in the Project Paper (PP) it approved As of the end of FY 1994, $13,779,582 of these funds had been obligated
6	Mode of Implementation	Cooperative Agreements with Individual Linkages Analytic and administrative support for the UDLP is provided through a contract between USAID and the CENTECH Group, Inc
7	Project Designers	Jointly designed by USAID and representatives from the higher education community Potential linkage partners compete for funds through proposals in which they identify the objectives and activities of the linkage they propose, within USAID priority areas
8	Responsible Officials	Ruth Frischer, Ph D Project Manager, University Development Linkages Project Global Bureau Human Capacity Development Center USAID
9	Previous Evaluations	None

SECTION ONE

OBJECTIVES AND METHODS

This section describes the context in which this evaluation of USAID's University Development Linkages Project (UDLP) was undertaken and the methods used to carry it out

A Overview of the University Development Linkages Project

The UDLP is a collaborative effort that involves USAID, the college and university community in the United States, and institutions of higher education in the developing countries The project represents an evolution in USAID's approach to assisting developing countries by strengthening the capacity of their institutions and enabling them to better address their country's development needs through mutually beneficial partnerships

USAID has a history of higher education capacity building projects in developing countries, including the articulation of project objectives and the selection of implementing agents for such projects The UDLP is a departure from these traditional projects because

- U S and developing country institutions of higher education identify and select their own partners with whom they establish mutually beneficial partnerships,
- Linkage partners identify objectives for their joint efforts in one or more USAID priority areas in which they have mutual interests and expertise,
- Linkage partners design and implement specific activities which will lead to the achievement of these objectives, and
- Priority being given to (1) strengthening developing country institutions of higher education in order to better meet their country's development needs and (2) further internationalization of U S colleges and universities in support of development objectives
- The sustainability of each linkage is dependent on the efforts of linkage partners

Since its inception, collaboration has been a dominant operative mode of the UDLP Collaborative efforts to develop the UDLP project began in the fall of 1990 with three regional forums that involved USAID and 164 U S colleges and universities From these forums emerged a definition of a UDLP linkage as a "*direct operational and collaborative tie between a U S degree-granting college or university and a developing country degree-granting institution*" The forums also established criteria for the selection of proposals, determination of linkage funding levels, the use of matching grants, and a competitive application process involving external peer reviews

Numerous ideas about how developing country institutions of higher education could enhance their ability to meet their country's development needs emerged in the course of these

sessions, as did approaches to fostering internationalization in U S institutions Suggestions made during these forums were used in developing the UDLP Project Paper (PP)

Principles laid out in the PP were followed as the project developed The overall objectives of the UDLP, including a list of illustrative results for individual linkage arrangements, are shown in Table 1-1 The project has a ten year life span, over which it expects to support 75 linkages, initiating approximately 15 linkages during each of the first five years of the program USAID is providing up to five years of "seed" money to each of the partnerships it supports, with matching funds provided by the linked institutions through, for example, overhead and salaries

Table 1-1 Objectives of the University Development Linkages Project

1	To assist public and private institutions of higher education in U S and developing countries to meet the education, research, and public service program needs of their societies
2	To encourage sustainable collaboration between and among U S colleges and universities and developing country colleges and universities to 1) strengthen the developing country institutions, and 2) further the internationalization objectives of U S universities
Examples of Results	• Solutions to specific research problems of interest to host and U S institutions found through collaborative work with a host country institution • Improvements in curricula, organizational structure, research and teaching methodologies, linkages to wider academic communities, and faculty revitalization • Collaborative development of training courses (with extension purposes), surveys, and pilot programs for education and information delivery • Increased interest and experience of U S university faculty in developing country development issues which relate to USAID's interests and to the development cooperation objectives of U S universities
Resource Requirements	• USAID and non-government funds are matched on at least a one-to-one basis • Linkage programs management by linkage partners • Activities and equipment that serve to improve libraries, other operating systems and communications between and within linkage partners

Over the first three annual cycles, between 1991 and 1993, USAID awarded 40 cooperative agreements whose funding was matched by the linkage partners, 13 in 1991, 15 in 1992 and 12 in 1993 Each of the linkages the project supports involves one or more U S institutions of higher education and one or more developing country institutions of higher education

Figure 1 1 shows that 38% of these 40 linkages involve higher education institutions in Latin America and the Caribbean, 35% involve African institutions, 22% involve colleges and universities in Asia, and 5% involve institutions in the Near East

Figure 1-1. Geographic Distribution of Linkages Overseas

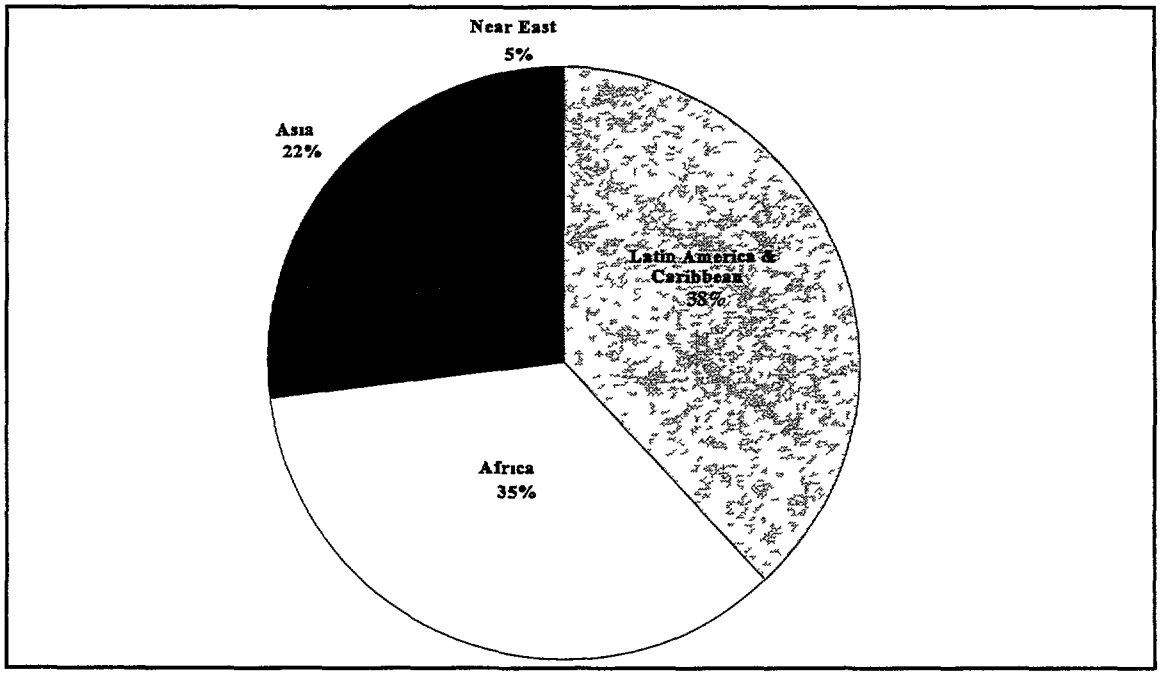
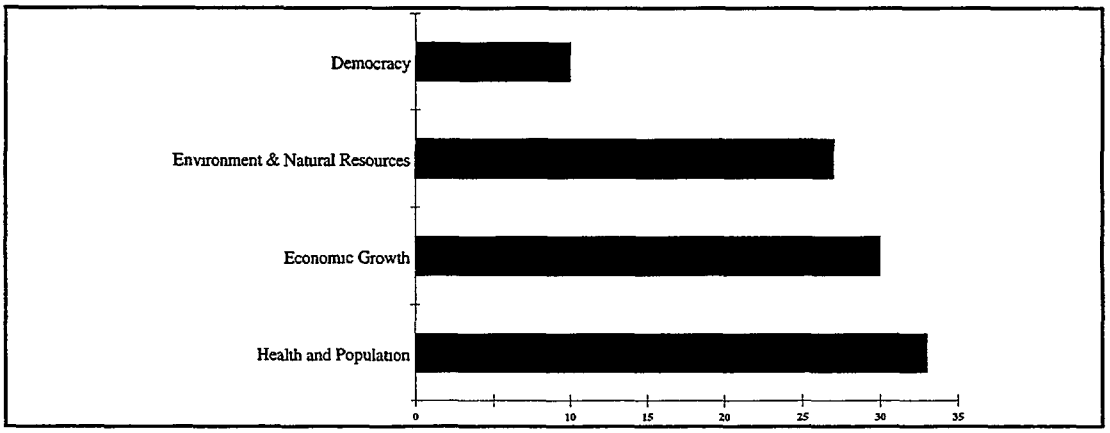


Figure 1-2 shows the distribution of the 40 awarded linkages by USAID's priority areas Of the 40 linkages awarded, 33% concentrate on health and population, 30% focus on topics that support economic growth, 27% concentrate on the environment and related topics, and 10% address topics that focus on democracy

Figure 1-2 Substantive Focus of UDLP Linkages



The collaborative and interactive process used to develop the UDLP project was also employed in its implementation At the end of each of the first three years of project implementation in 1991, 1992 and 1993, USAID held workshops to discuss the project's progress and to plan for its future These workshops produced specific suggestions for management of the UDLP ranging from improvements in the criteria for linkage proposals to approaches for achieving and measuring linkage sustainability

At the 1993 workshop, participants discussed issues that might be examined through an interim evaluation of the UDLP as well as the process that might be used to carry out such an evaluation Discussions at this session highlighted the potential benefits of incorporating performance indicators developed in the 1990 forums into the evaluation design They also encouraged the development, by participating institutions, of a "self-study" instrument which would be incorporated into the evaluation process Suggestions that emerged from this workshop were incorporated into the Scope of Work (SOW) and draft self-study instruments which were used for the evaluation

B Evaluation Objectives and Scope

This is an interim evaluation Its purpose is to provide USAID with information that can be used to help manage and guide the project through its remaining years Questions addressed by the evaluation are shown in Table 1-2 They are also included in the evaluation SOW, which is provided in Annex A to this report

C Evaluation Methods

The methodology used to carry out this evaluation built upon the collaborative process described above The evaluation SOW specified a number of questions and hypotheses to be explored They are outlined in Table 1-2 The SOW also encouraged the use of a self-study instrument that was developed by CENTECH and the linkage partners and encouraged the involvement of participating institutions in the evaluation process External assistance in carrying out this evaluation was sought through USAID's Indefinite Quantity Contract (IQC) for Evaluation and a team from Management Systems International (MSI) was selected

Table 1-2 Questions About the University Development Linkages Program Included in the Evaluation Scope of Work

1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

2 In doing so, are they strengthening the capacity of the participating developing country institutions of higher education (DCIHE's) to help meet the development needs of their societies?

3 Are the participating United States institutions of higher education (USIHE's) internationalizing in ways that use and expand their international development expertise?

4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

5 Are the six hypotheses described below proving to be valid?

6 Are the linkage activities being appropriately managed and funded?

7 Does project management receive the information it needs to ensure expenditures are for agreed upon objectives and activities and that linkage activities are being undertaken as described in the cooperative agreements?

8 Is the project design appropriate to its purpose? (By project design it is meant the formation of sustainable linkage partnerships, the one-to-one cost sharing, the design of the activity by the applicants, and the focus on sustainability as well as the awarding of the grants through the competitive peer review process)

Hypotheses

- Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training
- New information technologies, such as e-mail and Internet, are changing the basis of technical assistance
- It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work
- Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures
- It is now time to expand the participation of applied education institutions in international development work
- A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spin off" activities

1 Objectives of the Project

As suggested during a 1993 meeting between USAID and the university community,[1] the objectives developed for this project, which are shown in Table 1-1, represent the basis for evaluating the project along with the individual linkage agreements

Reports on additional workshops involving USAID and the university community contain supplementary ideas about performance measurement for this project, particularly in terms of three distinct aspects of the project's main objectives

- The long-term sustainability of the linkages funded by the program,
- Institutional strengthening in partner institutions, particularly with respect to the capacity of developing country partners to meet development needs, and
- Further internationalization of partner institutions, i e , broader involvement in international programs, particularly in U S partner universities

Some of the ideas about indicators to measure achievement which were offered in USAID's annual meetings with the university community are also reflected in the SOW for this evaluation

The evaluation team's review of performance indicators identified through USAID's discussions with the university community suggests that while many of the indicators that were identified were relevant to the project, they were not always appropriate to measure the objectives selected in the most direct way possible

2 Development of Indicators for the UDLP

For the most part, the indicators developed during the series of six UDLP workshops held between 1990 and 1993, many of which were incorporated into the SOW for this evaluation, are adequate and appropriate measures of the achievement and impact of specific activities However, most of these indicators do not measure overall or aggregate performance against the two overarching UDLP objectives cited above

For example, at a workshop attended by USAID and the university community held in 1992, a number of what the participants view as components of, and approaches to, creating sustainable linkages were discussed Participants also suggested several measures that might serve as indicators of sustainability These included (1) progress in achieving linkage objectives, (2) any expansion of the linkage, such as additional programs, people involved, and funding sources, and (3) the effectiveness of linkage processes, all three of which are discussed in the SOW for this evaluation [2]

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[1] USAID workshop report "Sharing Innovative Approaches to Sustainable Development, ' 1994, p 32

[2] USAID workshop report "Sustainability of International Higher Education Linkages," 1992, p 21-22

However, achievement of a linkage's objectives as well as effective linkage processes are not necessarily sufficient sustainability indicators, since it is possible to view them as being preconditions for sustainability rather than being measures of it Of the three leading indicators suggested above, the second, and most particularly its reference to an expansion of the funding sources for a linkage, meets criteria for good measurement It is therefore the most valuable of the three for use in an interim evaluation of the UDLP project Part I, D of Section Two of this evaluation includes an analysis of sustainability issues

Another example of performance indicators were also suggested during USAID's 1990 meetings with the university community, as measures of increased capacity and internationalization A number of these ideas are preconditions for, rather than measures of, project achievement For example

- Indicators suggested for an "increased capacity in developing country educational institutions to meet development needs" included the institution's educational, research and outreach activities as well as improvements in planning and in other administrative matters

- Indicators suggested for internationalization included an institution's administrative and resource commitment, its international expertise, an international focus in its academic programs, human resource development within the institution, community linkages, and the campus culture

As the comments above suggest, the evaluation team's review of performance indicators identified during USAID's workshops with the university community and in the SOW for this evaluation suggests that while many of the indicators that were identified were appropriate measures of the effectiveness of specific linkage activities, they were often not effective measures of the UDLP's overarching objectives

Indicators suggested during the UDLP workshops and in the SOW were operationalized through the collaborative finalization, by CENTECH and the evaluation team, of the Desk/Self Study Instrument used for initial data collection A complete copy of this instrument is found in Annex B Key indicators contained in the instrument are listed below

- Progress towards linkage objectives as stated in cooperative agreements,

- Development of new academic programs at the Developing Country Institution of Higher Education (DCIHE),

- Improvement or expansion of academic programs at the DCIHE,

- Development or improvement of research activities at the DCIHE,

- Use or improved use of information or communications technologies at the DCIHE,

- Development or expansion of libraries, administration, planning, monitoring or evaluation at the DCIHE,

- Development, strengthening or expansion of other programs or activities at the DCIHE,
- Development of new academic programs at the U S Institution of Higher Education (USIHE),
- Development or strengthening of Internationally Oriented Activities at the USIHE,
- Development or strengthening of outreach activities at the USIHE,
- Concrete steps taken by linkage partners to sustain linkages beyond the end of the UDLP, and
- Increased ability of linkage partners to compete for resources

3 Procedures for Data Collection and Analysis

The process of developing data collection instruments for this evaluation and defining how they would be used started before the MSI team was engaged Using input from the 1993 workshop as well as the indicators discussed above, USAID and the CENTECH Group, Inc , its support contractor for the UDLP project, developed a draft self-study instrument When the MSI team began work, it consulted with the CENTECH Group, Inc to refine this draft and to determine, on a preliminary basis, what kind of information could be obtained from project files Out of these discussions emerged a three part data collection plan that involved

- A structured data collection instrument for extracting pertinent information from existing UDLP project files,
- Distributing this data collection instrument, with information from the project files already filled in, to participating institutions and asking them, in a "self-study" mode, to review the information that had been found in the project files and to modify, update and add to it, and
- Having evaluation teams visit a small number of linkage partners to obtain a first hand view of the results these arrangements produced and to validate evaluative information that was being obtained by other means

A copy of the structured data collection instrument used to obtain information from project files and as a "self-study" instrument is provided in Annex B

In practice, data collection for this evaluation focused on the performance of the 28 linkages funded during the first two competitive cycles rather than all 40 of the linkages that had been funded at the time this evaluation was initiated Linkages that received funding during the third annual cycle had not yet had adequate time to produce the kinds of results on which the evaluation focused

In addition, U S and developing country partners involved in eight linkages each hosted evaluation-site visit teams for a period of several days The eight linkages selected for site visits were chosen through a process that sought to represent the range of linkages the UDLP supports

The group of linkages thus selected included a range of institutions in different regions and disciplines

1 Linkages that involved multiple U S partners,

2 Linkages that involved multiple developing country partners,

3 Linkages that represent the diversity of U S educational institutions involved in UDLP, such as community colleges, ivy league institutions, land grant universities, and historically black colleges and universities, and

4 In the developing countries, linkage partners that were both traditional colleges and universities and schools with more applied foci, such as vocational institutions

The list of linkages institutions that hosted site visits is provided in Annex E

Data collected by the evaluation team were analyzed in several ways Much information was available from the structured data collection instruments and linkage partners addition's thereto, for most of the 28 linkages examined This information was reviewed across all cases to determine what patterns existed, and to examine the frequency with which certain types of outcomes occurred Wherever appropriate, data collected during site visits were used to validate or expand upon findings concerning patterns across linkage programs In addition to this kind of cross-cutting pattern analysis, field data were used to develop a better understanding of the processes at work within individual linkage programs Summaries of information obtained for each of the 28 linkages examined by the evaluation are presented in a series of linkage profiles in Annex F In-depth discussion of the results of the data collection and analysis process is contained in Section Two of this report

Response Rates

Responses to the evaluation's self-study instrument were received from 89% (25 of 28) of the U S partners to the linkages the evaluation examined as well as from 61% (17 of 28) of the developing country partners These less than perfect response rates were primarily a function of the absence or unavailability of key linkage partner staff during the evaluation period and, in the case of some developing country partners, communications difficulties While not 100%, these response rates are nevertheless good by survey research standards Annex E identifies the institutions from which responses were received

SECTION TWO

EVALUATION FINDINGS

As indicated in Section One, this is an interim evaluation Findings concerning UDLP-funded linkages do not represent a final assessment of their effectiveness and impact They present, instead, a snapshot of progress and performance By the time the UDLP program ends in the year 2000, a good deal more will be known about the achievements, impact and sustainability of linkage relationships

UDLP project objectives shown in Table 1-1 serve as the organizing structure for the first part of this section The second part of this section addresses a number of other questions raised by the evaluation SOW, including questions about the validity of certain program hypotheses

Where appropriate, conclusions and recommendations related to the evaluations findings are included following the findings to which they are most directly linked These conclusions and recommendations are also found in Section Three, Conclusions, Recommendations and Lessons Learned Though involving some repetition, this structure allows the reader to clearly see linkages between findings, conclusions and recommendations as well as having access to a comprehensive discussion at the end of the report

Part One: Performance in Relation to Objectives

Throughout this subsection, reference is made to whether specific aspects of the overall UDLP objectives were incorporated into the lists of objectives contained in the Cooperative Agreements that serve as the basis for action in individual linkage arrangements Every Cooperative Agreement, the evaluation team found, was unique when it came to stating objectives Some linkage partnerships include in their list of objectives statements that are similar to those in the overall project objectives, but most do not

Differences in the types of objectives included in various Cooperative Agreements are important for two reasons First, because they serve to define a linkage's focus Second, because USAID guidance calls upon linkage partners to report on their achievements in terms of the objectives listed in their Cooperative Agreements As a result, understandably only a handful of linkages are reporting on objectives that parallel overall UDLP project objectives

In terms of performance, most of the 28 linkages examined during the evaluation were moving steadily toward the achievement of the objectives listed in their Cooperative Agreements Eighteen (64%) of these linkages were found to be proceeding as planned Of the ten that were experiencing some difficulty, four were delayed by political circumstances in the developing countries in which partner institutions are located and one was delayed by an internal reorganization in a developing country university The remaining five linkages that were experiencing difficulties or delays cited problems that stemmed from their own planning and management of the linkage process It is notable that linkages involving more than two institutions were disproportionately

represented among those linkages experiencing difficulties In fact, one out of every two of the multiple partner linkages examined during the course of this study had experienced some difficulty Detailed analyses of the kinds of objectives that are at risk because of such difficulties and delays are provided below In addition, Annex F summarizes these experiences on a linkage by linkage basis

A. Substantive Contributions that Support the Achievement of UDLP Objectives

Some of the activities undertaken as part of a UDLP linkage help to provide a foundation upon which that linkage can build These activities make a substantive contribution, but they are not ends in themselves The most common of these supportive contributions are efforts that produce

- Management structures and procedures that directly support UDLP linkage operations by the partner institutions and
- Improvements in basic operating and communication systems within the participating institutions

1 Management Support for Linkages

A systematic approach to the management of the linkages supported by the UDLP project is one of the underlying tasks that makes the success of these joint efforts possible Invariably, management is an essential element of all UDLP linkages In some linkages, the importance of management was highlighted by the inclusion of linkage management by the partner institutions, as an objective in the linkage's Cooperative Agreement Of the 28 linkages examined 12 (43%) accorded this status to the activities associated with the management of their linkage program

The twelve linkages that identified linkage management as an objective developed project "teams" to guide their effort in negotiating contracts and establishing procedures Of these, nine reported that progress in this area was consistent with written plans The other three reported that some, but not all, of what they set out to achieve was accomplished

Data from the self-study instruments completed by 89% of the linkage partnerships (25 of 28) indicated that similar, but not identical, processes were used in a variety of linkages to plan and manage their efforts, including the financial aspects of these arrangements Site visits to institutions involved in eight of these linkages provided additional insights concerning these management processes as described below Conclusions and recommendations are included in the discussions of management support sub-components produced in the following paragraphs

a Objective Setting

In principle, a collaborative approach is used by UDLP linkage partners to establish objectives In practice, this approach is applied in most, but not all, linkages Less than full collaboration together with communication difficulties have, in some instances, resulted in differences in perception concerning the intent of specific linkage objectives When linkages arrangements lack jointly developed, agreed-upon objectives, other problems can and do arise Such

problems include infrequent and ineffective communications among partners as well as disagreements over funding priorities and linkage activities

The evaluation did not make a detailed examination of the processes that linkage partners used to establish the objectives articulated in their Cooperative Agreements However, because it became clear that linkage objectives were a key issue, the evaluation team presented a set of conclusions and recommendations relating to the objective setting process at the end of this section

The evaluation examined the kinds of objectives that linkage partners selected and incorporated into their work plans and their Cooperative Agreements with USAID As previously noted, these objectives varied from linkage to linkage In classifying the objectives that were chosen by linkage partners, the evaluation team found that

- Six linkages had objectives in their Cooperative Agreements that dealt with the internationalization of partner institutions,
- Two had objectives that focused on the sustainability of their linkage and its programs,
- Two had objectives that focused on institutional capacity building,
- Sixteen had formal objectives that dealt with faculty and student development, including exchange programs,
- Twenty-five had formal objectives that focused on the improvement or expansion of research programs,
- Eighteen had objectives that dealt with the initiation or expansion of outreach programs,
- Twenty had objectives that focused on the development or expansion of academic programs, and
- None had objectives that focused explicitly on meeting development needs in developing countries

As supporting objectives, we found that

- Eleven had objectives that focused on the management of the linkage itself,
- Six had objectives that dealt with improvements in operating systems, such as libraries, general administration, planning, monitoring and evaluation, and
- Five had objectives that focused on the acquisition of new technologies, including communications technologies

Though varying somewhat in other areas, the guidance provided in the Request for Applications (RFA) supplied to potential linkage partners for 1991, 1992, and 1993 use the same

language with respect to incorporation of the UDLP's higher order objectives into individual linkages, listing development impact, strengthening of developing country institutions and internationalization of U S institutions as three of the seven "Desirable Attributes" of a linkage proposal The RFAs neither suggested nor required that the stated objectives of individual linkages explicitly include development impact, institutional strengthening or internationalization

In light of this, it is not surprising that none of the linkage arrangements had written objectives that focus on the development impact of the program, involving changes or improvements in the developing countries in which partner institutions are located Nor is it surprising that a relatively small number of linkages had objectives which were at a level of and consistent with overall UDLP objectives

Conclusions Regarding Objective Setting by UDLP Linkage Partnerships

1 One of the hallmarks of the UDLP project is the independence it offers linkage partners with respect to setting the objectives on which their performance will be judged Some consider the freedom the program allows in this regard to be quite innovative for USAID Generally speaking, the objectives selected by linkage partners are consistent with USAID priorities Furthermore, they fall within the boundaries outlined in the design for the UDLP project

2 While the objectives that linkage partners selected are substantively appropriate, they tend to focus on achievement of a lower level of results when compared to the objectives established for the program as a whole The objectives they have set are certainly achievable In their self-study reports for this evaluation, only one linkage reported that it had concluded that one of its objectives was unrealistic

3 Allowing linkage partners to set these types of objectives is problematic only when decision-makers or evaluators assume that a project should automatically have incorporated objectives which focus on higher level impact, such as overall project objectives Objectives lead us to achieve certain agreed-upon outcomes Individual linkages cannot be expected to achieve results beyond their own established objectives without conscious targeting of objectives at higher levels

Recommendations Regarding Objective Setting

1 USAID should facilitate a decision making process with linkage partners which focuses on the issue of the level(s) at which linkage objectives should be set The outcome of the decision making process should be a collectively defined set of guidelines on objective setting for linkages

A collective process, rather than unilateral action on USAID's part, is recommended because unilateral action would be inconsistent with the spirit of the project Raising the issue for serious discussion, however, is fully consistent with the spirit of the UDLP project This action puts much of the responsibility for developing an appropriate set of answers in the hands of the university community, thus extending rather than reducing its control over the project's success

For their part, universities and colleges that participate in this project would do well to use opportunities for objective setting to articulate the underlying reasons for the actions they want to take Objectives that reach beyond the immediate and are stated as results will help partnerships to think through their long term plans and take the steps necessary to achieve them It would be appropriate for this suggestion to be made part of the guidance provided to linkage partners by USAID

b. Planning and Implementation

Through its self-study instrument and field visits, the evaluation asked questions about the processes that linkage partners use to develop annual work plans and implementation plans Many linkage partners reported that the initial steps in the annual planning process were decentralized Departments and centers within participating institutions identified what they would like to be able to do and submitted these ideas or requests to the Project Directors, Principal Investigators or Steering Committees that had management responsibility for the linkage program at their particular institution

At some point in this process, U S and developing country institutions interacted with respect to their planning process There is quite a bit of variation from linkage to linkage in terms of when the interaction between partners takes place Some linkages indicated that partners met annually to plan their future efforts in a collaborative way Others reported that planning occurred in the course of trips which were undertaken throughout the year, and which served substantive, as well as planning purposes Still other institutions indicated that joint planning occurred without much face-to-face contact In these situations, written plans were exchanged and faxes and phone calls were used to finalize them

Management of linkage programs on a day-to-day basis was normally the responsibility of the Project Directors, Principal Investigators or Steering Committees that have overall management responsibility for the linkage within their institution Operating styles differed among the 23 linkages that reported on their management practices, but most were reasonably simple Some institutions had added procedures during the course of a year which they felt helped to keep their program on track These procedures included "campus coordinators," weekly lunches, and monthly meetings

Commenting on the day-to-day management of their linkage programs, developing country partners as well as U S partners indicated that they had experienced occasional difficulties over the course of the program

Data from self-study instruments gave the impression that most linkages were managed efficiently and effectively, employing program management concepts involving collaborative and mutually supportive efforts Site visits confirmed this impression Linkages that the on-site evaluation teams described as "models" that other linkages might want to use as examples tended to be characterized by

- **Frequent communications** Phone calls, faxes, e-mail and face-to-face contacts all played an important role What appeared to be most important was not the vehicle for communication but rather the establishment of regular and frank contact as a linkage norm

- **A high degree of respect on both sides**, arising, in some instances, from a relationship that began well before the UDLP linkage arrangement was formalized A key factor here appeared to be the extent to which important actors in the linkages had developed personal relationships Strong personal relationships usually correspond to strong linkages

- **Steady leadership.** Typically, the most effective linkages had little or no turnover in key staff This contributed to situations where effective relationships, procedures and processes were established and maintained

- **Shared responsibility and a joint process for setting objectives** The most effective linkages involved situations where linkage partners had developed objectives together and shared responsibility for implementation

- **A collaborative approach to allocation of the linkage budget** In most instances, the U S linkage partner had primary control of the budget, yet in the most effective linkages, important budgetary decisions were an outgrowth of consultation involving both linkage partners

On the negative side, the team found that

- Communication problems such as poor telephone connections and slow mail delivery were a continuing source of difficulty for many linkages

- Other problems reportedly stemmed from differences between internal administrative arrangements within partner organizations

- Partners also reported that they had difficulty sorting out partner roles and addressing problems that were beyond their control, such as U S State Department travel bans in times of political unrest

For the most part, site visit teams found the linkages they examined to be well managed There were, however, some situations in which the program's management concept of a collaborative, mutually supportive and beneficial effort, had broken down In these cases, the communications between partners were weak and face-to-face meetings between principals were infrequent

One example of this was the linkage between the **Harvard University School of Public Health** and the Faculty of Medicine at the **Universidad Eduardo Mondlane (UEM)** in Mozambique Progress under this linkage had been unsatisfactory according to both the United States and the developing country institution No true partnership had been established, project objectives were defined differently by the two institutions, there was no agreement on operational strategy, and project management had been tightly controlled by Harvard Representatives of UEM

repeatedly cited Harvard's lack of transparency and accountability, stemming from a lack of UEM involvement in budget and work plan preparation, and Harvard's unwillingness to share budgeting or work planing documents with UEM

- As the team's site visits indicate, weak communications seem to be one of the keys to partnership relationships that have gone awry Simple communication breakdowns between partners can result in ill feelings that outlast their cause Seemingly small issues, such as who will fund the travel of a professor from one campus to the other, or which institution is responsible for arranging airline tickets for students, can undermine relationships if they are not addressed quickly and with clarity

- Site visits also indicate that, where partnership relationships are less than smooth, problems may stem from linkage objectives that were not developed on a joint, collaborative basis, and were, or were perceived to have been, selected primarily by the U S partners Staff turnover on one or both sides can further complicate linkage partnership arrangements

- All of these issues can become more complicated when institutions from more than one developing country are involved in a linkage While some multiple country linkages seem to be proceeding smoothly, others are not Commenting on progress in the three-way linkage between **Harvard University**, the **Instituto Nacional de Salud Publica** in Mexico and **Universidad Eduardo Mondlane** in Mozambique, the site visit team noted that differences between the capacities of the two overseas partners were so great that synchronous collaboration among all of the partners toward the linkage's objectives appeared unrealistic

While the UDLP project actively encourages most of the features of a well-managed partnership, evaluation teams that visited linkage sites reported that the program does not necessarily lead automatically to true management partnerships U S partners in these arrangements are clearly in control They are the institutions to which USAID allocates funds for the linkage program In some cases, they have elected to relinquish this control to the partnership, giving developing country institutions an equal say in how resources are spent Other U S institutions hold the purse strings more tightly and their developing country partners are keenly aware of this fact One developing country partner indicated that his institution had never seen the overall budget for the linkage in which they were participating

Conclusions Regarding Planning and Implementation

1 Most linkage partnerships report no management problems, while others describe them in quarterly and annual reports Linkages that report management difficulties often cite communication as their primary issue Infrequent meetings, together with unreliable electronic communications and weak systems for delivering packages lie at the heart of this problem Yet the absence of adequate face-to-face communication may be even more important Even when they have adequate electronic communications equipment and reliable parcel delivery services, UDLP linkages run into trouble when leadership personnel do not meet frequently enough to satisfy expectations

2 In the set of linkages examined by this study, there were some that were developed based on pre-existing relationships Others were developed in a way that brought more than two institutional partners into a linkage Both of these factors appear, from the small number of cases observed, to have implications from a linkage management perspective More specifically, those linkages that involve new partnerships or many partners seem to need a greater than average amount of management attention to function well Those linkages that are based on old relationships or involve only two partners require less management attention

3 Ideally, objectives, work plans and budgets set for individual linkages are developed jointly While some evidence suggested that developing country partners are playing an equal role in this process, other evidence developed by the evaluation indicated that the role of developing country institutions was, in some instances, that of a junior partner who was not always consulted Linkages seem to vary along a continuum in terms of the degree of joint involvement in these tasks This situation is one that warrants USAID's attention Unequal partnerships are not consistent with the vision of the program set forth in the PP

Recommendations Regarding Planning and Implementation

1 USAID should also raise the question of how linkage partnerships can be made more equal One appropriate suggestion would be to have all partners to a linkage sign-off on every important document, including the original proposal, annual work plans and budgets, and quarterly and annual reports A process of this sort would limit the chances for decisions to be made without input from developing country partners In addition, refusal to sign a document that does not represent a consensus view could be a powerful tool in the hands of universities that felt that they may have been treated as "junior partners" in the past Here again, the appropriate role for USAID is to flag problems to the university community and suggest remedies Unilateral action by USAID is not recommended as this would likely undermine the collaborative nature of the relationship between USAID, the UDLP and individual linkages

2 All universities and colleges that participate in this program should consider themselves to be true and equal partners in the enterprise Institutions that do not feel that they are being treated as equal partners should not remain silent USAID may not want to adjudicate every dispute between partners, but it does have an interest in knowing whether the partnership arrangements it is fostering are working the way they are intended to work Given the ideals of this project, open communication with USAID is as appropriate for developing country partners as it is for U S partners To this end USAID should consider steps that could be taken to ensure that developing country institutions are adequately represented at annual UDLP workshops

3 USAID should institute a process of collaborative development of project-wide standards for communication between linkage partners At the conclusion of this process, all linkages should be expected to adhere to the standards developed The process would involve reviewing two aspects of their communications systems with each linkage partnership (1) the status and quality of their electronic communications with each other and their ability

to deliver materials to each other in bulk form in a timely fashion, and (2) the frequency with which senior counterparts on each side of the linkage are to meet to discuss objectives, plans and budgets

These discussions, which could be carried out via fax, could be used to establish norms for the program Once norms were established and shared with the linkage community as a whole, USAID could encourage any partnership that found itself operating below these norms to dedicate an appropriate portion of their budget to corrective actions

USAID might also want to consider setting up a special fund within the program to address unusually intractable communications problems, e g , extra funds to speed bulk materials shipments or to arrange for partners to meet in a third country when political unrest makes it impossible to meet in the partner's developing country

4 Linkages that involve new partnerships and linkages that involve more than two partners would be well advised to set aside more time than they initially think might be needed for face-to-face meetings Evaluation results show that these two kinds of partnerships are more at risk than others, and institutions that are involved in these kinds of arrangements could compensate for that fact in planning their approach to managing their linkage

It is specifically not recommended that USAID rule out partnerships involving multiple partners or new partnerships UDLP is an experiment and all forms of partnership deserve an opportunity to succeed Fair warning about potential problems and the need for additional management attention is what USAID should discuss with such partners

5 With all new linkages, and most particularly for linkages that involve new partnerships or multiple partners, USAID and the university community should together consider setting up "mentoring" relationships through which experienced linkage partners can help new and complex partnerships to get off to a good start This would involve having experienced linkage partners assist partners involved in new linkages with both formulation and management of new linkages USAID may wish to require or strongly encourage such mentoring relationships for new linkages which appear to be particularly complicated or problematic

c. Financial Management and Accountability

Linkage objectives form the basis of the UDLP financial management system Linkages develop annual work plans in which they list their objectives and outline the process by which they will be achieved Using their work plans, the linkages develop annual work plan budgets which include overall budgets for all linkage objectives and individual budgets for each of the activities listed under each objective in individual work plans Linkages' financial reporting involves semiannual expenditure reports which, like the work plan budgets from which they are derived, document expenditures for the linkage as a whole and for each individual linkage objective In most linkages, the U S institutional partners take primary, and in some places complete, responsibility for this process Work plans, work plan budgets and semiannual expenditure reports are developed using standardized templates, copies of which are included in Annex G

Most of the 23 linkages that reported on financial management indicated that UDLP funds were managed using separate accounts [3] While some institutions had one account, others had

- A separate account for each of the objectives in the Cooperative Agreement, or
- Separate accounts for each project or activity they undertake using UDLP funds, or
- Separate accounts for each university department that is involved in the linkage program

Whatever the details of their accounting practices, most linkage institutions reported that their central financial offices managed linkage finances Thus the internal systems institutions used to obtain funds and report on expenditures tended to conform to the requirements of their financial management offices

Asked about difficulties they had experienced with the financial management of linkage arrangements, only eight institutions responded The problems these institutions reported were of two sorts (1) simple delays in the submission of quarterly report information, and (2) difficulties, early in linkage implementation, in bringing the accounting systems of different partners into conformance with each other for the management of UDLP funds

d Performance Reporting

Objectives form the basis of the UDLP performance reporting system In addition to the work plan budgets and semiannual financial management reports described above, under Financial Management, linkages are required to provide

- At the onset of the linkage, a project implementation plan in the form of a Gantt chart which groups all linkage activities by objective and provides an implementation schedule for each activity,
- Annual work plans listing each linkage objective, activities under each objectives, desired outcomes under each activity, resources required, needed inputs and the planned status of each activity in each quarter of the year,
- Quarterly reports which document progress towards the objectives stated in work plans and explain any difficulties encountered,
- If applicable, quarterly training reports which provide detailed information on all individuals beginning training programs during the reporting period,

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[3] While evaluation team members asked questions about the financial management aspects of linkages to validate findings that emerged from the self-study instrument, they did not make an independent effort to audit the financial management aspects of the linkages they visited Findings from these site visits concerning the financial management aspects of the program were consistent with reports provided through the evaluation's self study instruments

- An annual activity report which provides a description of the linkage's activities over the past year, progress towards achievement of each linkage objective, quantitative linkage outputs, progress towards assuring the sustainability of each linkage, an assessment of the linkage's impact on each of the linkage partners (in terms of both capacity and internationalization), and a description of significant difficulties encountered

The project guidance provided to linkage partners detailing these reporting requirements is included in Annex G

The evaluation's self-study instruments as well as reports from site visits to institutions in eight linkages suggest that information on the performance of individual linkages is communicated to USAID primarily through the quarterly, travel and annual reports and that periodic workshops also serve as a vehicle for gathering information on the performance of individual linkages Responses to the evaluation's self-study instrument indicated only a few UDLP linkage partners have developed supplementary or formal internal approaches for monitoring and assessing their performance

With respect to the submission of the quarterly and annual reports, the evaluation team's review of files in Washington indicated that about 40% of linkages had not fully met their reporting requirements In principle, linkages produced three quarterly reports and one annual report per year For approximately 60% (17 of 28) of the linkages examined these reports were on file for both 1993 and 1994 For the remaining 40% (11 of 28), between one and three of the reports per year were on file Annex C shows the actual frequency with which quarterly and annual reports from linkage partnerships appear in the UDLP project files in Washington

The quality of quarterly and annual reports submitted by linkage partners varies in terms of the degree to which they respond to USAID's expectations [4]

- *USAID's guidance concerning the preparation of quarterly and annual reports calls for linkage partners to report on all objectives identified in their Cooperative Agreement and in their work plans* Generally speaking, linkage partners conformed to this request However, activities that fall outside this scope may go unreported Thus, for example, while 19 of 28 linkages examined by this evaluation were found to be involved in some way with the internationalization of a U S institution, only six of these linkages explicitly identify internationalization as one of the objectives in their Cooperative Agreement As a result, only a fraction of the linkages involved in internationalization discuss their progress in this area in their quarterly and annual reports

- *USAID's guidance for the preparation of quarterly and annual reports calls for information on activities and progress during the reporting period for each objective identified in linkage work plans* In practice, many of these reports present a general, or cumulative, picture of progress rather than noting specifically whether the actions that were to have been completed in a particular fiscal quarter were all satisfactorily completed during that quarter There is

[4] Comments from USAID and CENTECH managers indicate that they are already aware of quality problems in the quarterly and annual reports they receive from linkage partners USAID has reportedly contacted some linkage partners asking them to give more serious and detailed attention to their reports

also a tendency in some reports to commingle accomplishments under the UDLP linkage program with other accomplishments of the institutions involved, including, those funded by the universities or by a grant from some other sponsor This latter practice makes it impossible to separate out the effect of UDLP's support

As the foregoing suggests some quarterly and annual reports display deficiencies, while others are meticulous in the way they report on progress toward a linkage's objectives The fact that some linkages are systematic about the way that they report on results in comparison to plans suggests that it is possible for all linkage partners to meet USAID's expectations Quality differences of the type observed by the evaluation team may mean that USAID's guidance is not equally familiar to all linkage partners Alternatively, it may mean that this guidance needs to be even clearer and that examples of the kinds of reports that meet USAID's expectations should be made available to linkage partners as models

In addition to examining the completeness of reports received from linkage partners, the evaluation team used opportunities created by site visits to review the validity of these reports Evaluation team members who were involved with site visits were asked to compare the information they were able to gather on site to that which linkage partners had included in written reports What the site visit data suggests, with respect to the validity of information received through formal reports on UDLP projects, is that

- The information provided in quarterly and annual reports is correct
- While correct, these reports provide a much less rich description of the patterns in a linkage relationship, or between linkage partners and their universities and local communities, than might be desirable
- Quarterly and annual reports are not always precise as to when linkage activities occurred, nor are they always clear about whether the activities they describe were funded by UDLP
- In terms of financial management, budgeting by objective based on annual work plans works very effectively However, in terms of performance reporting, the quarterly and annual reports do not always provide a level of detail which is consistent with work plans While annual work plans describe implementation of activities on a quarterly basis, quarterly and annual reports sometimes provide only an overview of progress toward objectives and do not provide detailed descriptions of the progress of specific activities
- Site visit data also shows that some predictions made in quarterly and annual reports did not materialize For example, plans might contain information about upcoming conferences and numbers of students to be enrolled Yet, in subsequent reports, linkage partners sometimes did not clarify what had and had not occurred
- The degree of participation of developing country linkage partners in the preparation of quarterly and annual reports is not clear from the reports themselves Site visits suggest that the level of participation of developing country institutions varies Some institutions provide a great deal of input to the reporting process, others provide much less

From a management perspective, the final observation on this list is the most problematic All of the other problems cited in these reports are reasonably easy to correct In terms of the sample of eight linkages visited by the evaluation team, it is clear that poor collaboration by linkage partners in the reporting process occurs in linkages where there is demonstrably poor collaboration on other aspects of their linkage arrangement

Conclusions Regarding Performance Reporting

1 When it comes to submitting less than the full complement of required reports each year, linkages still display some inadequacies More disturbing than the absence of some required reports is their lack of consistent, high quality reporting on performance and the fact that the level of participation of developing country institutions in their preparation appears to be quite uneven

2 In addition, because linkages are reporting against the objectives they have set in annual work plans, the majority of quarterly and annual reports do not involve direct discussion of impact beyond those objectives This means that linkages often do not report on impact at the levels of the UDLP's primary objectives strengthening and internationalization of linkage partner institutions, and meeting the needs of the societies in which the linkages operate

3 In combination, these problems with report timeliness and quality suggest that USAID may need to take some action that will help linkage partners improve their performance in this area In this context, it is important to understand the dual nature of reporting responsibility It is the responsibility of linkage partners to supply appropriate reports in a timely manner It is the responsibility of USAID project managers to make sure that partners understand reporting guidelines, review all reports they receive, provide feedback to linkage partners, and, as needed, have the partners redo reports so that they are consistent with guidelines In order to establish a pattern of timely and consistent reporting, the process must be accorded adequate support and supervision by both USAID and linkage partners

Recommendations Regarding Performance Reporting

1 USAID needs to indicate to existing and new linkage partners that their failure to comply with USAID reporting requirements is not acceptable Timely and high quality reporting is the quid pro quo for the funds they receive While unilateral action on USAID's part is not generally recommended in connection with this program, it is perfectly reasonable for USAID to hold up the distribution of UDLP funds in those situations where required reports have not been filed or do not meet USAID's quality standards

2 In addition to instituting financial penalties for inadequate reporting by linkage partners, USAID should consider improving its instructional materials in this area The present guidance provided to linkage partners describing what is to be covered in each quarterly and annual report is clear and appropriate However, despite the hands-on orientation seminars attended by each group of linkage partners, considerable detail and specificity, as well as illustrative examples, could be added to this guidance In addition, USAID needs to establish

a procedure for reviewing all reports against these standards and returning those that do not meet such standards, or are not signed by all partners, on a timely basis together with a due date for a revised version Examples of existing guidance and templates are found in Annex G

2 Operating Systems and Communications Improvements

Operating systems improvements and the introduction of new communications technologies are two of the approaches to strengthening the UDLP linkage structures examined during this evaluation For purposes of this study, the term "operating systems improvements" means things that linkage partners did to improve their institutions as a whole, as opposed to narrower efforts that focus on the management of a linkage partnership Thus, efforts to improve the library facilities of developing country or U S educational institutions as well as activities designed to strengthen the administration of these institutions, including their planning capacity and their monitoring and evaluation practices, are covered by this term

a Operating System Improvements in Developing Country Institutions of Higher Education

In the Self Study Instruments for this evaluation, USAID identified system improvements that it believed were being pursued in some, if not all, of the linkages it had funded In the evaluation desk study instrument (questionnaire), these system improvements were refined to include

- Expanding and upgrading library facilities,
- Improvements in the general administrative procedures used by institutions participating in the linkage,
- Introduction and use of improved planning procedures, and
- Improvements in monitoring and evaluation

Investments in one or more of these improvements were made by 22 of 28 of the linkage programs Of these, six linkage partnerships identified operating systems improvements as one of the formal objectives on which they report quarterly to USAID Reports from these six linkages indicate that in all but one instance, such improvements were proceeding according to schedule

Library Improvements

Of the four types of system improvements identified above, library improvements, which include both facilities and their holdings, were more frequently pursued by linkage partners than were other types of system improvements In both the developing country institutions of higher education and in the U S , the primary effect of improvements in library facilities was the increase in access to relevant, up-to-date information for faculty and students

- Library improvement efforts were made by 64% of the UDLP linkages examined (18 of 28) All but one of these cases involved upgrading existing libraries rather than establishing new facilities

- In most cases both linkage partners were involved in identifying the need for library improvements

- The actual support the UDLP project provided for these efforts most often involved the transfer of books, journals and equipment from the U S to developing country universities and colleges, and

- Technical assistance, provided when library staff from U S institutions visited their developing country partners, was also reported In two situations such visits resulted in the application of common cataloging systems

One example is that of the linkage between the **Universidad Autonoma de Yucatan (UADY)** and **Northwestern University (NU)** As a direct function of the linkage, UADY's technology management library has enhanced its computer system, installed multimedia projection equipment, received $7,000 worth of new books, added 12 new journals to its subscription list, and become linked to the Internet system In addition, NU has assisted in acquisition, binding and cataloging 218 articles dealing with technology management The UADY Project Director described the impact of these improvements as "Improved library searching, expanded library holdings, reduced cost of communications and database access through Internet and expanded facilities for computer training "

Improvements in General Administration

Improvement in the general administration of developing country institutions of higher education, in contrast to project specific improvements that focus on the management of a UDLP linkage arrangement, was reported for 46% of the cases examined (13 of 28) More efficient operations and improved communications were the results attributed to these efforts The actual assistance provided through UDLP linkages included, with almost equal frequency

- The funding of additional staff,

- Upgrading equipment and buildings,

- Staff training, and

- The joint development of new approaches and policies

Strategic Planning

Strategic planning was reported as a management improvement for 46% of the UDLP linkages examined (13 of 28) Of these, 10 were linkages that also engaged in more general administrative improvement efforts In roughly half of the situations where planning exercises were

undertaken, the U S partner was involved in a collaborative way In the other half, the primary role of the U S partner was in providing training in planning techniques The results of planning improvements in developing country universities and colleges were reported to include better plans, more efficient operations, and increased revenues For the U S partners in these linkages, improved planning in the developing country institutions focused on collaborative efforts and created new opportunities for partner interactions

One example of the impact of strategic planning involves the linkage between **Worcester Polytechnic Institute (WPI)** and the **Escuela Superior Politecnica del Litoral (ESPOL)** The linkage partners describe the linkage as creating a "complete change in organizational behavior" at ESPOL The training of ESPOL faculty and staff in management processes by WPI professors led to the development and implementation of a strategic and operational planning process at ESPOL As part of this process, all faculty and staff negotiated work plans which allowed them to better focus their work and evaluate their progress This has led to an increase in efficiency and effectiveness

Monitoring and Evaluation

25% of the linkages examined (7 of 28) had made an effort to introduce or strengthen monitoring and evaluation procedures As a function of the UDLP linkage, U S partners were able to assist developing country institutions by providing training in monitoring and evaluation and, in a few cases, help to plan evaluations of the linkage In one case the UDLP project financed the creation of a special unit that focused on these tasks

Conclusions Regarding Operating Systems Improvements in Developing Country Institutions of Higher Education

Operating system improvements are important ways of strengthening UDLP linkages Library improvements helped to increase the access to up-to-date information in developing country institutions More efficient operations resulted through general administrative improvements In addition, management improvements through collaborative strategic planning efforts by linkage partners resulted in more efficient operations and, in some cases, increased revenues Linkages appear to be more efficient and effective when they pursue planning monitoring and evaluation systematically

Recommendations Regarding Systems Improvements in Developing Country Institutions of Higher Education

USAID may wish to consider working with linkages to develop norms for strategic planning and monitoring and evaluation processes that linkage partners could apply to their work This process would involve reviewing existing monitoring and evaluation and strategic planning processes with each linkage partnership These discussions, which could be carried out via fax or e-mail could be used to establish norms for the project as a whole Once established and shared with linkage partners, USAID could encourage any partnership that found itself operating below these norms to dedicate an appropriate portion of its budget to institute these processes

b Technology and the Communications between Linkage Partners

New technologies, particularly communications technologies, were reported to be essential for the success of linkage by a large percentage of the linkage partners contacted through this evaluation While there was a good deal of variety with respect to the types of communications equipment procured using UDLP resources, virtually all of these acquisitions were cited as helping to improve communications between linkage partners The UDLP also enabled U S partners to assist these technology transfer efforts by providing training and technical assistance to their developing country partners in connection with the acquisition of new communications technologies

New technologies were reported to be an important element in 93% of the UDLP linkages examined (26 of 28) Of these, five linkage partnerships identified technology or communications improvements as objectives in their Cooperative Agreements and the majority reported that they were achieving these objectives on schedule

Evaluation self-study reports indicate that the technologies and communications improvements in which UDLP linkage partners invested included

- New computers, modems and printers for 71% of the developing country linkage partners (20 of 28),
- Communications software, including e-mail and Internet access became available to 61% of the developing country linkage partners (17 of 28),
- Fax machines which provided another kind of communications technology improvement in 39% of these linkages (11 of 28),
- CD-ROMs and other computer access to data bases were cited in 29% of the linkages (8 of 28), and
- Audio-visual equipment, language laboratory equipment, and improved international phone lines in a few other cases

With regard to the specific effects of these communications improvements

- Reports from 54% of the linkages (15 of 28) indicated that communications between the partners and with others were improved,
- 32% (9 of 28) reported that research was proceeding more efficiently and effectively with the addition of data base management capability, and
- 21% (6 of 28) reported that the production of papers, newsletters and other written materials proceeded more efficiently with these new technologies in place

Conclusions Regarding Communications

New technologies, such as computers, communications software and fax machines have aided in improving communications with partners as well as improved the efficiency and effectiveness of research These new technologies were deemed essential by linkages partners for setting up the potential for successful communications

B. The Immediate Results, or Outputs, Produced through Existing University Linkages

Since each of the linkage arrangements supported by the UDLP project is unique, USAID had anticipated that the results from these arrangements would vary quite widely Nevertheless, in the UDLP Project Paper, USAID was able to identify four illustrative types of results In practice, these illustrative categories serve as a useful way of grouping the results that are being produced through most of the linkage arrangements examined by the evaluation These include

- New and expanded academic programs offered,
- Faculty and student development, through participant training exchanges and other kinds of work/study experiences,
- New and expanded research programs underway, and
- New and expanded outreach programs implemented

Findings with respect to progress in terms of each of these categories of results are reviewed below This section of the report also includes illustrative examples from specific linkage partnerships

1. The Development and Expansion of Academic Programs

In total, 23 (82%) of the 28 linkage partnerships examined were involved in the development or expansion of academic programs Twenty of the linkage partnerships that undertook efforts to develop or expand their academic offerings identified these efforts as linkage objectives in their work plans and Cooperative Agreements Illustrative examples include

- "Strengthen and broaden the capabilities of the Center for International Health at the School of Medicine at Case Western University" (**Makerere University** in Uganda and **Case Western Reserve University**),
- "Develop an entrepreneurship training capacity at the University of Toamasina" (**Clark Atlanta University** and the **University of Toamasina** in Madagascar), and
- "Establish a graduate Urban Management Program at Hasanuddin University" (**Virginia Commonwealth University** and **Hasanuddin University** in Indonesia)

Evaluation self-study reports suggest that on the developing country side, 79% of the linkages (22 of the 28) examined were involved in the development of new, or expansion of, existing academic programs Of these linkages, 32% (7 of 22) had initiated or expanded health programs, 14% (3 of 22) agriculture programs and another 14% (3 of 22) natural resources management programs The remaining programs were in a variety of areas including small business development, adult literacy and geography

On the U S side, institutions engaged in the development or expansion of academic programs in 46% of these arrangements (13 of 28) Of these linkages, 31% (4 of 13) of the programs cited were in health The other nine programs were in a variety of areas including forestry, governance, languages and urban management

Of the 23 linkages that included an academic focus, 15 (65%) were reported as being on schedule or close to it Of the remaining eight, one indicated that initial plans for improving an academic offering had been abandoned The rest were experiencing delays due to circumstances out of their control, such as political turmoil

More complete information on the kinds of academic programs produced through UDLP efforts are described below

a New Academic Programs In Developing Country Institutions

New academic programs were developed in 57% (16 of 28) of the developing country institutions involved in the linkage partnerships examined, as Table 2-1 indicates Of these, five were in health-related fields, while others focused on education, environment, small business development, agriculture and law

On average, new academic programs reportedly took between 12 and 24 months to develop Generally speaking, the need for new academic programs was identified by the developing country institutions involved in the linkage program In five of these cases, however, either the host government or a local NGO also played a role in identifying the need for new academic programs

About half the time, U S partners in linkage arrangements assisted with the development of new courses or new curricula Even where they were not directly involved in the development of course plans and materials, U S partners were often called upon to assist with efforts to upgrade academic programs through faculty exchanges and training, or through consultations and workshops

The majority of the new academic programs created in developing country institutions (12 of 16) targeted MA or Ph D programs An additional four programs were created for the benefit of BA students, while two focused on AA or vocational education students Half of these courses were being offered by the time the evaluation was undertaken, in the sense that they reported that students were enrolled in the new courses that had been developed Courses available to the general public, such as a small business management course in India and an entrepreneurship course in Ecuador reported enrolling between 200 and 400 students Courses developed for MA and Ph D candidates enrolled smaller numbers groups of between 10 and 20 Only three of these new academic programs

reported that students that had enrolled in them had already graduated or received completion certificates

Illustrative of the range of academic programs designed to meet developing country needs are the following

- Since the pilot program was offered in May of 1994, 380 students have completed "Starting Your Own Business," a new vocational education course developed at the **Madras University Center for Vocational Education in India**, in cooperation with **Sinclair Community College, the Eastern Iowa Community College District**, and **Community Colleges for International Development** Training for trainers in this course has also been provided to establish the basis for the continuation of this effort

- **Washington State University** and the **University of Jordan** are involved in the development of the first environmental program to be offered in Jordan The country is facing major environmental issues and there is a need for specialized training in environmental impact assessment, natural resources management, biodiversity, water management and pollution prevention In response, Washington State University has visited its partner institution to instruct faculty and librarians in accessing and utilizing educational and research literature through electronic means, primarily CD ROMs Computer hardware and software have been provided to support this effort and Jordanian faculty have visited the U S to upgrade their research skills The curriculum for this new course is being developed collaboratively and classes were begun in September of 1995

b The Expansion of Existing Academic Programs in Developing Country Institutions

While some developing country linkage partners focused on the development of new academic programs, 15 of the 28 linkages addressed the improvement and expansion of existing academic programs in developing countries Nine of these 15 efforts were undertaken by institutions that also developed new academic programs simultaneously

With respect to the expanded academic programs that were developed, seven focused on health-related topics Other expanded academic programs focused on entrepreneurship, regional planning, agriculture, water resource management, and technology management Eight were developed for MA candidates, or for a mix of BA and MA level students Two others focused on BA and AA degree students U S linkage partners provided assistance with curriculum development in eleven of these cases and faculty exchanges were part of ten of these 15 efforts to expand the academic programs of developing country institutions

The expansion of existing programs appears to take somewhat less time than does the development of new programs, 6-18 months, on average, as opposed to 12-24 months for new programs As to enrollment, data was available for six programs One of these six, a health-related course at the BA level in Mali, reported an annual enrollment level of 60 students, and one class of 58 graduates The other five courses report enrollment levels of between 10 and 20 students, of which one reported that students had already graduated

c New and Expanded Academic Programs in U S Institutions

The development of new academic programs in U S institutions was undertaken through eight linkages and existing academic programs were expanded in nine U S universities In four cases these two activities overlapped Health was the focus of two of the new academic programs in the U S and it was also the focus of two expanded programs A wide range of other topics were covered by the remaining new and expanded academic programs, including urban management, forestry, democracy and governance, and entrepreneurship The need for new and expanded academic programs in U S institutions was usually identified by the faculty of those institutions For the new academic programs, financial resources were the most frequently cited UDLP contribution For the expanded courses, joint curriculum development efforts were frequently cited as the UDLP's contribution One example of a new academic program, the Executive Program in Health and Population in developing Countries (EPDC), is described in a text box on the following pages

Executive Program in Health and Population for Developing Countries (EPDC)

University of North Carolina at Chapel Hill (UNC) and the Indian Institute of Health Management Research (IIHMR) An Example of Effective Linkage Collaboration

Twenty years ago, Professor Sagar Jain of the School of Public Health, University of North Carolina at Chapel Hill, convened a meeting on public health policy and management under the auspices of the World Health Organization (WHO) This meeting specified the additional training needs of international public health officials In response, the University of North Carolina at Chapel Hill developed a graduate level "Executive Program" for American and international public health management executives The WHO expressed interest in a similar graduate program elsewhere but did not have the necessary funding

The need for such a graduate program was an important focus of a 1984 meeting of major donors A consensus emerged that programs in the United States were not always appropriate for public health officials from developing countries U S programs assumed the availability of good information about public health, that public health officials had substantial discretion in their managerial roles, and that graduates would have a strong orientation toward production In the developing countries, good information was rarely available, public health officials were often restricted in their managerial decisions, and graduates would often be reluctant to perform at a high level if that performance made fellow managers appear inadequate An additional problem was that many international students attending programs in the United States found higher paying positions in the United States or other developed countries, and failed to return to their home countries

Dr Sagar Jain focused his efforts on the development of a graduate program for upper and mid-level public health managers based in a developing country Eighteen institutions in eleven countries were considered for the program, but eventually a fairly young institution, the Indian Institute of Health Management Research (IIHMR), was selected (In India, institute is the name given to a higher education organization which focuses on a single area, in this case health management research) IIHMR had the advantages of being an institution concerned with public health problems but with little internal bureaucracy, an institution located in a country with significant political stability and a large population base

The proposal, made jointly by the University of North Carolina at Chapel Hill and the Indian Institute of Higher Education, was approved by USAID in 1991 The degree of Masters in Public Health would be offered by the University of North Carolina at Chapel Hill, with classes to be conducted mostly in Jaipur, India by University of North Carolina at Chapel Hill faculty

Recruitment of the class of students required the commitment of sponsors and employers Tuition, which would be the basis for long term financing of the program, would be $15,000 per year, and the cost of books, travel, food and lodging would raise the total cost to $25,000 per year, a sum well above the average $4,000 per year earnings for young doctors employed in public health work in South Asia To ensure that the program would be training people who would continue in public health work in their home country, the Executive Program required that each student secure agreement from his or her employer to continue the student's salary for the entire year The sponsors who have provided financing for tuition and student expenses have included the World Health Organization, the United Nations Family Planning Agency, USAID, the University of North Carolina at Chapel Hill, and some national agencies

The first class, in August 1993, contained only eleven full-time students, as well as some part-time students This number was the minimum needed to cover out-of-pocket costs, but was far below the twenty-four students needed to cover all costs, or the thirty students who could be accommodated easily in the program and would provide sufficient income in order to acquire extra resources for that program Nevertheless, outstanding faculty members arrived and conducted their classes, students studied diligently, and twelve months later, a graduation ceremony was held at Chapel Hill for the first ten graduates The financial difficulties were eased by a grant from the Rockefeller Foundation and from another agency In addition, by the second year, it appeared that the sponsor problem may have been resolved with support from two agencies that will sponsor about twenty students per year

For USAID, the total contribution has been $100,000 per year for five years That funding has been the seed money which leveraged Dr Jain's requests for even larger amounts from the University of North Carolina at Chapel Hill and from various donor organizations, such as the WHO and the United Nations Family Planning Agency When USAID completes its commitment the program will have been successfully launched, and three classes will have graduated Most important, a program which will aid the development of South Asia will have been established, by beginning to set the standards for public health officials in that region In addition, the University of North Carolina at Chapel Hill will have developed further its commitment to internationalization of programs

Student enrollment for new academic courses at U S institutions ranged from four students in a professional education course on entrepreneurship development to over 200 students in an undergraduate environment course at the **Worcester Polytechnic Institute** in Massachusetts Graduates were reported to have completed two of the new health courses developed through UDLP linkages 40 completed a post-graduate course at Harvard and 10 completed a Master's Degree course at the University of North Carolina at Chapel Hill As to expanded courses, enrollments ranged from 30 for a course in governance and law at the **University of Florida** to 150 for an undergraduate forestry course at the **University of Montana** No graduates were reported in connection with expanded academic programs at U S institutions

Table 2-1 Academic Programs Initiated Through the UDLP Project

Linkage Partners	U S Institutions of Higher Education		Developing Country Institutions of Higher Education	
	Existing Academic Programs Expanded	*New Academic Programs Developed*	*Existing Academic Programs Expanded*	*New Academic Programs Developed*
Boston U Earth Watch Tribhuvan U (Nepal)	✓		✓	✓
U of California at Davis Instituto de Nutricion de Centro America y Panama (INCAP)			✓	
Case Western Reserve Makerere U (Uganda)			✓	✓
Central State U U of Science and Technology (Ghana)				
Clark Atlanta U U of Toamasina (Madagascar)		✓	✓	
Harvard U Instituto Nacional de Salud Publica (Mexico) U Eduardo Mondlane (Mozambique)		✓	✓	
U of Iowa and Other Education Institutions in Iowa U of Ibadan and other state Universities in Nigeria	✓	✓	✓	✓
Iowa State U Prairie View A&M U of Costa Rica			✓	✓
Johns Hopkins U U of Benin U of Ilorin and the U Of Maiduguri (Nigeria)			✓	
Johns Hopkins U El Colegio de Mexico			✓	✓
Lincoln U U of Minnesota U of Malawi Bunda College of Agriculture				
Morgan State U Jahangirnagar U (Bangladesh)				
Northwestern U (Illinois) U Autonoma de Yucatan (Mexico)		✓	✓	✓
U of Pennsylvania U of Tunis (Tunisia) U of Botswana	✓			✓
Pennsylvania State U Tuskegee University U of Nairobi at Kabete (Kenya)				
Sinclair Community College Eastern Iowa Community College District Community Colleges for International Development Madras U Center for Vocational Education (India)				✓
Texas A&M U U Nacional Autonoma de Mexico	✓		✓	✓
Virginia Commonwealth U Hasanuddin U (Indonesia)	✓	✓	✓	✓

Linkage Partners	U S Institutions of Higher Education		Developing Country Institutions of Higher Education	
	Existing Academic Programs Expanded	*New Academic Programs Developed*	*Existing Academic Programs Expanded*	*New Academic Programs Developed*
U of Rochester Columbia University Ecole Nationale de Medicine et de Pharmacie (Mali)	✓		✓	
U of North Carolina at Chapel Hill U of Pennsylvania Pontifica U Javeriana (Colombia)				✓
U of North Carolina at Chapel Hill Indian Institute of Health Management Research (India)		✓		✓
U of Florida Makerere U (Uganda)	✓	✓	✓	
U of Massachusetts Tribhuvan U (Nepal)	✓		✓	✓
U of Montana U of Belize	✓		✓	✓
Utah State U Institut Agronomique et Veterinaire Hassan II (Morocco)				
Washington State U U of Jordan			✓	✓
Worchester Polytechnic Institute Escuela Superior Politecnia del Litoral (Ecuador)	✓	✓		✓
Yale U U De Chile Diego Portales University				✓
Number of Institutions that Have New/Expanded Academic Programs	**10** *(36%)*	**8** *(29%)*	**17** *(61%)*	**17** *(61%)*

2 Faculty and Student Development

Faculty and student training, often through exchange programs, is a significant part of all of the UDLP linkages Often these efforts are closely linked with the development of new academic programs or with the development and implementation of research programs Nevertheless, 57% of the linkages (16 of the 28) examined by this evaluation also list faculty and student development as one of the objectives of their Cooperative Agreement, as Table 2-2 indicates In most instances, the number of faculty and students who participated in these programs is relatively small However, when faculty are involved, an exchange program can, over the course of several years, have a significant impact on a single department or school

- The linkage between **Clark Atlanta University** and the **University of Toamasina** in Madagascar has resulted in the development of intensive French language training courses for Clark faculty members Since 1993, both entry level and advanced courses have been offered, and post-course evaluations have been conducted which show significant improvement of the faculty's French language skills Stronger language skills on the part of U S faculty are

U S faculty are viewed by the partners in this linkage as a building block to greater collaboration in other areas

The benefit of a training program for developing country faculty is exemplified by the experiences of one faculty member from Tribhuvan University in Nepal

- **Tribhuvan University** identified a need for upgrading the teaching skills of its faculty members through academic as well as short-term training abroad In response, their linkage partner, **Boston University (BU)** created an opportunity for a member of the Tribhuvan University medical faculty to spend six weeks observing surgery and attending medical school lectures and seminars at BU's medical facility The Nepalese faculty member also spent time visiting wards and networking with local physicians and surgeons, spurring interest among the BU faculty in teaching and working in Nepal

Across all the linkages, progress in connection with plans for faculty and student development is generally good Exceptions tend to be associated with start-up difficulties such as identifying appropriate candidates and arranging their programs In only one of the 28 linkages surveyed was a program halted In this case, the developing country institution decided to halt faculty exchanges under the linkage, at least over the near term, because too many of its faculty were already traveling on other exchanges and fellowships

a Participant Training

Although participant training was a formally stated objective in a limited number of the linkages examined, such training played an important role in most of the linkages The role was primarily one of enhancing the skills and building the capacities of faculty, staff and students at developing country linkage partner institutions Secondarily, participant training had a direct impact on local communities through in-country training, offered through linkages, involving significant community participation

The participant training activities undertaken by linkages fell into the four categories described below

- 71% (20 of 28) of the linkages included student and faculty exchange programs at the U S linkage partner institution, most of which included short term training for faculty and students from the developing country linkage partner The training provided as part of these exchange programs included a wide range of topics, reflecting the foci of individual linkages and the interests of students and faculty from the developing country partner institutions Illustrative topics included analysis of water resource data, computer-aided manufacturing design, adult education and maternal and child health

- 50% (14 of 28) of the linkages involved short-term training, provided by U S linkage partners, which was held at developing country linkage partner institutions for faculty and students of those institutions These programs focused on a wide range of topics including microcomputer applications, training of trainers in entrepreneurship, environmental

monitoring and management, sustainable agriculture, evaluation research skills, food processing technologies, computer network management, and wildlife inventory assessment

- 32% (9 of 28) of the linkages examined provided long and medium term training (degree and non-degree) at the U S linkage partner institution for faculty and students from the developing country linkage partner Examples of long term training include students enrolled in a Ph D program in public health, an MA program in library science, and a Ph D program in urban and regional resources planning and management Examples of medium-term training include mini-sabbaticals in epidemiology and biostatistics for health scientists and a semester program in environmental management

- 32% of the linkages (9 of 28) included short and medium term training provided by U S linkage partners, usually in collaboration with developing country linkage partners, for targeted members of communities in the developing countries These community outreach activities were particularly noteworthy They included entrepreneurship workshops for local business-people, goat husbandry for smallholder farmers, small business development and management for rural women, literacy for the poor and disadvantaged, municipal management for city employees, and training of trainers in literacy (a program conducted in Nepal with participants from several Asian countries)

It is important to note that three fourths of the linkages studied involved participant training in two or more of these four categories, making such training a pervasive outcome of the UDLP

Table 2-2 Faculty/Student Development, Research and Outreach Programs Initiated through the UDLP Project

Linkage Partners	*Linkages that Include Faculty/ Student Development as an Objective*	*Linkages that Involve Research*	*Linkages that Involve Outreach Programs*
Boston U Earth Watch Tribhuvan U (Nepal)	✓	✓	
U of California at Davis Instituto de Nutricion de Centro America y Panama (INCAP)	✓	✓	
Case Western Reserve Makerere U (Uganda)	✓	✓	
Central State U U of Science and Technology (Ghana)		✓	✓
Clark Atlanta U U of Toamasina (Madagascar)		✓	✓
Harvard U Instituto Nacional de Salud Publica (Mexico) U Eduardo Mondlane (Mozambique)	✓	✓	✓

Linkage Partners	*Linkages that Include Faculty/ Student Development as an Objective*	*Linkages that Involve Research*	*Linkages that Involve Outreach Programs*
U of Iowa and Other Education Institutions in Iowa U of Ibadan and other state Universities in Nigeria	✓	✓	✓
Iowa State U Prairie View A&M U of Costa Rica		✓	✓
Johns Hopkins U U of Benin U of Ilorin and the U of Maiduguri (Nigeria)	✓	✓	
Johns Hopkins U El Colegio de Mexico	✓	✓	
Lincoln U U of Minnesota U of Malawi Bunda College of Agriculture		✓	✓
Morgan State U Jahangirnagar U (Bangladesh)		✓	✓
Northwestern U (Illinois) U Autonoma de Yucatan (Mexico)	✓	✓	✓
U of Pennsylvania U of Tunis (Tunisia) U of Botswana		✓	✓
Pennsylvania State U Tuskegee U U of Nairobi at Kabete (Kenya)		✓	✓
Sinclair Community College Eastern Iowa Community College District Community Colleges for International Development Madras U Center for Vocational Education (India)	✓		✓
Texas A&M U U Nacional Autonoma de Mexico	✓	✓	✓
Virginia Commonwealth U Hasanuddin U (Indonesia)	✓	✓	✓
U of Rochester Columbia University Ecole Nationale de Medicine et de Pharmacie (Mali)	✓	✓	✓
U of North Carolina at Chapel Hill U of Pennsylvania Pontifica U Javeriana (Colombia)	✓	✓	
U of North Carolina at Chapel Hill Indian Institute of Health Management Research	✓	✓	
U of Florida Makerere U (Uganda)	✓	✓	✓
U of Massachusetts Tribhuvan U (Nepal)			✓
U of Montana U of Belize	✓	✓	✓
Utah State U Institut Agronomique et Veterinaire Hassan II (Morocco)	✓	✓	✓

Linkage Partners	*Linkages that Include Faculty/ Student Development as an Objective*	*Linkages that Involve Research*	*Linkages that Involve Outreach Programs*
Washington State U U of Jordan		✓	
Worchester Polytechnic Institute Escuela Superior Politecnia del Litoral (Ecuador)	✓	✓	
Yale U U De Chile Diego Portales University	✓	✓	
Number of Institutions that Have New/Expanded Academic Programs	**19** *(69%)*	**25** *(93%)*	**19** *(69%)*

3 New and Expanded Research Programs Underway

The expansion of formal research programs in developing country institutions formed an important part of 25 (89%) of the 28 linkages examined and, even in the remaining three, some form of needs assessment was undertaken in connection with academic and outreach activities In many of these cases, U S linkage partners were directly involved in UDLP sponsored research activities, and the need for the research undertaken by UDLP linkage partners was jointly identified Of the 25 linkages that engaged in research program improvements, 17 (68%) were reported to be proceeding according to plan while the remaining eight had experienced some type of difficulty or delay

Ten (40%) of the 25 linkages addressed health issues, another six (24%) focused on agriculture and nutrition, and the remainder focused on other areas such as education, the environment, democracy, law, water/sanitation, employment and technology transfer Within these sectors, the research activities undertaken by linkage partners varied considerably, from applied to basic research An example of research undertaken by linkages is provided in the text box on the pages that follow

Texas A&M University and the
Universidad Nacional Autonoma de Mexico
An Example of Collaborative Research

For free trade to become safe trade, agricultural commodities must be rid of infectious pathogens and parasites Moreover, scientific knowledge is needed to eliminate these threats to international trade Because of the proximity of Mexico and the US and the volume of trade between the two countries, it is in our mutual national interests to encourage research in biosafety

The main strategy is to use modern biotechnology-based methods for the detection and prevention of plant and animal diseases that affect the Mexican capability to increase production and that are subject to import bans by the United States The livestock and plant diseases selected for attention are the subjects of national eradication campaigns in both Mexico and the US For example, Tilletia is a fungus (resulting in commonly called bunt or smut diseases) that negatively affects the quality of wheat and rice Some species of Tilletia are present in Mexico, but not in the US Therefore, the US government has established rigorous bans on the import of shipments containing Tilletia. The mere trace of Tilletia on or in a vehicle entering the US will stop the import of its cargo and provoke a lifetime ban on entry by that vehicle Furthermore, scientists are not permitted to bring the specific pathogens into the US for study The same sorts of issues surround the UDLP-supported research with tuberculosis, brucellosis, and salmonellosis

Thus, scientists on both sides of the border are interested in promoting research on the diseases in Mexico, Mexicans because they want to eradicate the diseases for economic reasons, and North Americans because they want to protect the United States from the diseases and because they cannot carry out research in the United States on pathogens that they cannot import for their laboratories

The four specific objectives of the linkage and the departments responsible for them are as follows

1 Development of improved diagnostic tests for tuberculosis in cattle, deer and other wildlife Department of Microbiology and Immunology,

2 Development of beef breeding and management systems to respond to current market changes Center for Teaching, Research and Extension in Tropical Animal Husbandry, Martinez de la Torre, Veracruz State,

3 Implementation of Salmonella eradication programs and practical application of non-antibiotic prophylaxis to zoonotic and avian-specific salmonellosis in commercial poultry Department of Poultry Science, and

4 Development of molecular probes for specific detection of viral, bacterial and fungal diseases of plants Institute of Biotechnology, Cuernavaca, Morelos State

This linkage stems from a natural connection between the state of Texas and Mexico and from long-standing relationships between the faculty of UNAM and Texas A&M, especially the Project Director, Dr G Gale Wagner It centers on an enthusiastic core of scientists on both sides of the border, partnered into working research groups The first objective concerns the Departments of Microbiology, and the work specified in the linkage proposal is essentially complete It has established a biosecurity lab at UNAM for the

study of tuberculosis and brucellosis The first goal is to devise monoclonal antibody diagnostic tests for these diseases to be able to identify infected cattle Work on the development of vaccines and the genetic resistance to treatments are an important target of the research Linkages researchers have been instrumental in establishing depositories for samples that possess genetic variants The research has formed the basis of workshops at Panamerican veterinary conferences and training sessions for some 60 Mexican state and district livestock extension supervisors The collaborators have drafted a bovine TB control and eradication program for Mexico that has also been adopted by a number of states within the US

This activity has a broad base of support among the faculty and administrations of both institutions Furthermore, during the first two years of the linkage, that base has strengthened In the beginning, there were four or five enthusiastic faculty members at either school who decided to form working partnerships Now, those at Texas A&M can count over 40 faculty who are directly or indirectly involved The number of departments affected by the linkage at Texas A&M has also expanded from its initial three to nine

A cattle and dairy research station, Martinez de la Torre, in Veracruz is the site of another linkage activity This one involves research and community outreach Computerization and analysis of genetic data has elucidated the effects of various cattle breeding crosses and production management systems on milk production Changes in production management alone can increase milk production by up to 100 percent UNAM is setting up demonstration farms as an extension service

A vigorous partnership between the faculty of the Departments of Poultry Science is leading to progress in eradication of salmonella and in minimizing the effects of the "ascitic syndrome " One aspect of the program for the prevention of salmonella is an evaluation of the efficacy of various natural compounds, such as plant extracts One of these is capsaicin, which is an extract from paprika pepper seeds, a plant source of which Mexico has an abundance Other research concerns the use of immunoprophylaxis of lymphokines against these pathogens The "ascitic syndrome" kills poultry Chickens raised at higher elevations, such as in Mexico, are particularly susceptible Although little applied research has been done to reduce the problem, genetic selection promises significant reduction in mortality and production costs

The work with Tilletia is being done at the Institute of Biotechnology in Cuernavaca This state-of-the-art research facility has dozens of researchers working in a number of fields Before this linkage activity, however, no work had been conducted in Mexico with this organism, it causes smut and bunt fungal diseases in wheat and rice Until now because of unavoidable delays in obtaining research equipment and supplies, progress toward the development of DNA molecular probes for the detection of Tilletia has been slow

The strong relationships between the US and Mexican colleagues and a high level of esprit de corps have stimulated high productivity As one Mexican said, "The linkage has allowed a loose collaboration to become tighter " In particular, the scientists at UNAM have achieved more than would have been possible without the linkage partnership The Mexicans have been able to garner additional funding sources for their programs by leveraging the USAID grant Furthermore, research results are impacting decision makers by providing information to make risk assessments The end result is to help make free trade safe trade

Additional examples of research undertaken by linkages include

- The linkage between **Washington State University (WSU)** and the **University of Jordan (UJ)** is focused on strengthening the capacity of UJ's Water and Environmental Research and Study Center to plan, conduct, and apply research on water and the environment The linkage also has important technology transfer and human resources development components By the end of 1994, the UJ, with linkage assistance in the form of training, technology, faculty exchanges and financing, had conducted applied research activities including an ambitious baseline survey of the Jordan valley and the Zarqua triangle, the "Ruseifah Landfill Water Monitoring Project," and studies of reuse of waste water for irrigation, the feasibility of using naturally occurring substances for water treatment, and the artificial recharge of storm water in the Azraq basin Linkage partners describe the benefits of the linkage as application of these and other research activities, strengthening of Research and Study Center, and increased competence in drylands environmental management on the part of faculty from both WSU and UJ

- The linkage between **Worcester Polytechnic Institute (WPI)** and the **Escuela Superior Politecnica del Litoral (ESPOL)** focuses on environmental, regulatory and development issues Research activities undertaken through the linkage include an assessment of social issues surrounding development of a new sanitary landfill in Guayaquil, Ecuador, an assessment of specific government regulatory and enforcement policies, industrial practices and environmental impacts, an analysis of development issues in rural communities adjacent to Guayaquil, and an analysis of air pollution caused by automobiles, related regulatory policies and enforcement The results of these research activities have provided the basis for more enlightened environmental, social and economic policies, primarily in the Guayaquil area In addition, the linkage has involved extensive student and faculty exchange programs which have enhanced internationalization of both institutions and improved faculty members' competence on a range of environmental and developmental topics The linkage is actively planning for sustainability by creating an "Inventory of Foundations for Funding Environmental Research, Development and Curricular Advancements," and by applying for funding for specific projects

- The linkage between **Jahangirnagar University (JU)** in Bangladesh and **Morgan State University (MSU)** has established a Human Resources Center at JU The center has undertaken surveys, studies, analyses, pilot projects and training in the areas of health, family planning, female education and economic development One example is that of an action research project where JU conducted a baseline survey leading directly to over 1,000 women being recruited, trained in small business development, and awarded collateral to form small enterprises This research and application demonstrated that self sustaining/income generating solutions to some of rural families' difficulties can be arranged through the use of rural women leaders in the informal sector In addition, the linkage has conducted collaborative research including a national household survey on female self-employment, analyses of the utilization of health care services by women, and analyses of factors differentiating fertility, infant mortality and family planning In terms of sustainability, a MSU commentator noted that the "linkage's revolving loan program with interest incomes,

its incremental capital accumulation by leveraging of funds from other donor agencies, and its joint grantsmanship [by JU and MSU] have all assured its sustainability"

Funding was the most frequently cited UDLP contribution to these research efforts Two other contributions, faculty exchange and technology transfer, were cited

Descriptions of the effects of these research efforts on developing country institutions of higher education included

- A heightened awareness of the issues involved in the research area,
- Improved research capacity and better grant writing skills,
- New equipment and technologies,
- Access to data, and
- The dissemination of research findings

For the U S partners, the effects of such research included

- The dissemination of information,
- The expansion of their research agendas,
- Participation in international efforts,
- Improved course materials, and
- The creation of models for future collaborative research efforts

At a broader level, linkage partners reported that collaborative research led to

- Publications,
- The involvement of other institutions,
- Further funding for research, and
- The enhancement of their institutional reputations

4 New/Expanded Outreach Programs Implemented

UDLP partners in both developing countries and the U S engaged in outreach programs that transferred knowledge and skills developed in university settings into community settings Overall, 64% of the linkage partnerships (18 of 28) were involved in outreach activities Outreach programs were identified as linkage objectives in the Cooperative Agreements of 16 partnerships Reports submitted by linkage partners indicated that in 15 of the partnerships that have this focus, outreach programs were proceeding as planned Three linkages reported delays or other difficulties due to lack of funding and/or limited availability of key personnel

The majority of UDLP-funded outreach programs were located in the developing countries However, some U S examples were cited by linkage partners For the most part, linkage partners indicated that their outreach programs were new activities rather than efforts that built upon existing commitments Roughly half of the outreach programs carried out in developing countries were educational, while others focused on agricultural extension efforts and on regional or urban planning activities in local communities Still others focused on applied research, or on information and technology transfer Examples of the outreach programs that are being carried out in developing countries are cited below

Science and Technology Partnership for Industrial Competitiveness

Northwestern University and
Universidad Autonoma de Yucatan (UADY)
An Example of Community Outreach

"Credibility, image, and prestige " With these words, Dr Hernan Cruz summarized the intangible benefits that UADY has derived from their UDLP linkage with Northwestern University Spearheaded by the linkage, UADY crafted their "Yucatan Model" for extension services to the manufacturing community in the Yucatan Peninsula As Dr Cruz elaborated, "The reputation of this model has allowed us to get funds and to be the host of national meetings, thereby building the prestige of the University " The ultimate goal of UADY's activity is to help new businesses become established Although work toward that goal has only begun, the participants are already working toward building sustainability

The foundations of this linkage were laid in 1987 when representatives from the state government of the Yucatan went to Northwestern University to talk with members of CISST, The Center for Interdisciplinary Study of Science and Technology Created about 15 years earlier, CISST worked with investment promotion The representatives were interested in stimulating industrial development in the region through international industrial promotion and match-making programs Fernando Ponce, who was the Secretary of Economic Development, wanted to establish a business incubator CISST played a role in the creation of the incubator, El Centro de Desarrollo de Negocios Internacionales de Yucatan (International Business Development Center of the Yucatan), which promotes entrepreneurship and technological innovation in manufacturing and facilitates the creation of foreign operations in the region At about the same time that the Yucatan representatives went to Evanston, Illinois, UADY's chemical engineering faculty began an outreach to the local

businesses in association with the local chamber of commerce In 1989, they studied the needs of Mérida and its environs for the formulation of an academic program in Technical Management They ascertained a need for more skills training programs and in 1990 established a one and a half year degree certification program With this background, three principal players, Drs Atul Wad (Northwestern), Hernan Cruz (UADY), and Octavio Garcia (UADY) were brought together into a working relationship In 1991 a contract was formalized between the state of the Yucatan, Northwestern, and a Northwestern student, Thomas Vonk began interviewing local companies and developing case study research in association with UADY In 1992 this led to the beginning of the UDLP linkage Though CISST was disbanded in 1994, its work is continuing under the newly established Institute for International Entrepreneurship (IIE) established at the Northwestern University/Evanston Research Park

The linkage is enabling Northwestern University to collaborate with UADY in conducting the additional research needed to provide the foundation for expansion of the curriculum in technology management and of the outreach of the School of Chemical Engineering to local enterprises The mission of the School includes the training of professionals in chemical engineering, industrial chemistry, food science and technology, and technology management. The school also seeks to develop and adapt technologies to meet needs in its areas of specialty and services in response to community demand The linkage is supporting research in the Yucatan on the needs of technology-based enterprise, expansion of the curriculum to enable greater outreach to local businesses, and training of industrial management professionals, as well as direct outreach to develop local industry

In terms of the development needs of Mexico, the linkage is directed ultimately at the creation of globally competitive manufacturing enterprises that will contribute to national economic growth and foreign exchange earnings With the passage of NAFTA and an increased interest in business ventures in Mexico, this linkage is especially timely

- Consistent with its objective of promoting goat milk, milk products and meat in the family diet in Malawi, the linkage involving **University of Malawi Bunda College of Agriculture**, **Lincoln University** and the **University of Minnesota** has developed an extension program that is operational on a pilot basis in three villages As part of this effort, Ministry of Agriculture extension personnel and health volunteers have received training related to goat utilization and improved nutrition

- In Madagascar women in development activities are being supported by the **University of Toamasina**, which is linked to **Clark Atlanta University** These University-initiated activities have spread to a number of large villages and have lead to the mobilization of projects for women's groups in the Ministry of Population, Youth and Sports

- The **Institut Agronomique et Veterinaire Hassan II** in Morocco, in collaboration with **Utah State University**, has already been partially adopted as policy by the Moroccan government It is expected that this will lead to more environmentally and economically viable rangeland management

In most cases, the UDLP linkage supported outreach efforts in more than one way Four types of UDLP support for outreach programs were cited with about equal frequency planning,

including course development, materials and resource exchanges, faculty training and development, and workshops on seminars

As to the effect of these outreach programs on the participating developing country universities and colleges, a number reported a greater awareness of community needs and problems Outreach programs were viewed as creating living laboratories from which new course materials flowed They were also viewed as helping to enhance the reputation, in local communities, of higher education institutions

One example is that of the linkage between the **University of Nairobi at Kabete** and two U S institutions, **Pennsylvania State University** and **Tuskegee University** This linkage focuses upon infant and child nutrition and enhancing the economic status of women in two districts of Kenya The linkage's community based nutribusiness development program received strong and enthusiastic support from members of local women's groups, some of whom remarked that they had not known that the University was involved with such programs

Some UDLP partners indicated that outreach programs enabled them to raise funds, for example, to make a laboratory self-supporting From the perspective of U S institutions of higher education, participation in outreach programs in developing countries helped them to develop an awareness of developing country issues and improved their capacity to provide technical assistance Shared information and the expansion of research and other kinds of programs such as faculty and student exchanges, curriculum development, and new outreach programs were also reported to result from the involvement of U S institutions in outreach programs overseas

- One example of this is the child immunization outreach programs undertaken by The **École Nationale de Medicine et de Pharmacie** in Mali, the **University of Rochester** and **Columbia University** Focusing initially on immunization research and outreach in rural Mali, this linkage led to child immunization outreach programs in the Rochester area and in New York City This program also led to the development of new curricula focusing on child immunization at the three collaborating institutions

C Achievement of the Program's Primary Objectives

There are three aspects to be considered when assessing whether the UDLP is achieving its intended results based on the primary objective in the project paper These aspects include progress with respect to

- Institutional strengthening in partner institutions, particularly with respect to the capacity of developing country partners to meet development needs,

- Further internationalization of partner institutions, involving support for international programs, primarily those of U S universities, and

- Long-term sustainability of the linkages funded by the UDLP, including those programs undertaken jointly by linkage partners

In nine (32%) of the 28 linkages examined, at least one of the overall UDLP objectives was included in a Cooperative Agreement as a formal objective of the linkage Institution building was listed as a formal objective in two of the 28 Cooperative Agreements examined, six linkages cited internationalization as a formal objective of their Cooperative Agreement and two others considered sustainability of the linkage and the activities it sponsored to be an objective of their Cooperative Agreement Reporting on their progress to date, but without reference to explicit performance indicators only, one linkage reported delays with respect to its institution building objective and only two reported difficulties in achieving their internationalization objective, as did both of the linkages that had cited sustainability as an objective in their Cooperative Agreement

1 Progress in Strengthening Participating Institutions

In its Project Paper (PP) for the UDLP, USAID cited a number of specific needs of developing country educational institutions as part of the rationale for undertaking this project, including their need for help in "defining new roles, mobilizing public support and adequate financing, creating new organizational structures, improving their curricula, and strengthening their information systems "[5] Many of the outcomes that are being achieved by linkage partners contribute to the strengthening of these institutions, particularly those that focus on faculty development, library expansion and the acquisition of modern communications technologies

These achievements do not, however, tell us whether these institutions have become stronger as a result of their participation in the UDLP project To address the issue of institutional strengthening, two supplementary performance indicators were identified to include in the self-study instrument for this evaluation

- Changes in the reputation of linkage partner institutions or their programs, and
- Changes in the ability of linkage partners to compete for funding, both within and beyond the university community

For both of these measures, participating institutions were able to provide specific examples of the changes that had taken place as a result of their effort to improve institutional capacity

a Changes in the Reputation of Participating Institutions and Programs

In their responses to self-study instrument questions, several participating institutions cited specific changes in their reputation or image which they attributed to their involvement with the UDLP project Typical comments concerning the effect of linkage participation on the reputation and image of these institutions and programs include

- The **University of Massachusetts** and its Nepalese partner report that, in Nepal, the participation of **Tribhuvan University's Research Center for Educational Innovation**

[5] USAID Project Paper for the UDLP January 1991, p 3

and Development (CERID) has resulted in gains in that "organization's reputation among practitioners as a place to get resources for literacy and non-formal education work "

- Improvements in the library at the **University of Belize** that have occurred as a result of its linkage with the **University of Montana** have been significant The partners to this linkage report that "there is an acknowledgment on the part of libraries throughout Belize that the University library, along with the National Library Service, is in a key position to assume a leadership role for document delivery and interlibrary loan service as well as offering continuing education opportunities for the country's library workers "

During site visits, respondents described participation in the UDLP project as a force that helped to legitimize their programs

- At the **Universidad Autonoma de Yucatan**, the benefits of its technology-oriented linkage with **Northwestern University** were described as "credibility, image and prestige "

- The **University of North Carolina at Chapel Hill's** Project Director for its linkage with the **Indian Institute of Health Management Research (IIHMR)** told the evaluation team that the development of their **Executive Program in Health and Population for Developing Countries (EPDC)** would not have been possible without UDLP funding, "both because of the funding itself and because of the credibility it brought to the EPDC "

Changes in the reputation or image of an institution or program, of the kind suggested by these comments, tend to validate the UDLP project's expectation that the introduction of new technologies and operating systems, improvements in academic, research and outreach programs and efforts to develop faculty and student capabilities will lead to important changes in the institutions themselves, changes that are more than the sum of these parts

b Changes in the Ability of Participating Institutions to Compete for Funds

In a similar vein, improvements in the ability of institutions or programs to compete for resources demonstrate that fundamental changes are occurring in those institutions/programs That such changes occurred in most of the linkages studied powerfully demonstrated the impact and effectiveness of UDLP partnerships

In their responses to the evaluation's self-study instrument, 79% of the linkage partnerships (22 of 28) indicated that participation in the UDLP project had improved their ability to compete for funds both within and beyond the university community See Table 2-3 Four aspects of UDLP participation were credited in this regard

- Workshops and seminars on grant management and solicitation provided to linkage partners,

- Greater exposure to funding institutions,

- The development of coherent plans for the future, and

- A "jump start" on the kinds of activities that other funders were likely to take an interest in supporting, such as academic, research, and outreach programs

Table 2-3 Evaluation Data Includes Evidence of Progress in Meeting Project Objectives

Linkage Partners	*Linkages That Offered Evidence of an Improved Ability to Compete for Resources*	*Linkages That Offered Evidence of an Increased Institutional Support for International Programs*	*Linkages That Offered Evidence Concerning Linkage Program Sustain-ability*	*Linkages That Offered Evidence Concerning Development Impact*
Boston U Earth Watch Tribhuvan U (Nepal)	✓	✓	✓	✓
U of California at Davis Instituto de Nutricion de Centro America y Panama (INCAP)		✓		
Case Western Reserve Makerere U (Uganda)	✓	✓	✓	✓
Central State U U of Science and Technology (Ghana)	✓	✓	✓	✓
Clark Atlanta U U of Toamasina (Madagascar)			✓	✓
Harvard U Institute Nacional de Salud Publica (Mexico) U Eduardo Mondlane (Mozambique)	✓	✓	✓	✓
U of Iowa and Other Education Institutions in Iowa U of Ibadan and other state Universities in Nigeria	✓	✓	✓	✓
Iowa State U Prairie View A&M U of Costa Rica	✓	✓	✓	✓
Johns Hopkins U U of Benin U of Ilorin and the U of Maiduguri (Nigeria)			✓	
Johns Hopkins U El Colegio de Mexico				✓
Lincoln U U of Minnesota U of Malawi Bunda College of Agriculture	✓	✓	✓	✓
Morgan State U Jahangirnagar U (Bangladesh)	✓		✓	✓
Northwestern U (Illinois) U Autonoma de Yucatan (Mexico)	✓		✓	✓
U of Pennsylvania U of Tunis (Tunisia) U of Botswana		✓	✓	✓
Pennsylvania State U Tuskegee U U of Nairobi at Kabete (Kenya)			✓	✓

Linkage Partners	*Linkages That Offered Evidence of an Improved Ability to Compete for Resources*	*Linkages That Offered Evidence of an Increased Institutional Support for International Programs*	*Linkages That Offered Evidence Concerning Linkage Program Sustain-ability*	*Linkages That Offered Evidence Concerning Development Impact*
U of Rochester Columbia University Ecole Nationale de Medicine et de Pharmacie (Mali)	✓	✓	✓	✓
U of North Carolina at Chapel Hill U of Pennsylvania Pontifica U Javeriana (Colombia)	✓		✓	
U of North Carolina at Chapel Hill Indian Institute of Health Management Research	✓	✓	✓	
U of Florida Makerere U (Uganda)	✓	✓	✓	✓
U of Massachusetts Tribhuvan U (Nepal)	✓	✓	✓	✓
U of Montana U of Belize	✓	✓	✓	
Utah State U Institut Agronomique et Veterinaire Hassan II (Morocco)	✓		✓	✓
Washington State U U of Jordan	✓	✓	✓	✓
Worchester Polytechnic Institute Escuela Superior Politecnia del Litoral (Ecuador)	✓	✓	✓	✓
Yale U U De Chile Diego Portales University			✓	✓
Number of Linkages for which Evaluation Data on Performance Exists	**21** *(75%)*	**19** *(68%)*	**24** *(86%)*	**22** *(79%)*

Typically, the responses provided by linkage partners identified specific funding opportunities that would not have existed had it not been for the participation of these institutions in the UDLP project For example

- Participation in the UDLP project by **Jahangirnagar University** and its partner **Morgan State University** is credited by the linkage partners with generating additional grants, including one from the Canadian International Development Agency (CIDA)

- The National Health "Burden of Disease" study carried out in Mexico by the **Instituto Nacional de Salud Publica** and **Harvard University** under the auspices of the UDLP project was credited by the linkage partners with helping to generate additional funding from the Mexican Health Foundation and other sources

- The National Health "Burden of Disease" study carried out in Mexico by the **Instituto Nacional de Salud Publica** and **Harvard University** under the auspices of the UDLP project was credited by the linkage partners with helping to generate additional funding from the Mexican Health Foundation and other sources

Other participating institutions reported similar experiences, suggesting that for the majority of linkage partners, the overall effect of participation in the UDLP project is a positive one Participation in this program is helping these organizations to leverage the resources they have by attracting additional resources

2 Progress with Respect to the Internationalization of Participating U S Institutions

Support for "internationalization," involving increased institutional support and the development of self-sustaining international development programs in the U S university community, is an important element of USAID's rationale for the UDLP project At the time the UDLP project was developed, it was viewed by USAID as supporting "the internationalization of U S educational institutions by strengthening their faculty and the programs available to their students, and enhancing the quality and relevance of their research and extension efforts " It was not, however, viewed as being the only force supporting the internationalization of U S universities Internationalization was already well underway in many U S universities According to the PP, USAID wanted to accelerate internationalization and have developing countries play an important role in the internationalization process

Although it is difficult to attribute expanded international efforts in developing countries on the part of U S universities solely to the UDLP project, responses from 68% of the linkages examined (19 of 28), suggest that program participation is having impact in this regard Providing an overview of the impact of UDLP linkages on the internationalization of U S universities, **Central State University (CSU)**, which is linked with the **University of Science and Technology** in Ghana, reported that

> *"The linkage grant has catalyzed a flurry of activity in international education CSU has now held four international conferences for educators and small businesses, the last of which was held in Accra, Ghana Two years ago CSU was funded as a Center for African Studies "*

An overview provided by **Lincoln University**, which is partnered with the **University of Minnesota** and **University of Malawi Bunda College of Agriculture** reports similarly

> *"Of all the international activities and projects that Lincoln University has engaged in over the last 15 years, this project has been more successful in the involvement of scientists, students and administration than any other One reason is the focus of the project, which is, in simple language, "Save the Starving Children " Another reason is the 5-year duration which gives enough time to develop, implement and report the findings of the project The information has been shared in the U S through newsletters, news releases, radio interviews, and international publications Knowledge throughout the campuses in all three locations is broad, and the project*

is known beyond the campus as well Students and faculty are interested in international activities and the inclusion of such information in the classroom "

From the developing country perspective, language skills reportedly stands in the way of full internationalization in U S institutions according to the Mexican partner in a three-way linkage that partners the **Instituto Nacional de Salud Publica** with **Harvard University** and with **Universidad Eduardo Mondlane** in Mozambique The latter institution stated

"The most important barrier to international linkages we found was the language barrier in U S institutions Specifically, our U S colleagues could not teach a class or give a seminar in another language "

a Expanded Faculty Involvement in Overseas Development

In the SOW for this evaluation, USAID suggested that the "internationalization" of participating universities could be assessed by using four specific measures, including

- Increased faculty expertise,
- Expanded instruction,
- Expanded faculty involvement in overseas development work, and
- Increased institutional support for internationalization

As noted in Section One, most of these measures can be seen as preconditions which are being provided or improved through linkage results Accordingly, the first two of these suggested measures were already discussed, as achievements and are summarized in Table 2-1, which deals with academic programs, and Table 2-2, which deals with faculty and student development through exchange programs and other training opportunities Data on the last two of the measures cited above are presented in the following paragraphs Expanded faculty involvement appears to be more of a linkage result than a strict measure of its impact

Expanded faculty and student participation in international development work was reported by 93% of the linkages (26 of 28) Exchanges of faculty and students were the most frequently cited vehicles for increased involvement in development work, with 13 institutions indicating that they were using this approach Joint research was also a common means for increasing involvement in development work, with seven institutions citing this modality The main contribution the UDLP provided for these efforts was reported, by 64% of these linkages (18 of 28), to be funding Examples of the kinds of exposure faculty and students are providing through UDLP efforts include the following

- Under the UDLP linkage that links **Utah State University** and the **Institut Agronomique et Vétérinaire Hassan II in Morocco**, five U S university faculty members made their first trip to Morocco The trip forged linkages for collaborative research and follow-up student exchanges The involvement of faculty in such development related research activities

brought a greater understanding of international issues into their teaching programs Linkages often have spin-off activities beyond the academic arena Thus one result of the professional contact that occurred in this linkage has been the collaboration in the development of a Museum exhibit on Moroccan art that opened in Utah in April of 1995

- As part of its effort to initiate small nutribusiness projects in Western and Central Kenya, the **University of Nairobi at Kabete** which is linked with **Pennsylvania State University** and **Tuskegee University**, is involving U S faculty and students in efforts to conduct rapid multidisciplinary appraisals and baseline community surveys Two Pennsylvania State University students have applied for Fulbright Fellowships to enable them to continue working with the nutribusiness projects being developed through the UDLP linkage

In addition, the exposure of non-project faculty and students to international development as a result of UDLP activities was reported by 68% of the linkages (19 of the 28) Describing the participation of faculty and students who might not otherwise have been exposed to international development, the partners in these linkages cited faculty and student exchanges, seminars and course work as the main avenues through which such individuals became involved For example

- The **University of Florida**, which is linked to **Makerere University** in Uganda through the UDLP project initiated a lecture series in the Spring of 1994 that continued through the 1994-95 academic year on the "Transition to Constitutionalism in South Africa" This lecture series brought prominent authorities to Florida to lecture on the constitutional changes occurring in South Africa The lecture series engaged the public as well as the academic community, including neighboring "historically black" colleges and universities Lectures have stimulated faculty and student interest in exploring constitutional issues and various aspects of democracy in greater depth Lectures presented in this series will be published by the Center for African Studies and the University Press of Florida

While some partnerships are finding that it is relatively easy to expand involvement in linkage activities beyond their original department or program, site visit data indicated that the ease with which this occurs may depend upon the substantive focus of the linkage program Where it was narrowly focused, the linkage may not readily foster the expansion of international activities to additional parts or faculty of the University that had not been previously involved

b. Increased Institutional Support for Internationalization

Institutional support for international programs within U S and developing country universities and colleges is considered by USAID as well as by the UDLP project's linkage partners to be a key indicator of the likelihood that efforts to expand international activities will survive and flourish Data on internationalization in U S universities provided by the evaluation's self-study instrument is consistent with the picture drawn from site visits to a number of U S partner institutions

Increases in institutional support for international activities were identified by 68% of the linkages (19 of 28), as Table 2-3 shows Each of these partnerships report that some of their activities have this aim For colleges and universities with little previous international experience,

the UDLP project can open the door to international contact However, when a U S university, or a participating school within a U S university, is already committed to a mission of international programs, the UDLP is less likely to influence that institutional commitment Instead, the UDLP tends to broaden the dimensions of that commitment by augmenting the number of people and academic fields engaged in international work Equally true is the fact that UDLP grants can do little, in and of themselves, to bring about change in those relatively rare situations where a university or college is disinterested in, or somewhat hostile to, internationalization

The most frequent indicator of increased support offered in the reports UDLP partners provided was university involvement, beyond a minimal level, in the linkage itself Seven of the 19 linkages that reported on this dimension identified actions that they felt indicated increased support stemming from increased institutional participation in the linkage arrangement For example

- In connection with the linkage that brings together **Virginia Commonwealth University (VCU)** and **Hasanuddin University** in Indonesia, VCU's President made an official visit to Hasanuddin University and other sites in Indonesia VCU's President was also personally involved in the establishment of the University's Center for International Urban Management

- At **Iowa State University (ISU)**, which is partnered with **Prairie View A & M** in the U S and with the **Universidad de Costa Rica** and the **Universidad Nacional, Costa Rica**, institutional support for the linkage involves a "professor in residence" program and a program that allows ISU faculty members to engage in activities in Costa Rica while remaining on salary from their departments

In other institutions support for international activities took the form of faculty training, the inclusion of an international focus in the curriculum, and contacts with developing country institutions beyond those which were partners in the linkage program

Institutional involvement in the UDLP project can grow considerably during the course of the linkage partnership, as was shown during the evaluation site visits to the linkage between **Texas A&M University** and the **Universidad Nacional Autonoma de Mexico** In discussing this linkage, the evaluation team noted that in the beginning, there were four or five enthusiastic faculty members who decided to form working partnerships Now, those at Texas A&M can count over 40 faculty who are directly or indirectly involved The number of departments affected by the linkage at Texas A&M has also expanded from its initial three to nine

D The Steps Partners are Taking to Make their Linkages Sustainable

In its description of the award procedures that would be used to select linkage partners with whom USAID would enter into Cooperative Agreements, the UDLP Request for Assistance guidance indicates that 60 of the 200 points a proposal could earn for its linkage program design were to be assigned to demonstrating how the universities and colleges involved would sustain the linkage beyond the five year period during which USAID would provide "seed" money Sustainability remains an important issue for the UDLP project

Evaluation data from this study indicates that UDLP linkage partners understand the importance of actions that will lead to sustainability for their programs Most are engaged in such actions and a number of them are successfully raising funds that will support them after USAID funding ends What is not clear is whether these funds will be sufficient, in all or even most cases, to sustain and expand the momentum of these linkages and their programs

In the SOW for this evaluation, USAID suggested that sustainability could be measured in terms of

- Achieving the linkage objectives in ways that provide the linkage participants incentives for continuing the activity beyond the USAID funding period,
- Expanding the scope of the linkage and its programs, and
- Improving the quality and strength of the linkage

The most independent of these three measures is the second, particularly when it is understood to include an expansion of the sources of funds that support a UDLP linkage In addressing this topic, the evaluation did not query linkage partners separately about each of these measures of sustainability, rather it simply recorded what linkage partners say they are doing to ensure the sustainability of their efforts after their UDLP funding ends

In describing the steps they were taking to ensure the sustainability of their linkages, developing country and U S partners in 96% of the linkages examined (27 of 28) identified steps that were being taken to obtain additional funding from other sources, as Table 2-3 suggests Both partners also described actions that focus on maintaining and expanding the momentum of the linkage activities, such as

- Implementing plans that have already been developed as well as developing longer range plans,
- Bringing more faculty and students into active contact with linkage program activities,
- Fostering support for the program among the university's leadership ranks, and
- Taking steps to engage other academic institutions and local communities in linkage program activities and to bring benefits to these groups

In their descriptions of the steps being taken to ensure sustainability, developing country partners identified fund raising steps more frequently than their U S partners who put a greater emphasis on steps that build on the linkage program's momentum In many cases, linkage partners identified one or two ways in which they had already raised funds for the program The majority of these descriptions cited other donor contributions A few mentioned contributions from the university itself Only occasionally were fees cited as ongoing methods of raising revenues for the continuation of linkage programs

While external grant funding is essential for sustainability, site visits indicate that other factors can be equally important In academic programs such as the **Executive Program in Health and Population for Developing Countries (EPDC)**, a joint endeavor of the **University of North Carolina at Chapel Hill** and the **Indian Institute for Health Management Research**, the dominant issue for sustainability is enrollments In order for this program to be entirely self-sufficient, it needs to enroll 25 full-time students or their credit-hour equivalent each year The first two EPDC classes have averaged about half this number as a function of the lack of qualified candidates rather than a lack of funding

The sustainability efforts cited by linkage partners, whether they involved direct financing, indirect financing, material support, enrollment assistance, promotion activities or other efforts, fell into the areas described below It is important to note that most linkages' sustainability efforts involved work in several of these areas

- Most frequently cited were efforts to institutionalize some or all aspects of linkage programs within the participating institutions, with an institutional commitment to maintaining the programs whatever the source(s) of future funding Examples of these kinds of efforts included the U S partner extending a faculty appointment to an individual from the developing country partner with the understanding that he/she would continue some linkage activities, soliciting advice and support from senior faculty and administrators at partner institutions, and establishing distinct programs in one or both of the partner institutions in areas such as African Studies, Health Education, and various kinds of research Typically, these programs involved student and faculty exchanges as well as other joint efforts

- Cited almost as frequently was soliciting or obtaining assistance from bilateral and multilateral donors including USAID, the United Nations and the governments of other developed countries (such as Switzerland, Sweden, France, Germany, Japan and the United Kingdom) It is worth noting here that many developing country partners saw their development of the capacity to effectively compete for such funding as an important contribution of the linkage

- Cited less frequently were efforts to obtain support from other universities in both developed and developing countries, development of support relationships with local, regional or national governments and efforts to develop private sector support

In response to questions on the self-study instrument, partners in 57% of these linkages (16 of 28) indicated that they believed their linkages would be sustained beyond the period of UDLP funding While these linkage partners expressed a fairly strong degree of confidence about the continuation of their linkage arrangement, the universities and colleges involved did not necessarily believe that they were currently doing enough to sustain their linkages Only eight linkages reported that the steps they are already taking are sufficient to ensure their sustainability Other linkages indicated that more needs to be done to ensure long-term funding for their activities and to sustain the momentum of their programs

Information gathered during site visits to institutions participating in eight of the UDLP linkage programs provides a somewhat richer and more complex view of the sustainability prospects

of various linkages Insights from the site visits, which are summarized below, complement self-study responses

- The first thing that emerges from a review of site visit data is that sustainability issues are dealt with in very different ways by, on the one hand, institutions with significant resources and fundraising experience and, on the other hand, by institutions with limited budgets and fundraising experience Institutions which fall into the first category, because they are generally well endowed and used to obtaining resources in a variety of ways, have less difficulty in programming ongoing support for linkage activities Institutions which fall into the second category, because they have limited financial resources and very little experience in fundraising for specialized programmatic purposes (particularly in the international donor environment) are much more at a loss as to how to sustain linkage activities

- Institutions in the first group, which do not envisage difficulty in obtaining ongoing funding, see the central sustainability questions as continuing need and perception of benefits For these institutions, the two key questions are, "Do we need to continue the linkage?" and "What are the benefits of the linkage?" In some instances, developing country institutions of higher education eventually acquire all of what they require from a U S partner to sustain the program the linkage helped to initiate Unless such partnerships can develop a new or evolving raison d'être they will not be likely to survive, even if funds are easy to find

- For institutions in the second groups, funding for the linkage program is the central sustainability question Without new sources of funds, some partners in these institutions believe that their linkage cannot be sustained Other such institutions, either from a more philosophical perspective or because they find funding questions to be relatively easy to deal with, believe that if personal relationships are strong, linkages will continue in spite of apparent financial difficulties Good linkages, these partners believe, roll readily from one source of funds to the next and sustain themselves in other ways during periods when there is no source of funds to underwrite them

Site visit data suggest that the sustainability question is a multi-layered one that, to some degree, can be examined one layer at a time Important questions include

- Are the personal relationships so strong that they will keep going, irrespective of whether the funding for joint efforts is readily available?

- Is it easy or difficult for the institutions involved to generate funds?

- If the initial objectives of the linkage are achieved, does this signal a natural termination point to the linkage or a continuation?

The concept of layers of sustainability that emerges from site visit reports differs slightly from the notion of elements put forth in USAID's 1992 workshop report on the sustainability of the UDLP project So do the data from self-study instruments which show that linkage partners focus their sustainability efforts along a fairly narrow band of activities In the 1992 workshop report, seven components of sustainable linkages were described as

- Perceived mutual benefits,
- Responsive planning processes,
- Multiple funding sources,
- Broad institutional commitment,
- Strong outside relationships,
- Effective communications, and
- Cultural sensitivity

This evaluation has shown that

- The issues of perceived mutual benefits, adequate funding, and institutional commitment are keys to the sustainability equation for the majority of linkages and their importance is best understood, at least in part in terms of the concept of "layers of sustainability" described above The number of sources appear to be less important than the presence of reliable funding, be it from one or multiple sources Institutional commitment functions in much the same way What appears to be most important is that commitment exists, however narrow or broad its focus In fact, there is some tendency for linkages to focus quite narrowly
- As Section 2, Part I, A shows, responsive planning, effective communications and cultural sensitivity are important aspects of effective linkages and thus are necessary preconditions for sustainability However, they are not among the criteria which contribute most directly to sustainable linkages
- Strong outside relationships, though desirable and perhaps essential to the most broad-based linkages, are not perceived as a key to the sustainability of most linkages

Given the diversity of institutions that are involved in the UDLP project, development of a single model for sustainability of linkages would not be appropriate Functionally, the important thing to take away from information provided by the evaluation about the sustainability of linkages is neither how many are likely to make it, nor a revised list of elements that define sustainability What is important is the recognition that achieving sustainability requires different things at different kinds of institutions The analysis above is cast entirely in terms of tendencies among the 28 linkages For a given linkage, the three keys to the sustainability equation described above might not be most important For some linkages, objectives and potential benefits are clear, working relationships function smoothly and funding is the key to sustainability For other linkages, funding is available but the level of anticipated benefits and institutional support is less clear Some linkages are highly dependent on personal relationships Given this range of experience, a single sustainability model would be misleading

Conclusions Regarding the Achievement of UDLP Project Objectives

1 Information on the achievement of UDLP project impact objectives by individual linkages is not sufficient to make sweeping statements Most linkages do not include these objectives in their Cooperative Agreements As a result they do not consistently report on performance in these terms To the degree that they do, it seems to occur more in connection with annual meetings between the university community and USAID than in required quarterly and annual reports from linkage partners When linkage partners are asked about such matters, as they were in evaluation site visits, they can often provide answers, but the answers they provide are not necessarily reflected in linkage partnership files

2 Most linkages operate as if the three components of the UDLP project objectives are important, even if they do not specifically list these components as objectives in their Cooperative Agreements There is enough activity on the components of institution building and internationalization to ensure that USAID's intentions are reflected in individual linkages As regards sustainability, most linkages are trying to find supplementary funding sources, being very aware that the period of USAID funding is finite **What is missing at this level is not action, but rather systematic reporting by individual linkages about the results of such action**

Recommendations Regarding the Achievement of Program Objectives

1 While a USAID intervention that would require linkage partners to adopt objectives that are consistent with the UDLP project's overall objectives is not considered appropriate, neither is it appropriate for certain aspects of program achievement to be left to chance As part of the collective decision-making process resulting in guidelines for objective setting, particular attention should be paid to the sustainability of linkages USAID should raise the question of mandatory reporting on sustainability with the university community Unilateral action to institute such a requirement is not advisable, however, as it could undermine the partner independence that makes this program unique What needs to occur instead is to have the university community accept the problem as their own and devise a solution that ensures that sustainability is being monitored systematically by linkage partners One approach to promoting university interest in reporting on sustainability on a regular basis might involve a promise to share "lessons learned" with each other

2 Despite the considerable time that USAID and the university community have devoted to the development of indicators and lists of components of the three aspects of the program's objectives, the evaluation found that some of these performance indicators did not pass the test of being independent measures of results for the program Often they were restatements of the preconditions the project has suggested are necessary for achieving its higher objectives To rectify this situation, it is recommended that a short-term Task Force be convened, with members from USAID and from the university community, to address this issue As a first step in this process, USAID should bring in someone from the staff of its Human Capacity Development (HCD) Center to brief Task Force members on the independence of measures issue and to share with them materials from other projects that are pertinent, for example, independent measures of institutional capacity development and

sustainability developed in other contexts by HCD or the Global Bureau New indicators developed by the Task Force could be submitted to the university community for approval

E Progress in Achieving the Program's Overall Objective

In its Project Paper rationale for the UDLP project, and in the SOW for this evaluation, USAID stated that "effective public and private institutions of higher education in developing countries are essential to support the education, research and public service needs of their societies and to achieve sustainable economic growth in a rapidly changing global environment "

As noted at the beginning of this section, none of the 28 linkages cited changes or improvements in the developing countries in which UDLP partner institutions are located as major objectives of their Cooperating Agreements As a result, evaluative information on this topic comes from the self-study instrument and site visit interviews rather than from reports on file at the UDLP's project office in Washington Nevertheless, when taken together, the examples this data provides offer a reasonably clear demonstration of the fact that UDLP linkage programs can result in the development or expansion of a developing country institution of higher education's capacity to address its country's development problems Two good examples of this come from Nepal

- In Nepal, there is a tremendous need for effective primary health care in rural communities The linkage between **Boston University (BU)** and **Tribhuvan University (TU)** is helping to meet this need by developing and implementing graduate programs for health care providers in the TU Department of Community Medicine Through these and other efforts to strengthen this department, the linkage expects to make a lasting contribution to rural health care in Nepal

- 64% of Nepalese adults are illiterate By establishing a National Literacy Center, the partnership between **Tribhuvan University** and the **University of Massachusetts** has met this problem head on The center has undertaken needs assessments, developed training materials, and begun a series of literacy training programs

Questions asked in the self-study instrument about the long-term impact of academic, research and outreach programs undertaken by linkage partners illustrate the way in which UDLP project achievements are having an effect on the program's overall objectives This is particularly true for research and outreach programs implemented by linkage partners, as responses identified in Table 2-3 (from 79% of the linkages or 22 of 28) indicate

Operational research carried out under the UDLP linkage arrangements is having a discernable impact beyond the university setting in several instances, such as

- An urban wastewater management research project is being undertaken by the **Escuela Superior Politecnica del Litoral**, in Ecuador, as part of its cooperative effort, under a linkage with the **Worcester Polytechnic Institute**, to assess social issues surrounding the development of a new sanitary landfill in Guayaquil, Ecuador The impact of this research, which will be presented to the Municipality of Guayaquil, will come as a result of the data base developed concerning the meteorological and air pollution parameters for the

commercial and industrial sectors in Guayaquil To date, there is no accurate and reliable information regarding the city's air pollution problems This UDLP research project will provide the city with a means for monitoring emissions pursuant to implementing regulations to control industrial and vehicular emissions

A further example is provided by the following case example

Case Western Reserve University and Makerere University
An Example of Development Impact

Makerere University, once a premier institution of higher education in colonial Africa, has faced numerous setbacks in educational quality during the two decades of civil war in the country It has a proud tradition of academic medicine and previous graduate programs in public health The University is struggling on the road to recovery as is the country of Uganda itself Faced with the AIDS epidemic and the outbreak of tuberculosis, the health needs of the country are enormous The new government established in 1986 has made a strong case, accepting the 1978 Alma Alta Goal of health for all by the year 2000

The partnership that emerged between Case Western Reserve University and Makerere University's Institute for Public Health developed from the experience of collaborating together over a four year period on Uganda's urgent public health needs In the linkage the institutions are concentrating on curriculum development and faculty enhancement at the Makerere University Institute of Public Health and the Department of Nursing

The linkage partners have worked toward a true partnership in carrying out all aspects of the linkage, from the writing of the proposal to planning the various courses of action as related to it Since the linkage has been operational, the partners have sponsored a bilateral research conference in Uganda, opened a computer center for the Institute of Public Health and produced a public health management manual for use in training in the public health curriculum All of these things are believed to have contributed greatly toward the reopening of the Masters of Public Health curriculum The interaction between the Ministry of Education and the Ministry of Health has improved because of the linkage and the capacity of the Makerere University to meet the needs of its country has been strengthened

The impact that the linkage has had on the Center for International Health at Case Western Reserve has been rewarding Case Western has had its School of Nursing in primary care funded In year two of the linkage Case Western received funding for an additional two years to study the epidemiology of AIDS and tuberculosis, a major portion of which will be with their Ugandan linkage partner Several other smaller projects have been funded and carried out during the linkage which include faculty from various other units and adds diversity to the linkage Case Western Reserve has recently received 18 5 million dollars from NIH for a five-year period to continue the AIDS and tuberculosis research Ugandan visitors have enriched the academic community by their presence in the Center for International Health at Case Western Because of the visibility of the University Development Linkage project on the campus, the center and its staff are looked upon as the leaders of international efforts at the university A major focus of this Linkage was to build on pre-existing collaborations, strengthen and enhance their continuity, and extend them to meet Uganda's public health need A response to this effort can be summed up in the words of the Director of the Institute of Public Health at Makerere University when he said "we are now directly contributing to the health of our people "

Outreach programs are also having developmental effects, as the following examples suggest

- In Ghana, an outreach program that evolved from the linkage between **Central State University** and the **University of Science and Technology** in Ghana is drawing children into the science laboratory and awakening their interest in science and computers Begun in 1994, this activity uses product development to help junior high school students relate science to everyday activities One result has been the invention of a fu-fu (manioc flour -- the staple starch in most of the country) making machine which, using very simple technology, can produce flour more than 20 times as fast as the traditional method This is important because most women in Ghana spend at least an hour a day pounding manioc tubers into flour by hand to make fu-fu Available fu-fu machines are expensive and difficult to repair in rural areas Use of the linkage-developed machine, which can be built and repaired at the village level, relieves women of one of their most grueling daily tasks Widespread introduction of the machine, an objective which the outreach program is pursuing, would result in an increase in the quality of life for rural women and children In addition, the machine has potential as a product elsewhere in West Africa

- In Costa Rica, a linkage that involves **Universidad de Costa Rica, Iowa State University** and **Prairie View A&M** is leading to the improvement of cattle feedlots operated by the Montecillo Cooperative Through the UDLP, an educational tour of beef feedlots in Iowa was arranged along with collaborative seminars about how this technology could be transferred to Costa Rica Several feedlots have now been established by producers who participated in the study tour and faculty from the Universidad Nacional are working with these producers on marketing strategies

In the United States, outreach programs developed as part of the UDLP effort illustrate how linkages can stimulate a reverse flow of ideas and technical assistance One example of the way in which benefits from this program flow to the United States as well as developing countries is provided in the following pages It describes the way in which practical ideas have moved, through a UDLP linkage, from Bamako, Mali to New York City

An Example of Reverse Technology Flow The Impact of One UDLP Linkage on the Health Care Problems of New York City

The partnership that has emerged between the **University of Rochester, Columbia University** and the **École Nationale de Medicine et de Pharmacie** in Bamako, Mali is bringing new hope for a healthy life to children in New York City as well as to children in Sub-Saharan Africa

Focusing initially on the degree to which children in Mali were protected by immunizations from crippling childhood diseases, the linkage partners worked with the staff of Mali's National Immunization Center on a study that was designed to assess the coverage and effectiveness of Mali's existing immunization strategy The research that was undertaken also included an examination of strategies used elsewhere, such as the national immunization campaigns that had been successfully conducted in Turkey The findings of this study were used by Mali's National Immunization Center to reexamine and modify its immunization strategy

The study, and its utilization as a policy formulation tool, led Mali's Ministry of Health to highlight the linkage program as one of the major operations research activities in health in that country

When word of the linkage program's success in identifying options for improving immunization coverage in Mali reached health officials in New York City, discussions began concerning what emerged over time as a reverse technology flow Columbia University faculty met with the Department of Health of New York City to develop a collaborative project that began with the conduct of workshops on applying international public health practices to selected New York City health problems Funding to supplement the UDLP linkage was solicited and obtained from the Carnegie Corporation

With additional funding available, two Columbia University graduate students were engaged to organize the workshops and to help develop strategies for solving problems with immunization, tuberculosis control, and maternal and women's health issues Following the project plan, workshops with international participation helped to focus on these New York City health care problems In parallel, Columbia University medical faculty worked with the two graduate student linkage assistants to finalize data analysis and develop a presentation for a conference on "Shared Solutions" organized by the University of Rochester School of Medicine

Moving into an operational mode, Columbia University faculty, with the help of graduate assistants, worked with the New York State Department of Health staff and outreach workers in eleven community-based organizations to explore and document alternative social mobilization strategies Findings from this effort were documented and discussed with the community groups that had participated in this effort as a means of helping them to improve their outreach programs The results were also presented in several local, state, national, and international forums and were accepted for publication in the American Journal of Preventive Medicine, which intends to publish a special issue dedicated to collaborative research

Within New York City, the Columbia University participants in the linkage program extended their community involvement by working directly with the Vanderbuilt Clinic and the Harlem Hospital to improve the coverage and effectiveness of their immunization and maternal health care programs The use, in the New York City community served by the Vanderbuilt Clinic, of home-based health records was a particularly well regarded innovation resulting from these efforts

The involvement of the U S partners with the UDLP linkage in this important reverse technology flow has been highlighted as part of USAID Administrator Atwood's "Lessons Without Borders" initiative and a cable was sent to all USAID Missions citing it as a model The program has also been commended in the United States by Vice President Al Gore

In another section of the self-study instrument, respondents were asked to comment directly on the effect of the linkage program on the capacity of developing country institutions to meet the development needs of their societies Of the 28 linkages examined, 79% (22 of 28) provided answers to this question Their answers indicate that the degree of influence that participating developing country institutions have on the development problems facing their countries varies widely The following examples describe different types of influence

- In Mexico, the impact of the UDLP project on the capacity of the **Instituto Nacional de Salud Publica** to address its country's needs is both strong and visible The National Burden

of Disease study undertaken through the UDLP partnership contributed directly to a major health policy study that was completed in 1994 and approved for implementation by the newly elected government in early 1995 The analytic capacity required to perform similar functions in the future has been established within the Mexican institution

- In Bangladesh, a linkage that involves **Jahangirnagar University** and **Morgan State University** is implementing demonstration projects on self-sustaining family planning, primary health care, female education, and income generation that are contributing to the achievement of the country's development goals The program has also helped by delineating the strengths and weaknesses of various rural development programs in the country

- With the support of the UDLP linkage program and direct assistance from its U S partners **(Sinclair Community College, Eastern Iowa Community College District, Community Colleges for International Development and the Center for Vocational Education)**, the **Madras University Center for Vocational Education** had organized, financed and provided significant support for approximately forty vocational education courses during the twenty-one months prior to this evaluation More than 1,600 students took those courses, which ranged from one day to six months in length Of the students who entered these courses from among the unemployed, roughly 35% are estimated by the program's director to have found employment

These examples illustrate some of the ways in which linkages are having a direct impact on development problems

Conclusions Regarding the Achievement of the UDLP project Overall Objective

1 In USAID terms, overall objectives of the UDLP project are quite conventional USAID is quite accustomed to undertaking projects which build institutions that in turn bring about development-relevant results The problem is that while many linkages are involved in outreach programs, it is also perfectly clear that development impact is not the organizing concept that was used by linkage partners to define their program of objectives and activities Institutional development comes much closer to being the organizing principle at work here

2 At the time the UDLP project was developed, only a few models of success had been defined for USAID programs, and almost all of them viewed development impact as the final objective of USAID's work Today, other models of success are evolving USAID's New Partnership Initiative is one example Within the framework of this initiative, the development of strong partnerships between non-governmental entities in developed and developing countries is seen as an end in itself If enough such partnerships are established, in enough fields, with enough independent resources, the number of tasks that donor organizations are asked to address may decline

3 Had the New Partnership Initiative existed at the time the UDLP project was developed, some objectives might have been formulated differently Even as it stands today, the program offers a potential model for how USAID can step away from a programmatic area

in a positive and productive way While not abandoning the field of higher education, USAID has, in the UDLP project, reduced its control over sub-project design in favor of having linkage partners accept a greater degree of responsibility for outcomes and the sustainability of their efforts In addition to reflecting the intent of USAID's New Partnership Initiative, the modus operandi for this program is also consistent with the intent of USAID's reengineering efforts, which emphasize results-oriented management

Recommendations Regarding the Achievement Overall Program Objectives

1 USAID and the university must consider together the appropriateness of the overall objectives of the UDLP project, including the impact that the total program, over ten years, is likely to have If objectives are viewed as having continuing validity, a serious effort to develop performance indicators that all partners can use to systematically ascertain whether and to what degree UDLP's overall objectives are achieved may be needed If it is not appropriate, the university community and USAID should, together, define new objectives and USAID should modify the activity accordingly Should new objectives be devised, appropriate performance indicators should still be developed so that results can be captured more consistently

Part Two· Supplementary Evaluation Findings

In addition to addressing questions in the evaluation SOW about UDLP project performance in terms of the project's stated objectives, the evaluation team examined several other issues of interest to USAID including

- The validity of several hypotheses that are imbedded in this program,
- The adequacy of the information USAID is receiving on this project from its linkage partners, and
- The appropriateness of the project's design to its purpose

This subsection briefly reviews the evaluation teams' findings with respect to each of these issues

A The Validity of Program Hypotheses

In its evaluation SOW, USAID identified six hypotheses or operating principles that are embedded in the UDLP project design One task of the evaluation was to review the validity of each of these hypotheses This task was incorporated into the procedures for the eight site visits conducted during the evaluation, but not explicitly into the self-study instruments that partners in the 28 linkages were asked to complete As a result, the impressions provided with respect to each of these propositions are derived primarily from the site visit cases Data from the broader set of 28 cases was used only secondarily In the paragraphs below, each of the hypotheses included in the report is presented along with the impressions concerning these hypotheses

Proposition *Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training*

Data from the evaluation is largely supportive of this proposition Of the eight linkages examined through site visits, all but one were involved in programs that included an applied research, specialized training, or public service element In addition, data from the full set of 28 cases examined indicated that 18 of these linkages included an outreach element, and the majority of linkages focus, at least to some extent, on constituencies beyond the linkage partners themselves

89% (25 of 28) of the linkages were involved in the development or expansion of research activities Of these, 23 linkages or 82% of all linkages studied were involved in research programs which had an applied orientation in the sense that they were either applied directly through outreach activities by linkages or were designed for future application A partial list of research topics conveys the richness and diversity of these activities

- Women's health and sterilization,
- HIV/AIDS,
- Non-communicable disease risk factors for rural children,
- Rural health care research leading to joint development of a primary health care manual,
- Classification of water quality leading to sewage system design,
- The role of local political organizations in economic and social development,
- Quality improvement in healthcare,
- Health, family planning and poverty alleviation strategies,
- Self-sustaining income generation,
- Literacy education and its relationship to AIDS awareness and the environment,
- Beef breeding management systems development,
- Immunization service delivery, and
- Urban waste water management

For additional information on research conducted through linkages, see New and Expanded Research Programs in Section 2, Part II, B3

Of the 18 linkages involved in community outreach activities, 36% (10 of 28), conducted education programs in a diverse set of areas such as small business development, maternal and child health care, automobile repair, and literacy Other outreach activities involved community development planning, agricultural extension, and technology transfer (For additional information on linkage outreach programs and an illustrative set of detailed examples, see Outreach Programs Implemented in Section 2, Part I, B4)

Proposition *New information technologies, such as e-mail and Internet, are changing the basis of technical assistance*

Improved information technologies played a role in 93% (26 of 28) of the linkages studied New computers, printers and modems were installed, primarily in developing country partner institutions, by 71% (20 of 28) of linkages E-mail, Internet and other communications software were put in place by 61% (17 of 28) of linkages Fax machines were installed in 39% (11 of 28) of linkages and computer data base access was improved in 29% (8 of 28) of linkages The primary effects of these technologies were reported by the linkages to be improved communications, more efficient and effective research, and more efficient production of documents

Despite this preponderance of new information technologies put into place by linkages, data from the eight site visit cases offers only modest support for the proposition that such technologies are "changing the face of technical assistance " Although new technologies are being introduced, not all of the equipment works as planned and there are several sites where communications remain erratic Site visit data identifies another limit on the impact of technology on technical assistance -- the continued need for face-to-face communication In one linkage situation, one of the principal investigators from a U S institution has temporarily relocated overseas to ensure that face-to-face communication occurred and that the linkage program proceeded as planned

Data from the broader sample of 28 linkages echoes this assessment Although such technologies are being used by the vast majority (93%, 26 of 28) of linkages and most of these linkages report that their use has improved the efficiency and effectiveness of linkage activities, suggesting that an assertion that such technologies are "changing the basis of technical assistance" would be an overstatement This evaluation has shown that, particularly for linkages where partners had not developed relationships before the start of the linkage, there was no substitute for face-to-face meetings in helping to build relationships, develop common goals and understandings, and deal with difficulties

For more detailed information on the technologies used and their impact, see Operating Systems and Communications Improvements, Section 2, Part I, A2 For additional information on the limitations of technology and the importance of face-to-face meetings, see Management Support for Linkages, Section 2, Part I, A1

Proposition *It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work*

Data from the linkages visited offers a mixed picture In two linkages, the involvement of other departments with the U S universities in international work was already so pervasive as to

preclude any impact from the UDLP project In two other situations, the focus of the linkage was so narrow as to make it unlikely that any other departments would have a reason to become involved The remaining four linkages visited were, however, reaching out and involving departments that had not previously been involved in international work

Data from the broader set of 28 linkages also presents a mixed picture As inclusion of departments not previously involved in international development work was the exception rather than the rule for the linkages studied It is unclear as to whether "it is time" for the sort of expansion proposed However, it is clear from the evaluation that such expansion can have very beneficial consequences

For the majority of U S linkage partners the departments most closely involved with linkage activities had previous international development experience Linkage activities often involved expanding the scope of a pre-existing activity, applying old models to new regions or countries, or developing new relationships based upon earlier successes However, in a number of instances, inclusion of departments not previously involved in international development work was very effective

Proposition *Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustainable programs and structures*

The evaluation offers strong support for this proposition Arguably the four most successful of the eight linkages visited by the evaluation team involved pre-existing relationships and/or previous development efforts The same pattern is evident in the broader sample of 28 linkages One of the key factors in the success of linkages is building upon pre-existing relationships The criteria for "model" linkages described in Management Support for Linkages, Section 2, Part I, A1 are 1) frequent communications, 2) a high degree of respect on both sides, 3) steady leadership, 4) shared responsibility, and 5) collaborative budget allocation All of these criteria appear to be favored by successful pre-existing relationships Communications are easier not only because physical communications infrastructures have been established but because communications norms have been developed When relationships are ongoing, a degree of respect has also usually been established Typically, these relationships have been developed between small sets of individuals, setting the stage for steady leadership Finally, pre-existing relationships, evolving out of shared interests and needs, often lead to linkages involving shared responsibility, both in terms of objective setting and in terms of budgeting

Three successful linkages serve as examples

- The Science and Technology Partnership for Industrial Competitiveness linkage between **Northwestern University** and the **Universidad Autonoma de Yucatan** grew out of a series of collaborative industrial development projects in the Yucatan, with Northwestern participation dating back to 1987,

- Another example is that of the professional relationship between two professional colleagues from **Sinclair Community College** and Madras, India This relationship, which began in 1989 when the Indian colleague was a Fulbright scholar in the U S , evolved into the very

successful (see Outreach Programs Implemented, Section 2, Part I, B4) linkage between the **Center for Vocational Education** in Madras and three U S institutions, **Sinclair, Eastern Iowa Community College District** and **Community Colleges for International Development**

- A further example is that of the linkage between the **Harvard University School for Public Health** and the **Instituto Nacional de Salud Publica in Mexico**, which built upon a long-standing pre-existing relationship between the Harvard School of Public Health and health research professionals in Mexico

For more detailed descriptions of these linkages and their successes, see Annex F Linkage Profiles

Proposition: *It is now time to expand the participation of applied education institutions in international development work*

It is difficult to evaluate the validity of this proposition because, with the exception of schools of public health and medicine, the 28 linkages examined contain very few examples of applied education With this caveat in mind it can be said that, among the linkages surveyed, applied education institutions are effective implementors of some types of development assistance, and the one area that stands out among the linkages surveyed is health and population However, it is not clear that the role of applied education institutions is any more important than that played by other kinds of institutions

If the intent of the proposition above is to ask if applied education institutions have an inherent comparative advantage over other types of institutions engaged in international development work, the answer is probably "no " If the intent of the proposition is to ask if applied education institutions are effective purveyors of development assistance, the answer is, in many cases, "yes " Whether it is time to expand the international development role of such institutions depends on the nature of the objectives and options under consideration in a given situation, and is best dealt with on a case by case basis

As a practical matter, the types of linkage activities engaged in by applied institutions differ very little from those engaged in by other linkages Applied institutions engaged in both applied and theoretical linkage activities For 43% of linkages surveyed (12 of 28), health and population activities were a primary focus Linkages involved faculties or schools of medicine, public health, community medicine, and nutrition Their linkages activities varied from applied community outreach (involving, for example, training and training of trainers in mother and child health in rural areas) to theoretical research (for example, in biostatistics)

Proposition *A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spin off" activities*

For most of the linkages examined, it is too soon to comment upon this proposition For most of the site visit linkages the response to this proposition was "not yet," but "probably later " There was a sense that these institutions, as well as other institutions that the study examined, were

generating ideas that would eventually lead to "spin-off" activities However, at this point, most linkages are focused upon achievement of their stated objectives and preparations for sustaining linkage activities

Representatives of the linkage institutions speak and write enthusiastically about the potential for a "second generation" of activities yet to be realized In these comments, they predominantly focus upon enhanced community outreach and development impact A representative of one linkage, which has been involved in successful small business training, would like to see the capacity to deliver such training installed in a local organization which would then deliver an ongoing set of training programs countrywide A representative of another linkage which has developed an inexpensive and easily repaired manioc flour mill, would like to see the mill introduced throughout West Africa Many of the linkages which have developed community-level health education or primary care programs would like to see those programs implemented more widely and expanded upon That few such aspirations have yet been realized is a function of the maturity of the linkages studied These linkages are still "first generation "

B Adequacy of the Information Received by USAID Project Managers

The information received by USAID's managers for the UDLP project through formal reporting is not consistent in terms of timeliness, coverage, and consistency of presentation The information received by project managers through informal reporting varies from excellent to inadequate In this project, as in most USAID projects, information reaches managers in a variety of ways Formal reports are often the least informative source of current information about what is happening at project sites Letters, faxes, telephone calls and visits to sites or from parties involved in a program are all far better guides to a program's current status and concerns Nevertheless, there remains a question about whether the formal reports which USAID managers receive are professional in nature, timely, responsive to project guidelines, and consistent with reality at the project site It is to these latter questions that the evaluation devoted a portion of its attention

With respect to the timeliness of reporting, an audit of quarterly and annual reports was undertaken by the evaluation team The evaluation team's review of files in Washington indicated that 40% of linkages had not fully met their reporting requirements In principle, linkages produced three quarterly reports and one annual report per year For approximately 60% of the 28 linkages examined, these reports were on file for both 1993 and 1994 For the remaining 40%, between one and three of these reports per year were on file Annex C shows the actual frequency with which quarterly and annual reports from linkage partnerships appear in the UDLP project files in Washington

As to the quality of such reports, earlier sections of this report indicate that all do not systematically describe the achievements of their linkage for the specific time period covered by a report, nor do they clearly distinguish between achievements that stem from UDLP activities and funds from those that are attributable to other causes

In combination, these problems with report timeliness and quality suggest that USAID may need to take some action that will help linkage partners improve their performance in this area One way of doing this would be to reissue reporting guidelines to linkage partners with an explanation

that future funding will be withheld unless guidelines are adhered to In this context, it is important to understand the dual nature of reporting responsibility It is the responsibility of linkage partners to supply appropriate reports in a timely manner It is the responsibility of USAID project managers to make sure that partners understand reporting guidelines, review all reports, provide feedback to linkage partners, and, as needed, have the partners redo reports so that they are consistent with guidelines In order to establish a pattern of timely and consistent reporting, the process must be accorded adequate support and supervision by both USAID and linkage partners

C The Appropriateness of the UDLP Project Design

In posing a question in the evaluation SOW about the appropriateness of the UDLP project design, USAID specified that by appropriateness it meant the interactive design and implementation process, the formation of sustainable linkage partnerships, the one-to-one cost sharing, the design of the activity by the applicants, and the focus on sustainability as well as the awarding of the grants through the competitive external peer review process

The evaluation looked closely at the functioning of a significant proportion of the linkages that have been established to date by the UDLP project It also examined the efforts that linkage partners were making to ensure the sustainability of these arrangements after the UDLP funding period ends Less attention was paid to the details of the cost sharing arrangements under which these linkages operate and to the competitive peer review process that USAID uses to select linkages for funding Nevertheless, in the broadest sense, a picture has emerged of the UDLP project that bears reporting

Data obtained through this evaluation, while they do not rate every linkage arrangement as a full blown success, largely found USAID's vision of partnership arrangements that result in self-directed programs to be quite effective as a means of developing not only faculty capacity and the academic offerings of both developing country and U S institutions but also for leading all of the parties to these efforts in the direction of "development relevant" outreach programs

USAID's investment in the UDLP project is an experiment After years of funding technical assistance to developing country universities, USAID is using the UDLP project to explore the possibility that it can play a different, and much less directive role, and in doing so accomplish as much, if not more, through technical assistance contracts and grants

The results chronicled in this evaluation are at the level of individual linkage's objectives By achieving these kinds of objectives, every individual linkage is succeeding in its own terms Yet, even when linkages succeed in the terms set in their Cooperative Agreements, their success does not necessarily mean that the overall objectives of the UDLP project are all being achieved In terms of the overall objectives of the UDLP, the program's level of success is less directly traceable

- At the overall objective level there is some evidence to suggest that institutional capacity is developing and that such developments are attributable to UDLP It is less easy to draw such a conclusion about the internationalization component Many of the universities involved were already expanding their international focus For those that were already fairly far along in these efforts, it is difficult to claim that UDLP was the cause or even an important factor

For programs that were less involved internationally, it is somewhat easier to see a connection, but even then it is often hard to say that UDLP was the primary cause With respect to the sustainability component, success is still an open issue A number of linkages are generating supplemental funds for their efforts, but few are confident that the financial trajectory they are on will succeed in replacing their UDLP funding levels before those funds cease to be available

- Evidence concerning the development impact of linkage partnerships is mostly anecdotal However, in some programs a combination of research and outreach is having a discernible but often narrow effect, serving a small number of people In other linkages, research results are clearly important enough to have significant national and even international effects On the academic side, most programs are training students from developing countries or upgrading the skills of their professors The effects of these programs are long term in character and are unlikely to be identifiable as the unique cause of a particular improvement in conditions in a developing country

What remains an open question for the UDLP project is whether accomplishments of its overall objectives would be greater if these objectives were also among the primary objectives of individual linkages If linkages were required to report on progress meeting overall project objectives they would need to concur with the performance indicators selected to do this as discussed earlier

As to other aspects of the UDLP project design such as cost-sharing and the up to five year funding period for partnerships, both continue to seem appropriate and workable Cost-sharing is a reality and there has been no serious backing away from this principle on the part of the university community As to sustainability, most linkage partners are attempting to develop alternative funding sources In addition, linkage partnerships that are based on pre-existing relationships may have a slight advantage with respect to sustainability They face fewer start-up tasks and are already integrated into their larger university communities Those partnerships that have developed strong sub-projects, whether they emphasize research or outreach, also seem to be quite successful in attracting funds Early success in this regard is likely to be important, given the five year time horizon for USAID funding For linkage partnerships that are not finding success in their efforts to develop longer term funding, a reconsideration of the kinds of activities they are undertaking may be warranted To attract funding, sub-projects have to be of interest to someone besides the people involved in them

SECTION THREE

CONCLUSIONS, RECOMMENDATIONS AND LESSONS LEARNED

The UDLP is entering the fifth year of a ten year project period As this evaluation shows, the project is operating effectively Although linkage partnerships are progressing at different rates, the majority of partnerships are making significant progress towards results in areas such as development and expansion of academic programs, faculty and student development, research and community outreach In terms of achievement of overall UDLP objectives, which include institutional strengthening, internationalization and long-term sustainability, there is considerable evidence that linkages are making significant progress This evidence is less compelling than evidence of progress towards the objectives of individual linkages, not necessarily because less progress has been made, but because most linkages do not have stated objectives at the overall UDLP level and do not systematically document their achievements in these areas In addition, the evaluation has gathered and presented useful anecdotal evidence that linkages are assisting institutions of higher education to better meet the developmental needs of their societies

This evaluation's recommendations focus on the character and equality of linkage partnerships and, at a more detailed level, the approaches used in objective setting, reporting and related management tasks Increasing the clarity, precision and comprehensiveness of objective setting, management and reporting processes will make the UDLP, already an effective and useful project, even more efficient and effective Long term success, however, depends on the more fundamental issue of the quality and value of the partnerships in the perceptions of all partners This section gathers together the main conclusions reached during the course of this interim evaluation of the UDLP project Conclusions and recommendations presented in this section are arranged topically

A Nature and Character of UDLP Linkage Partnerships

One of the hallmarks of the UDLP project is the independence it offers linkage partners with respect to setting the objectives and developing the performance targets and work plans on which their performance will be judged Some consider the freedom the program allows in this regard to be quite revolutionary for USAID However, linkage partnerships are often unequal in the sense that the U S partner dominates linkage decision making processes This is a problem which can be corrected

Ideally, the objectives, work plan and budgets for individual linkages would be set jointly and reports on performance would be prepared collaboratively While some evidence suggested that developing country partners are playing an equal role in this process, other evidence developed by the evaluation indicates that the role of developing country institutions may, in some instances, be that of a junior partner who is not always consulted Linkage arrangements seem to vary along a continuum in terms of the degree of joint involvement in these tasks This situation is one that USAID should address Unequal partnerships are not consistent with the vision of the program set forth in the UDLP Project Paper

Recommendations

1 USAID should raise the question, with linkage institutions, of how to transform all linkage partnerships into true and equal partnerships One appropriate suggestion would be to have all partners implement a linkage sign-off on every important document, including the original proposal, annual work plans and budgets, and quarterly and annual reports A process of this sort would limit the chances for decisions to be made without input from developing country partners In addition, refusal to sign a document that does not represent a consensus view could be a powerful tool in the hands of universities that felt that they may have been treated as "junior partners" in the past The appropriate role for USAID is to identify this problem to the university community and suggest remedies Unilateral actions that change the project's requirements are likely to undermine other aspects of the program that are strong and commendable

All universities and colleges that participate in this program should consider themselves to be true and equal partners in the enterprise Institutions that do not feel that they are being treated as equal partners should not remain silent USAID may not want to adjudicate every dispute between partners, but it does have an interest in knowing whether the partnership arrangements it is fostering are working the way they are intended to work Given the ideals of this project, open communication with USAID is as appropriate for developing country partners as it is for U S partners To this end USAID should consider steps that could be taken to ensure that developing country institutions are adequately represented at annual UDLP workshops

B Project and Individual Linkage Objectives

In USAID terms, overall objectives of the UDLP project are quite conventional USAID is very used to undertaking projects which build institutions that in turn bring about development-relevant results At the level of the individual linkage, academic programs, faculty and student development, and research and community outreach are important results Linkage institutions also recognize the importance of and strive to achieve the kinds of institutional strengthening objectives the UDLP project fosters internationalization, institutional capacity development and the long-term sustainability of linkages The final step in this chain of results, the application of these newly developed and expanded capacities to address important development problems in developing country societies, may be of greater concern from the perspective of the overall project than it is to any particular linkage institution

1 The Appropriateness of UDLP Objectives in USAID's Evolving Context

At the time the UDLP project was developed, only a few models of success had been defined for USAID programs, and almost all of them viewed development impact as the final objective of USAID's work Today, other models of success are evolving USAID's New Partnership Initiative (NPI) is one example Within the framework of this initiative, the development of strong partnerships between non-governmental entities in developed and developing countries is seen as an end in itself If enough such partnerships are established, in enough fields, with enough

independent resources, the number of tasks that donor organizations are asked to address may decline

Had the New Partnership Initiative existed at the time the UDLP project was developed, its objectives might have been written differently Even as it stands today, the program offers a potential model for how USAID can step away from a programmatic area in a positive and productive way USAID has, in the UDLP project, reduced its control over sub-project design in favor of having linkage partners accept a greater degree of responsibility for outcomes and the sustainability of their efforts In addition to reflecting the intent of USAID's New Partnership Initiative, the modus operandi for this program is also consistent with the intent of USAID's reengineering efforts, which emphasize results-oriented management

Within the NPI context, USAID could conceivably shift the objectives of the UDLP program away from their emphasis on development impact, and emphasize sustainable linkages as worthy ends in and of themselves

2 Objectives at the Level of an Individual Linkage

Linkage partners are encouraged to develop their own objectives, within the broad framework of the UDLP project In practice, most linkages elect to identify a series of what might be called intermediate results such as new and expanded academic programs, research, faculty and student development, etc These objectives are incorporated in their Cooperative Agreements and become the basis for reporting and judging linkage progress

Most linkages operate as if the three institutional strengthening components of the UDLP project are important, even if they do not specifically list these components as objectives in their Cooperative Agreements There is enough activity on the components of institution building and internationalization to ensure that USAID's intentions are reflected in individual linkages Regarding sustainability, most linkages are trying to find supplementary funding sources, being very aware that the period of USAID funding is finite What is missing at this level is not action, but rather systematic reporting about the results of such action

While many linkages are involved in outreach programs, it is also perfectly clear that development impact is not the organizing concept that was used by linkage partners to define their program of objectives and activities Institutional development comes much closer to being the organizing principle at work here

By and large, linkage partners are achieving the objectives they established in their Cooperative Agreements Roughly half of the institutions that have experienced difficulty trace their problems to external factors, such as political unrest The rest generally attribute difficulties to communications problems which are partly human and partly mechanical in nature

Information on the achievement of overall UDLP objectives by individual linkages is inadequate As noted above, most linkages do not include these objectives in their Cooperative Agreements As a result they do not consistently report on performance in these terms To the degree that they do, it seems to occur more in connection with annual meetings between the

university community and USAID than in required quarterly and annual reports from linkage partners When linkage partners are asked about such matters, as they were in evaluation site visits, they can often provide answers, but the answers they provide are not necessarily recorded anywhere in a linkage partnerships' files

The objectives that linkage partners selected are substantively appropriate, realistic and achievable, albeit not at the level of overall UDLP project impact In their self-study reports for this evaluation, only one linkage reported that it had concluded that one of its objectives was unrealistic By not establishing objectives consistent with the development impact objectives of the UDLP project as a whole, these linkage partnerships may end up having less of an impact than would be the case if the UDLP's overall objectives were central to each and every linkage This is a problem for which the appropriate repair is not obvious If USAID does not intervene, linkage partners are likely to continue to set their objectives at the level of immediate results If it were to intervene, and demand that linkages express higher level objectives that are consistent with the project's overall objectives, the independence USAID has built into this program could be compromised

Recommendations

1 USAID and the university community consider together the appropriateness of the higher order objectives of the UDLP project, including the likely impact that the total program over ten years is likely to have If the overall objectives are viewed as having continuing validity, a serious effort to develop performance indicators that all partners can help to track should be made If it is not appropriate, the university community and USAID should, together, define a new objective and USAID should seek an amendment to the project to that effect Should a new objective be devised, appropriate performance indicators should still be developed

2 USAID should facilitate a decision making process with linkage partners which focuses on the issue of the level(s) at which linkage objectives should be set The outcome of the decision making process should be a collectively defined set of guidelines on objective setting for linkages A collective process, rather than unilateral action on USAID's part, is recommended because unilateral action would be inconsistent with the spirit of the project Raising the issue for serious discussion, however, is fully consistent with the spirit of the UDLP project This action puts much of the responsibility for developing an appropriate set of answers in the hands of the university community, thus extending rather than reducing its control over the program's success For their part, universities and colleges that participate in this program would do well to use opportunities for objective setting to articulate the underlying reasons for the actions they want to take Objectives that reach beyond the immediate will help partnerships to think through their long term plans and take the steps necessary to achieve them

3 While unilateral USAID intervention that would require linkage partners to adopt objectives that are consistent with the UDLP project's overall objective is not considered appropriate, neither is it appropriate for certain aspects of overall program results to be left to chance As part of the collective decision making process resulting in guidelines for objective setting, particular attention should be paid to the sustainability of linkages USAID should raise the

question of mandatory reporting on sustainability with the university community Unilateral action to institute such a requirement is not advisable, however, as it could undermine the partner independence that makes this program unique What needs to occur instead is to have the university community accept the problem as their own and devise a solution that ensures that sustainability is being monitored systematically by linkage partners One approach to promoting university interest in reporting on sustainability on a regular basis might involve a promise to share "lessons learned" with each other

4 Despite the considerable time that USAID and the university community have devoted to the development of indicators and lists of components of the three aspects of the project's overall objectives, the evaluation found that many of these performance indicators were restatements of the preconditions the project has suggested are necessary for achieving its overall results To rectify this situation, it is recommended that a short-term Task Force be convened, with members from USAID and from the university community, to address this issue As a first step in this process, USAID should bring in someone from the staff of its HCD Center to brief Task Force members on the independence of measures issue and to share with them materials from other projects in HCD and Global Bureau that are pertinent, such as independent measures of institutional capacity development and sustainability developed in other contexts New indicators developed by the Task Force could be submitted to the university community for approval

C Communications and Other Aspects of Linkage Management and Reporting

Many linkage partnerships report no management problems, while others address them in quarterly and annual reports When describing problems, those that report on management difficulties often cite communications as their primary issues Infrequent meetings, together with unreliable electronic communications and weak systems for delivering packages lie at the heart of this problem Yet, of these, the absence of adequate face-to-face communication may be the most important Even when they have adequate electronic communications equipment and reliable parcel delivery services, UDLP linkages run into trouble when leadership personnel do not meet frequently enough

In the set of linkages examined by this study, there were some that were developed based on pre-existing relationships Others were developed in a way that brought more than two institutional partners into a linkage Both of these factors appear, from the small number of cases observed, to have implications from a linkage management perspective More specifically, those linkages that involve new partnerships or many partners seem to need a greater than average amount of management attention to function well Those linkages that are based on old relationships or involve only two partners require less management attention

At a more detailed administrative level, the management arrangements for individual UDLP linkages seems to be adequate Financial management systems reportedly conform to USAID's expectations and more general management procedures seem to be workable Nevertheless, a problem exists when it comes to submitting less than the full complement of required reports each year, linkages still display some inadequacies More disturbing than the absence of some required reports is their quality and the fact that the level of participation of developing country institutions

in their preparation appears to be quite uneven With problems evident in several aspects of its reporting system for this project, USAID may need to take actions that will help to ensure that improvements occur

Recommendations

1 USAID should review three aspects of the communications systems with each linkage partnership (1) the status and quality of electronic communications between partners and their ability to deliver materials to each other in bulk form in a timely fashion, (2) the frequency with which senior counterparts on each side of the linkage meet to discuss objectives, plans and budgets, (3) the scope, detail and clarity of operating norms established USAID could then encourage new partnership and any older partnerships experiencing difficulties to review and, as appropriate, adopt the norms of successful partnerships

USAID might also want to consider setting up a special fund within the program to address unusually intractable communications problems, such as extra funds to speed bulk materials shipments or to arrange for partners to meet in a third country when political unrest makes it impossible to meet in the partner's country

2 Linkages that involve new partnerships and linkages that involve more than two partners would be well advised to set aside more time than they initially think might be needed for face-to-face meetings Evaluation results show that these two kinds of partnerships are more at risk than others, and institutions that are involved in these kinds of arrangements should compensate for that fact in planning their approach to managing their linkage It is specifically not recommended that USAID rule out partnerships involving multiple partners or new partnerships All forms of partnerships deserve an opportunity to succeed Fair warning about potential problems, additional guidance and more intensive management assistance is what USAID should provide to such partners

3 With all new linkages, and most particularly for linkages that involve new partnerships or multiple partners, USAID and the university community should together consider setting up "mentoring" relationships through which experienced linkage partners can help new and complex partnerships to get off to a good start This would involve having experienced linkage partners assist new partnerships with both formulation and management of the new linkages USAID may wish to require or strongly encourage such mentoring relationships for new linkages which appear to be particularly complicated or problematic

4 USAID needs to indicate to existing and new linkage partners that their failure to comply with USAID reporting requirements is not acceptable Given the experimental nature of the program, their reports are particularly important Timely and high quality reporting is the quid pro quo for the funds they receive While unilateral action on USAID's part is not generally recommended in connection with this program, it is perfectly reasonable for USAID to hold up the distribution of UDLP funds in situations where required reports have not been filed or do not meet USAID's quality standards

5 In addition to instituting financial penalties for inadequate reporting by linkage partners, USAID has an obligation to improve its instructional materials in this area The present guidance provided to linkage partners describing what is to be covered in each quarterly and annual report is clear and appropriate However, though orientations are held with each linkage partner, considerable detail and specificity, as well as illustrative examples, should be added to this guidance In addition, USAID needs to establish a procedure for reviewing all reports against these standards and returning those that do not meet such standards, or are not signed by all partners, on a timely basis together with a due date for a revised version

D Lessons Learned

While the majority of the lessons learned from this evaluation apply directly to the UDLP project and are covered in the foregoing, there are several lessons which have applicability beyond this project, particularly to reengineering

1 Successful experience with efforts to devolve the objective setting responsibilities for grantee-managed sub-projects to the grantees themselves indicates that this approach is viable and potentially applicable to other situations

2 Partnerships do not exist just because there are arrangements involving more than one party Partnerships exist when all involved have a role in deciding what is to be done, how it will be done and how linkages funds will be used It takes time and work to develop a partnership Partnerships that involve entities that have not previously worked together and partnerships that involve more than two entities require more work than do simpler and more long-standing arrangements These lessons have many potential applications in connection with USAID's New Partnership Initiative

3 USAID projects that provide "seed money" to grantees with the idea that they will use it to attract other funds are most likely to have that effect when the activities undertaken by grantees are of interest to a broader community of customers

4 High quality performance reporting is a joint responsibility Grantees have a responsibility to prepare reports USAID has a responsibility to provide clear guidance and examples and to take the time to review and reject grantee reports that do not meet project norms

Annexes

A Evaluation Scope of Work
B Desk/Self Study Instrument
C UDLP Linkage Reports on File
D USAID and Non-Governmental Funding for the UDLP
E Institutional Linkage Partners' for the Linkages Examined in the Evaluation
F Linkage Profiles
G Templates and Guidance for Workplanning, Budgeting, Implementation and Reporting

Volume Two
H Site Visit Reports
I Sample Request for Application
J The UDLP Project Paper

Annex A

Evaluation Scope of Work

SOW6

UDLP EVALUATION
(FINAL DRAFT)
SCOPE OF WORK

I ACTIVITY TO BE EVALUATED - UNIVERSITY DEVELOPMENT LINKAGES PROJECT (UDLP)

II PURPOSE OF THE EVALUATION

This evaluation will measure and assess interim progress toward achieving the project purpose The purpose of the UDLP is to enhance long-term, sustainable collaboration between U S and developing country institutions of higher education to their mutual benefit by (1) furthering internationalization objectives of U S colleges and universities, and (2) strengthening developing country institutions to meet more effectively the development needs of their societies
It will assess whether this collaboration, internationalization, and strengthening is being accomplished in ways that can be sustained with non-USAID resources

The project rationale is that it is important that the U S higher education community support foreign aid objectives, contribute to USAID programs, develop its own self-sustaining international development programs, and foster linkages with developing country education institutions It is equally important that developing country institutions have collaborative linkages with U S educational institutions Effective public and private institutions of higher education in developing countries are essential to meeting the education, research, and public service needs of their societies as well as to achieving sustainable economic growth in a rapidly changing global environment

This evaluation will be used in making future decisions regarding the management of the UDLP and future programs, (both within and outside of USAID) Specific elements of the evaluation include (1) cataloging the achievements of the individual linkages, (2) assessing the extent to which the linkages are making progress toward their objectives, (3) obtaining suggestions for improving specific linkages, (4) improving the management of the project as a whole, and (5) determining the soundness of project design

III BACKGROUND

Introduction

With its emphasis on forming sustainable partnerships and its requirement for matching funds, the University Development Linkages Project (UDLP) of the U S Agency for International Development (USAID) aims to provide a replicable model for a new approach to foreign assistance Designed with input from USAID missions and over 130 higher education

institutions, the UDLP was created in 1991 to strengthen developing country institutions' ability to meet their own society's needs and to expand the contribution of U S higher education institutions to sustainable development In each UDLP competition cycle, activities designed by U S higher education institutions and their developing country partners are evaluated and awards are made through a highly competitive, peer review process In 1993, the UDLP completed its third competition cycle There are currently forty linkages between 48 U S and 48 developing country institutions (and two consortia) in 28 countries

The Concept

The UDLP was conceived as an alternative to traditional USAID projects with higher education institutions Rather than contract with an institution to work on a short-term project, the UDLP allows higher education institutions to propose and design development linkage activities which reflect common priorities USAID provides up to five years of seed money, these linkages are envisioned to continue far beyond this period Thus, the linkages are designed to be sustainable in part by securing outside sources of funding and support The resulting partnerships between U S and developing country higher education institutions are intended to forge long-lasting ties with potential for future collaboration

The cooperative agreements funded under the UDLP are intended to contribute more immediately and directly to development than earlier USAID institutional strengthening grants They are also intended to capitalize on the higher education institution's normal way of operating to a greater extent than is permitted by a project-funded contract

The UDLP's design is based on a vision for a new generation of foreign assistance efforts which reflect the massive changes that are creating a more interdependent world Past institutional development and improved international communications require moving away from earlier dependency relationships to ones of greater equality At the time the project was designed educators expressed the need to prepare people for the global job market as well as to cooperate in addressing environmental, health, and other problems of world-wide consequence Senior USAID officials felt USAID and institutions of higher education share mutual interests in imparting internationally relevant skills Analyses available at the time of project design showed expanding internationalization by U S education institutions using far greater resources than those available to USAID USAID sought to encourage internationalization which would serve developing countries

Hypotheses

These mutual interests and changed relationships suggest a series of specific hypotheses which are being tested by the project

(1) Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training,

(2) New information technologies, such as e-mail and Internet, are changing the basis of

technical assistance,

(3) It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work,

(4) Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures,

(5) It is now time to expand the participation of applied education institutions in international development work, and

(6) A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spinoff" activities

Project Development

In the context of these hypotheses, the UDLP was designed with the benefit of the expertise of both the U S higher education community and USAID missions around the world In the fall of 1990, three forums were held around the U S to solicit the input of the higher education community Representatives from over 130 U S institutions contributed their perspectives to the project's design That same fall, USAID missions around the world were asked to comment on the proposed project

The first annual UDLP competition cycle began in February 1991 with the publication of a Request for Applications (RFA) A highly competitive, peer review process involved USAID missions, USAID geographic and policy bureaus, and external reviewers and a twelve member panel assembled by the National Research Council (NRC) The annual competitions refined the RFA's through continuous interactive feedback from the educational institutions, the NRC, USAID overseas missions, and USAID offices in Washington The first competition narrowed over 400 requests for RFA's to thirteen awards in 1991 Subsequent competitions made fifteen awards in 1992 and twelve in 1993 - that is, to approximately ten percent of the applicants each year

Current Status

Each UDLP linkage is designed to achieve concrete objectives within the priority areas defined by USAID To date, 32 5 percent of UDLP linkages are working in the area of population and health, 30 percent are focussed on economic growth, 27 5 percent are involved in environmental issues, and 10 percent are engaged in democracy-building Within these priority areas, linkage partnerships have initiated activities to address a wide range of development needs, including health, nutrition, agriculture, community development, literacy, business management, environmental degradation, democracy-building, and legal reform Some linkages are involved

in activities which benefit more than one sector For example, literacy programs designed by a U S university and three African universities are to be used in agriculture extension, family health, and small business training programs

UDLP linkages have been formed throughout the developing world The largest percentage of linkages are in Latin America and the Caribbean (37 5 percent), followed by Africa (35 percent), Asia (22 5 percent), and the Near East (5 percent) The UDLP does not currently have sufficient resources to fund development activities in Eastern Europe or in the Newly Independent States

The requirement that UDLP award recipients are required to match USAID funding dollar for dollar is designed to allow a broader application of USAID resources, encourage support from other sources, and thus achieve broader impact Over the five year terms of the forty UDLP awards made to date, USAID is to contribute $23 5 million, which is to be matched by $43 5 million from the linked institutions Linkage activities have attracted matching funds from a variety of governments and international donors including the World Health Organization (WHO), the United Nations Fund for Population Activities (UNFPA), the World Bank, the Ford Foundation, the Rockefeller Foundation, and the Asian Development Bank

The methods employed by the linkages to address development needs fall within the broad categories of curricula development applied research, teaching, and outreach U S and developing country educators are to train undergraduate and graduate students but are also to reach beyond the classroom to participate in extension programs and other community education efforts The outreach activities of the linkage partners include policy formulation and analysis, community development, product development, and the origination of institutes In most cases, the participation of community groups, women's cooperatives, extension agents, and others in linkage activities is intended to extend the impact of the linkage far beyond the developing country higher education institution The evaluation will identify, measure, and assess that which is new to these areas because of the linkage program

IV STATEMENT OF WORK

The principal topic questions to be addressed by the evaluation team

1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?
2 In so doing, are they strengthening the capacity of the participating developing country institutions of higher education (DCIHE's) to help meet the development needs of their societies?
3 Are the participating United States institutions of higher education (USIHE's) internationalizing in ways that use and expand their international development expertise?

4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?
5 Are the six hypotheses described in Section III above proving to be valid?
6 Are the linkage activities being appropriately managed and funded?
7 Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreements?
8 Is the project design appropriate to its purpose? (By project design is meant the formation of sustainable linkage partnerships, the one-to-one cost sharing, the design of the activity by the applicants, and the focus on sustainability as well as the awarding of the grants through the competitive peer review process)

The following sub-sections in this Statement of Work Section elaborate on these topics

IV. A PROGRESS OF INDIVIDUAL LINKAGES TOWARD OBJECTIVES CONTAINED IN THEIR COOPERATIVE AGREEMENTS

This topic will be addressed by means of a self-study instrument (see attachment one for suggested draft of Self-Study Instrument No 1 of 14) that will list a linkage's objectives, scheduled progress against the objectives, actual progress against the objectives, and obstacles or problems The instrument will also ask the evaluator to determine whether the linkage needs any remedial action such as restatement of the objectives, changes in workplan or budget, or the like

The self-study instrument will be supplemented by phone interviews, e-mail exchanges, and mail exchanges as required

IV B INCREASING DEVELOPING COUNTRY EDUCATION INSTITUTION'S CAPACITY TO MEET DEVELOPMENT NEEDS

Using a combination of self-study instruments and interviews, this aspect of the evaluation will measure the growth of activities and mechanisms to enable developing country institutions to define and plan education, research, and outreach activities that meet the development needs of the community and society Areas of measurement and analysis within this sub-section were developed at a joint USAID-university community forum held at the outset of the UDLP They include (1) growth in the institution's planning capacity, (2) growth in its administrative capacity, (3) growth and improvement in its programs of instruction, (4) improvement and expansion of its research activities, and (5) strengthened and expanded outreach activities to include collaborative programs with community groups, government, and business

Measurement and analysis will be carried out by means of the self-study instruments 2 through

11 contained in Attachment Two The evaluation team will follow them up as necessary by personal contacts with the linkage partners and others

Development needs are seen broadly, including employment, health, economic growth, literacy, and agricultural production

IV C. INTERNATIONALIZING U S INSTITUTIONS IN WAYS THAT USE AND EXPAND THEIR INTERNATIONAL DEVELOPMENT EXPERTISE

Internationalizing the U S linkage partners will be measured in terms of (1) increased faculty expertise, (2) expanded instruction, (3) expanded faculty involvement in overseas development work, and (4) increased institutional support to internationalization The suggested study instrument, Self-Study Instrument No 12 of 14, is included in Attachment Three to this scope of work The terms and the criteria contained in the Self-Study Instrument were developed at a joint USAID - university community forum held at the outset of the UDLP

IV D MAKING LINKAGES AND LINKAGE ACTIVITIES SUSTAINABLE BEYOND THE USAID FUNDING PERIOD.

Progress toward achieving sustainability is to be measured in terms of (1) achieving the linkage objectives in ways that provide the linkage participants incentives for continuing the activity beyond the USAID funding period, (2) expanding the scope of the linkage and its programs, and (3) improving the quality and strength of the linkage Suggested self-study instruments 13 and 14 ares included in Attachment Four to this scope of work The terms and the criteria contained in the Self-Study Instrument were developed at a joint USAID - UDLP linkages partners conference held early in the project

IV E ASSESSING THE VALIDITY OF THE PROJECT HYPOTHESES

This topic calls for an assessment by the evaluation team based on its findings in addressing the first four topics

IV F WHETHER THE LINKAGE ACTIVITIES ARE APPROPRIATELY MANAGED AND FUNDED

This topic calls for an assessment of the project's effectiveness and efficiency by the evaluation team based on its findings in addressing the first four questions, in reviewing the files at ISTI and the University Center, and in addressing any follow up questions it wishes to pose to the University Center staff, ISTI staff, and the linkage partners

IV G WHETHER PROJECT MANAGEMENT RECEIVES INFORMATION IT NEEDS

This topic calls for an assessment by the evaluation team based on its overall findings on the project

IV H APPROPRIATENESS OF PROJECT DESIGN MODEL

This topic calls for the evaluation team to assess whether the project model - involving linkage partnerships, activity design by the applicants, one-to-one cost sharing, the competitively determined grant awards, and the use of the peer review panel - constitutes (1) an efficient, productive way of achieving development objectives within USAID's priority areas, (2) a sound way of leveraging USAID's resources For example, some of the linkages theoretically could be achieving their individual objectives without contributing to the larger UDLP purposes of strengthening, internationalizing, and sustainability

It is expected that the evaluation team will base its assessment on its findings regarding the previous topics

V METHODS AND PROCEDURES

Methodology

The evaluation methodology will be (1) assemble data through the use of self-study instruments and short answer questionnaires, (2) refine and flesh out this data with interviews and site visits, and (3) organize and interpret the data into an evaluation report The methodology will be implemented jointly by the University Center and an IQC contractor with staff support from the Technical Assistance Services Support (TASS) Project

An evaluation methodologist and a supervisory coder will organize, manage, and oversee the evaluation process The supervisory coder and three other coders will fill out the self-study instruments from reports and documents on file at UDLP headquarters prior to sending the instruments out to the linkage partners for refinement and final completion Three two person teams - each with one senior A I D expert and one senior university expert - will conduct the field visits and interviews The methodologist, the supervisory coder, and the six field team members will interpret the information and draft the evaluation report

Tasks and Timing

1	One week	Methodologist calls first team planning meeting Methodologist and supervisory coder test self-study instruments by doing a test run on two of the linkages and refine self-study instruments as required
2	Two weeks	Methodologist and supervisory coder train three other coders Four coders fill out the self-study instruments and questionnaires to the extent possible from information contained in the TASS Project and University Center files
3	Three weeks	Instruments and questionnaires sent to DCIHE and USIHE contact list members for refinement of initial answers and final completion and returned to evaluation team
4	Three weeks	Methodologist and supervisory coder compile data and conduct follow-up queries with respondents by phone, fax, and e-mail Methodologist and USAID Project Manager select sites for field visits and set schedule
5	Two days	Methodologist calls second team planning meeting Team devises field review instruments
6	Three weeks	Evaluation team members visit selected project sites
7	Three weeks	Evaluation team compiles and interprets findings, draws up conclusions and recommendations, and drafts report for completion in final by September

30, 1994 This includes preliminary review of findings and recommendations with USAID Project Manager and consideration of USAID Project Manager's comments and suggestions in final report.

VI EVALUATION TEAM COMPOSITION

The evaluation team will be composed of eleven members An evaluation methodologist will be responsible for guiding and managing evaluation process, including the preparation of the final report A supervisory coder and three other coders will fill out the survey instruments at the TASS project office and at the University Center Three two person teams will carry out the field visits One member of each of the three teams will have University and developing country experience while the other will have had senior level USAID experience

No one technical specialty need reside in any one evaluation team member The team as a whole, however, needs the following qualifications

Required

1 Expertise in curriculum development, research program development, outreach program development, and faculty and staff upgrading at the university level in developing countries,

2 Expertise in both USAID and University management systems,

3 Expertise in USAID program and project development and evaluation,

4 Three members of the team with Ph D 's or the equivalent

Preferred

1 Expertise in health and population, agriculture and natural resources, education and training, business, and democratization technical assistance programs in developing countries,

2 French and Spanish language capability,

3 Statistical expertise

VII REPORTING REQUIREMENTS

1 A report that

- shows progress of each of the evaluated linkages against their stated objectives
- reviews prominent accomplishments, obstacles, solutions, failures, and successes encountered by any of the linkages
- suggests remedial measures for linkages which are not achieving their projected progress
- suggests linkages as examples of success in addressing primary USAID concerns
- provides an assessment of the progress of the project as a whole in strengthening DCIHE'S, internationalizing USIHE's, and advancing the sustainability of the linkages and/or their activities This assessment is to be supported by data that provides a comprehensive description of the quantitative and qualitative achievements of the project, including second generation or "spinoff" activities
- provides a comprehensive depiction/enumeration of project outputs
- provides observations and comments on project administrative and financial operations
- identifies lessons learned
- assesses appropriateness of project design and precepts
- provides suggestions for nature and timing of the next project evaluation
- assesses validity of six hypotheses contained in Section III

2 The report will contain, among other sections, an executive summary, findings, conclusions, and recommendations

3 It will cover the R & D cross cutting themes as contained in Attachment 3 to the Bureau's Program Guidance 91-06

4 The team is to present to the project manager

a after the self-study instruments are filled out by the coders - a draft initial report outline,

b just prior to the field visits - a revised outline,

c midway through the drafting process - a draft report,

d Oct 15 - the final report, both in hard copy and on a floppy disk

ATTACHMENTS

5/18/94
1530 hrs

1 Attachment One - Linkage Objectives/Progress

Self-Study Instrument No 1 of 14 - Linkage Objectives/Progress

2 Attachment Two - Increasing Developing Country Institutions' Capacity to Meet Development Needs

Self-Study Instrument No 2 of 14 - Comprehensive Planning Process
Self-Study Instrument No 3 of 14 - Administrative Capacity
Self-Study Instrument No 4 of 14 - Better Prepared Faculty
Self-Study Instrument No 5 of 14 - Improved Curriculum and Materials
Self-Study Instrument No 6 of 14 - Student Exchanges
Self-Study Instrument No 7 of 14 - Upgraded Libraries and Communications
Self-Study Instrument No 8 of 14 - Expanded Vocational, Undergraduate, Graduate, and Postgraduate Training
Self-Study Instrument No 9 of 14 - Research Activities
Self-Study Instrument No 10 of 14 - Outreach Activities
Self-Study Instrument No 11 of 14 - Production of Written and Audiovisual Materials

3 Attachment Three - Progress Toward Internationalization of U S Linkage Partners

Self-Study Instrument No 12 of 14 - Internationalization of U S Linkage Partners

4 Attachment Four - Progress Toward Sustainability

Self-Study Instrument No 13 of 14 - Progress Toward Sustainability
Self-Study Instrument No 14 of 14 - Inputs and Sources by Year

Purposes of the Self-Study Instruments in the Attachments

Because there are so many different kinds of activities in different sectors and geographical areas, it is not possible to visit each one and do an in-depth, on site analysis Therefore, the self-study instruments will be used

- to record whether each of the linkages is undertaking the activities it said it would undertake, whether it is achieving its objectives, and whether there are matters of operations, budgeting, and reporting that should be addressed

- to record verifiable outputs in terms of project-wide purposes of strengthening DCIHE's,

internationalizing USIHE's, and sustaining the linkages This includes defining and quantifying these outputs in ways that will allow the evaluation team to (1) summarize outputs for the project as a whole, (2) give a sense of the amount of development output accruing to project dollar input and (3) allow information from a wide variety of linkages to be summarized and categorized in a way that permits interpretive judgments about the progress of UDLP as a whole

The wide variety of activities and the project's focus on sustained linkages and outputs also make it difficult to categorize and summarize the project's outputs or to define an end point There are several possibilities for categorization, however, whether by sector; by USAID's four priority areas, by research, teaching, and outreach, by program development versus institutional development, or by numbers and types of beneficiaries

In terms of end-of-project status, the project has elements of program assistance as opposed to project assistance and should be seen partially in those terms

Annex B

Desk/Self Study Instrument

University Linkages Evaluation Desk Study Survey Instrument

This desk study survey instrument was sent to the U S and developing country linkage partner institutions It provided an opportunity for linkage partners to verify answers found in USAID's UDLP project files and provide additional information as appropriate

1) Linkage Overview

a) What is the linkages cooperative agreement (PCE) number?

b) What is the title of the linkage?

c) Developing Country Institutions

1 How many formal developing country institutions of higher education (DCIHE) linkage partners are there?

2 In what countries are the formal DCIHE linkage partners based?

3 What are the names of the formal DCIHE linkage partners?

4 For each of the formal DCIHE linkage partners, please list the names of the principal departments which are the primary implementation partners in the linkage

d) U S Institutions

1 How many formal United States institutions of higher education (USIHE) linkage partners are there?

2 What are the names of the formal USIHE linkage partners?

3 What kinds of institutions are the formal USIHE linkage partners? Are they, for example, community colleges, land grant universities, private liberal arts colleges?

4 For each of the USIHE linkage partners, please list the names of the principal departments which are the primary implementation partners in the linkage

e) What was the USAID approved start date for the linkage?

f) What is the USAID approved end date (PACD)?

h) What is the total USAID budget for the linkage?

1) What is the total counterpart budget for the linkage?

1A) **Progress Towards Linkage Objectives**

In the cooperative agreement for each linkage, a set of linkage objectives is listed In this section of the questionnaire, you are asked to state each objective exactly as it is described in the cooperative agreement and then describe scheduled and actual progress towards achievement of the objective Please number each activity under "Scheduled progress" and follow the same numbering sequence under "Actual progress" It is important to account for all scheduled progress in your discussion of actual progress, if only by typing "no information" If scheduled progress is quantified in terms of quality, quantity or time, this should be comprehensively described It is also important to be clear about the time period for which actual progress is reported An example follows

1B) For which of the objectives stated in section 1A has actual progress been slower than planned?

1C) For each of the objectives listed under 1B, please explain all discrepancies between planned and actual progress towards objectives in terms of the problems that occurred and how they were (or are) being (or will be) dealt with

1D) For which of the objectives stated in section 1A has actual progress been faster or more comprehensive than planned?

1E) For each of the objectives listed under 1D, please explain why progress has been faster for more comprehensive than planned

2A) Did the linkage partnership play a significant role in the **development of any new academic programs at the DCIHE**?

2B) If your answer to 2A was yes, please answer the following sequence of questions individually for each new academic program

1 What is the name of the program?

2 What is the academic field of the program?

3 What is the academic level of the program? (undergraduate two year, undergraduate four year, masters etc)

4 How many months did program development take?

5 What month and year were students first enrolled in the program?

6 How many students were enrolled in the first class?

7 How many have enrolled in subsequent classes (please provide number of students by year)?

8 What is the total number of students which have graduated from the program?

9 What UDLP financed activities contributed to program development? Illustrative activities might include collaboration on curriculum development, preparation of texts etc Please be specific, providing as much detail as possible

10 How has the UDLP contributed to the implementation of this new program? Illustrative activities might include USIHE participation in instruction and training of instructors Please be as specific as possible

11 How was the need for this new program identified? Who and what generated the demand for the new program? Please be specific

3A) Has the linkage partnership played a significant role in the **improvement or expansion of any academic programs at the DCIHE**? (Such programs typically involve curriculum development, faculty training, introduction of new courses, etc)

3B) If your answer to 3A was yes, please answer the following sequence of questions individually for each academic program which has been improved or expanded

1 What is the name of the program?

2 What is the academic field of the program?

3 What is the academic level of the program? (undergraduate two year, undergraduate four year, masters etc)

4 What is the nature of the improvement or expansion? For example, did it involve faculty upgrading, curriculum updating, incorporation of the results of applied research into a curriculum?

5 How many months did it take to improve or expand the program?

6 When were students first enrolled in the improved or expanded program?

7 How many students were enrolled in the first class after the program was improved or expanded?

8 How many have enrolled in subsequent classes (please provide number of students by year)?

9 What is the total number of students which have graduated from the program since it was improved or expanded?

10 What UDLP financed activities contributed to program improvement or expansion? Illustrative activities might include collaboration on curriculum development, preparation of texts etc Please be specific, providing as much detail as possible

11 How has the UDLP contributed to the implementation of this improved or expanded program? Illustrative activities might include USIHE participation in instruction and training of instructors Please be as specific as possible

12 How was the need for improvement or expansion of this program identified? Who and what generated the demand for the improved or expanded program? Please be specific

4A) Has the linkage partnership played a significant role in **research activities at the DCIHE**?

4B) If your answer to 4A was yes, please answer the following sequence of questions Answer the sequence of questions individually for each kind of research activity

1 What is the nature of the research being undertaken (please provide title of research if available)?

2 What are the objectives of the research program?

3 What role has the UDLP played in the development or strengthening/expansion of this research activity? Please be specific about the nature and extent of the linkage's role

4 When was this research activity completed? The date of research paper publication is one way to determine this (month and year)

5 Since the beginning of UDLP assistance, what has been the impact of this research on the DCIHE?

6 Since the beginning of UDLP assistance, what has been the impact of this research on the USIHE?

7 Since the beginning of UDLP assistance, has this research had any impact beyond the two linkage institutions? (yes/no) If yes, please describe the nature and extent of the impact

8 How was the need for this research activity identified? Who and what generated the demand for the program? Please be specific

5A) Is there any indication in the documentation that participation in the UDLP led the **DCIHE to use, or improve use of, information or communications technologies** such as computers, data bases, faxs, Email etc ?

5B) If your answer to 5C was yes, please describe each type of technology and how linkage participation has contributed to its use

5C) For each of the technologies you described in 5D, please indicate if there any information in the documentation that would indicate that use of these technologies has resulted in increased efficiency either in the DCIHE's internal operations or in external relations (such as technical assistance transfers)?

5D) Please indicate whether you developed or expanded any of the following **basic systems of the DCIHE through the linkage**

(1) libraries,

(2) administration,

(3) planning, and,

(4) program M & E (monitoring and evaluation)

5E) If you answered yes to any of the basic systems of the DCIHE listed in 5A, please answer the following sequence of questions individually for each basic system of the DCIHE which has been developed or upgraded

1 What basic system at the DCIHE has been developed or upgraded? Please be specific and state whether the activity has been developed or upgraded

2 What role has the linkage played in the development or upgrading of this system? (please be specific and provide as much quantitative data as possible Such data might include new communications or data technologies, library volumes etc)

3 When did linkage participation in this basic system begin? (month/year)

4 When did linkage participation in the basic system end? (month/year)

5 Since the beginning of UDLP financed assistance, what has been the impact of improvements in this basic system on the DCIHE?

6 Since the beginning of UDLP financed assistance, what has been the impact of improvements in this basic system on the USIHE?

7 Since the beginning of UDLP financed assistance, have improvements in this basic system had any broader impact? If yes, please describe the nature and extent of the impact

8 How was the need for development or upgrading of this basic system identified? Who and what generated the demand for the development or upgrading? Please be specific

6A) Has the linkage partnership played a significant role in the **development, strengthening or expansion of any programs or activities at the DCIHE other than the academic, research and basic systems activities (the foci of questions two through five)?** (Such program might involve applied research, service delivery or community outreach)

6B) If your answer to 6A was yes, please answer the following sequence of questions individually for each other program which has been developed, improved or expanded One copy of the question sequence is provided here

1 Has the UDLP contribution involved development of a new activity or the improvement/expansion of an existing activity?

2 What is the nature of the activity (provide activity title if available)? (E G agricultural or health extension, business development, product development etc)

3 What are the activities' objectives?

4 What role has the linkage partnership played in the development or expansion of this activity? Please be specific about the nature and extent of the linkage's role

5 When did linkage participation in this activity begin? (month/year)

6 When did linkage participation in the activity end? (month/year)

7 What has been the impact of this activity on the DCIHE?

8 What has been the impact of this activity on the USIHE?

9 Has this program had any impact beyond the linkage institutions? If yes, please describe the nature and extent of the impact

10 How was the need for development or upgrading of this program identified? Who and what generated the demand for the development or upgrading? Please be specific

6C) Does the documentation provide any indication that services provided by the DCIHE linkage partner build community support (public or private sector) for the institution?

6D) If your answer to 6E was yes, please describe each service provided by the DCIHE and how the service has increased community support for the institution If you have described this elsewhere in the questionnaire, please reference this description

7A) Has the linkage partnership played a significant role in the **development of any new academic programs at the USIHE**?

7B) If your answer to 7A was yes, please answer the following sequence of questions individually for each new academic program

1 What is the name of the program?

2 What is the academic field of the program?

3 What is the academic level of the program? (undergraduate two year, undergraduate four year, masters etc)

4 How many months did program development take?

5 What month and year were students first enrolled in the program?

6 How many students were enrolled in the first class?

7 How many have enrolled in subsequent classes (please provide number of students by year)?

8 What is the total number of students which have graduated from the program?

9 What UDLP financed activities contributed to program development? Illustrative activities might include collaboration on curriculum development, preparation of texts etc Please be specific, providing how many students were enrolled in the first class after the program was improved or expanded?

7 How many have enrolled in subsequent classes (please provide number of students by year)?

8 What is the total number of students which have graduated from the program since it was improved or expanded?

9 What UDLP financed activities contributed to program improvement or expansion? Illustrative activities might include collaboration on curriculum development, preparation of texts etc Please be specific, providing as much detail as possible

10 How has the UDLP contributed to the implementation of this improved or expanded? Illustrative activities might include DCIHE participation in instruction and training of instructors Please be as specific as possible

11 How was the need for improvement or expansion of this program identified? Who and what generated the demand for the improvement or expansion of the program? Please be specific

9A) Has the linkage helped to develop any of the following **internationally oriented activities of the USIHE**?

(1) Increased institutional support for international activities,

(2) Increased exposure to international development for non-project faculty and/or students,

(3) Introduction or expansion of courses pertinent to development, and,

(4) Expanded faculty and/or student participation in international development work

9B) Please answer the following sequence of questions individually for each internationally oriented activity of the USIHE which has been developed or upgraded

1 What kind of internationally-oriented activity has UDLP participation helped to develop?

2 What role has the linkage played in the development of this activity? Please be specific

3 When did linkage participation in this activity begin? (month/year)

4 When did linkage participation in the activity end? (month/year)

5 Since the beginning of UDLP financed assistance, what has been the impact of this activity on the USIHE?

6 Since the beginning of UDLP financed assistance, has this activity had any broader impact? If yes, please describe the nature and extent of the impact

10A) Does the documentation provide any indication that **participation in the linkage has led the USIHE linkage partner to engage in outreach activity with potential development impact**?

10B) If your answer to 10A was yes, please describe each outreach activity, its relationship to the UDLP and its development impact

10C) Does the documentation provide any indication that services provided by the USIHE linkage partner build community support (public or private sector) for the institution?

10D) If your answer to 10C was yes, please describe each service provided by the USIHE and how the service has increased community support for the institution

[The following sequence questions (#s 11 through 14) deal with two closely related issues, the nature and extent to which the linkage activities have had both positive and negative consequences for the linkage partners, and the potential for sustainability of linkage activities In responding to these questions, you are asked to make assessments which will often be based upon you response to earlier questions]

11A) What have been the primary positive consequences of the linkage partnership to the DCIHE? Please list Please reference any discussion of these consequences elsewhere in the questionnaire If you mention any consequences which have not been discussed in responding to earlier questions, please provide details

11B) What, if any, have been the negative consequences of the linkage for the DCIHE linkage partner? Please list, providing details

11C) What concrete steps have been taken by the DCIHE to sustain the linkage partnership beyond the end of the present project Please list, being specific about which aspect of the partnership will be sustained and how

11D) In the case documentation, is there any indication that linkage program participation has increased the DCIHE linkage partner's ability to compete for resources, acquire funding or other support for institutional activities?

11E) If your answer to 11D was yes, please describe each way in which the linkage has helped the institution compete for resources Please reference your answers to other questions as appropriate

12A) What have been the primary positive consequences of the linkage partnership to the USIHE? Please list Please reference any discussion of these consequences elsewhere in the questionnaire If any benefits are mentioned which have not been discussed in responding to earlier questions, please provide details

12B) What, if any, have been the negative consequences of the linkage for the USIHE linkage partner? Please list, providing (or referencing) details

12C) What concrete steps have been taken by the USIHE to sustain the linkage partnership beyond the end of the present project? Please list, being specific about which aspect of the partnership will be sustained and how

12D) In the case documentation, is there any indication that linkage program participation has increased the USIHE linkage partner's ability to compete for resources? (yes/no)

12E) If your answer to 12D was yes, please describe each way in which the linkage has helped the institution compete for resources Please reference your answers to other questions as appropriate

13A) Is there any indication that there have been administrative or logistical difficulties in project implementation?

13B) If your answer to 13A was yes, please describe each administrative or logistical difficulty Please reference your answers to other questions as appropriate

13C) Is there any indication that the linkage activities are not being appropriately managed and funded? (look of comments on decision making, particularly in terms of review, evaluation and modification procedures)

13D) If your answer to 13C was yes, please describe each way in which management or funding were considered to be inappropriate Please reference your answers to other questions as appropriate

13E) In the case documentation, is there any discussion of ways in which the partnership could be improved If so, describe each separate idea in a short paragraph, referencing the document(s) from which the idea(s) come(s)

14) Please list the primary source documents used in responding to this questionnaire

Annex C

UDLP Linkage Reports on File

ANNEX C

Of the 13 linkages begun in 1991

- 3 of the 13 linkages provided any reports during 1992
- **In 1993**
  - -- 5 out of 13 linkages submitted two quarterly reports and an annual report
  - -- 7 out of 13 submitted three quarterly reports and an annual report and
  - -- 1 out of 13 submitted all four quarterly reports and an annual report
- **In 1994**
  - -- 4 out of 13 linkages submitted two quarterly reports and an annual report
  - -- 1 out of 13 submitted only three quarterly reports
  - -- 7 out of 13 submitted three quarterly reports and an annual report and
  - -- 1 out of 13 submitted all four quarterly reports and an annual report
- **In 1995**
  - -- 11 of the 13 submitted the only quarterly report that was due prior to this evaluation

Of the 15 linkages begun in 1992

- **In 1993**
  - -- 1 out of 15 linkages submitted only two quarterly reports
  - -- 6 out of 15 submitted two quarterly reports and an annual report and
  - -- 8 out of 15 submitted three quarterly reports and an annual report
- **In 1994**
  - -- 4 out of 15 linkages submitted two quarterly reports and an annual report
  - -- 1 out of 15 submitted only three quarterly reports and
  - -- 9 out of 15 submitted three quarterly reports and an annual report and
  - -- 1 out of 15 submitted all four quarterly reports and an annual report
- **In 1995**
  - -- All 15 submitted the only quarterly report that was due prior to this evaluation

Annex D

USAID and Non-Governmental Funding for the UDLP

UDLP

APPROXIMATE OBLIGATION REQUIREMENTS FOR EXISTING MORTGAGES

(U.S $)

	Total USAID Funding	Obligated To Date	FY 95	FY 96	FY 97
AFRICA	8,740,103	4,950,000	1,697,981	1,494,916	597,206
ASIA & NE	6,982,991	4,250,000	1,394,813	900,000	437,738
LAC	7,047,840	4,579,582	1,372,624	774,542	320,932
Totals	22,770,934	13,779,582	4,465,418	3,169,458	1,355,876

ATTACHMENT 2

AFRICA

		U S Institution and Host Country	Types of Activity	Funding (U S $)						Project Total	% Non-USG Matching Funds
				Total USAID Funding	Obligated to Date	Mortgage	Future Obligations by Year				
							FY95	FY96	FY97		
1	1106	(U Pennsylvania - Nigeria/Bots)	(Adult Literacy Centers)	(500,000)	(400 000)	(100,000)	(100,000)	----	----	(1 852 112)	(73)
2	1114	Harvard Mozambique	Health Research & Planning	498 651	400 000	98 651	98 651	----	----	1 243 229	60
3	1118	Central State Ghana	Environmental & Industrial Engineering	499,330	400,000	99 330	99 330	----	----	1 000,729	50
4	2037	U Florida Uganda	Human Rights & Democracy	499,565	300,000	199,565	100 000	99 565	----	1 917 504	58
5	2038	Lincoln U Malawi	Infant & Child Nutrition	750 000	450 000	300 000	150 000	150 000	----	1 797 000	58
6	2040	Case Western Reserve Uganda	Public Health	500 000	300,000	200 000	100 000	100 000	----	1 635 000	70
7	2043	Penn State Kenya	Infant & Child Nutrition	750 000	500 000	250 000	125,000	125 000	----	2 201 000	67
8	2044	Rochester Mali	Maternal Child Health	749 894	500 000	249 894	125 000	124 894	----	2 328 807	68
9	2046	Clark Atlanta Madagascar	Women in Development	495,486	300,000	195,486	100,000	95 486	----	1,304,466	63
10	2048	U Iowa Nigeria	Development Management	999 971	600 000	399,971	200 000	199 971	----	2 822 661	65
11	3011	Oregon State Malawi	Agricultural Extension	999 648	400 000	599,648	200 000	200 000	199 648	2,215 152	55
12	3035	SUNY Madagascar	Environmental Protection	1 000,000	400,000	600,000	200 000	200,000	200,000	2,473,043	60
13	3037	U Connecticut Senegal	Democracy & Governance	499 723	200 000	299 723	100 000	100 000	99 723	1 176 743	57
14	3040	Eastern Washington Ghana	Technical Education	497 835	200 000	297,835	100 000	100,000	97 835	1 464 523	67
TOTAL				8 740,103	4,950,000	3 790,103	1 697,981	1 494 916	597 206	23,579 857	62
											$14 119 754

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AFRICA

A Population and Health

		FY 95	FY 96	FY 97	Child-Survival	HBCU	Basic Education
1	1115 Harvard - Mozambique	98,651	-	-			
2	2038 Lincoln U - Malawi	150,000	150,000	-	x	x	
3	2040 Case Western - Uganda	100,000	100,000	-			
4	2043 Penn State - Kenya	125,000	125,000	-	x	x	
5	2044 U Rochester - Mali	125,000	124,894	-	x		
		598,651	499,894				

B Natural Resources Managment and Environmental Protection

1	1118 Central State U - Ghana	99,330	-	-		x	
2	3035 SUNY - Madagascar	200,000	200,000	200,000			
		299,330	200,000	200,000			

C Democracy and Governance

1	2037 U Florida - Uganda	100,000	99,565	-			
2	3037 U Conn - Senegal	100,000	100,000	99,723			
		200,000	199,565	99,723			

D Economic Growth

1	1106 U Penn-Nigeria/Bots/Tun	(100,000)	-	-			x
2	2046 Clark Atlanta	100,000	95,486	-		x	
3	3040 Eastern Wash - Ghana	100,000	100,000	97,835			
4	2048 U Iowa - Nigeria	200,000	199,971	-			
5	3011 Oregon State U - Malawi	200,000	200,000	199,648		x	
		600,000	595,457	297,483			

Total Africa	**1,697,981**	**1,494,916**	**597,206**

ATTACHMENT 2

LATIN AMERICA AND THE CARIBBEAN

U S Institution and Host Country			Types of Activity	Funding (U S $)						Project Total	% Non-USG Matching Funds
				Total USAID Funding	Obligated to Date	Mortgage	Future Obligations by Year				
							FY95	FY96	FY97		
1	1107	U North Carolina - Colombia	Epidemiological Research	1 000 000	800 000	200,000	200 000	-	-	3 214 672	69
2	1110	Johns Hopkins U Mexico	Population Dynamics	499,998	400,000	99,998	99 998			1 697 717	71
3	1111	Worcester Polytech Ecuador	Polytech Field Projects	497 742	400 000	97,742	97 742	-		1 779 411	72
4	1114	(Harvard Mozambique/Mexico)	(Health Research/Planning)	(498 651)	(400 000)	(98,651)	(98 651)			(1 243 229)	(60)
5	1115	U Calif Davis Guatemala	Nutrition and Health	499 884	400 000	99 884	99 884	-	-	1,057,757	53
6	1116	U Montana - Belize	Nat Res Mgt /Env Protect	500,000	400,000	100 000	100 000	-		1,896 647	74
7	2039	Yale Chile	Legal Training & Scholarship	117 119	117 119	-	-	-	-	563 696	79
8	2042	Northwestern U - Mexico	Manufacturing Technology	499,542	300,000	199 542	100 000	99 542	-	1,025 798	51
9	2045	Texas A & M Mexico	Plant and Animal Health and Production	500 000	300 000	200 000	100 000	100,000		1 605 693	69
10	2047	Iowa State U Costa Rica	Ag /Nat Resources Mgt	750 000	450 000	300 000	150 000	150 000		1 559 240	52
11	3012	North Carolina St Costa Rica	Nat Res Mgt /Env Protection	500 000	200 000	300 000	100 000	100 000	100 000	1 146 008	56
12	3033	U Arizona Chile	Arid Land Management	500 000	200 000	300 000	100 000	100 000	100,000	1 092 926	54
13	3034	St Louis Comm Coll Guyana	Technical/Vocational Ed	593 441	258 787	334 654	125 000	125 000	84 654	1 435 513	59
14	3038	Yale Argentina	Legal Training & Scholarship	153 676	153 676					552 254	72
15	3039	Cornell Honduras	Agr /Nat Resources Mgt	436 278	200 000	236,278	100,000	100,000	36 278	1 788 351	76
TOTAL				7 047 840	4 579 582	2 468 098	1,372 624	774,542	320 932	20 415 683	65 13 367 843

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212

LATIN AMERICA AND THE CARRIBBEAN

A Population and Health	FY 95	FY 96	FY 97	Child-Survival	Basic Education	HBCU
1 1107 U North Carolina - Columbia	200,000	-	-			
2 1110 Johns Hopkins U - Mexico	99,998	-	-	x		
3 1114 Harvard - Mozambique/Mexico	(98,651)	-	-			
4 1115 U Calif Davis - Guatemala	99,984	-	-	x		
	399,982	-	-			
B Natural Resources Management and Environmental Protection						
1 1116 U Montana - Belize	100,000	-	-			
2 3012 North Carolina St - Costa Rica	100,000	100,000	100,000			
3 3033 U Arizona - Chile	100,000	100,000	100,000			
	300,000	200,000	200,000			
C Democracy and Governance						
1 2039 Yale - Chile (Fully Funded)						
2 3038 Yale - Argentina (Fully Funded)						
D Economic Growth						
1 1111 Worcester Polytech - Ecuador	97,742	-	-			
2 2042 Northwestern U - Mexico	100,000	99,542	-			
3 2045 Texas A & M - Mexico	100,000	100,000	-			
4 2047 Iowa State U - Costa Rica	150,000	150,000	-			x
5 3034 St Louis Comm Coll - Guyana	125,000	125,000	84,654			x
6 3039 Cornell University - Honduras	100,000	100,000	36,278			
	672,742	574,542	120,932			
Total Latin America - Caribbean	**1,372,724**	**774,542**	**320,932**			

ATTACHMENT 2

ASIA AND THE NEAR EAST

	U S Institution and Host Country		Types of Activity	Funding (U S $)						Project Total	% Non-USG Matching Funds
				Total USAID Funding	Obligated to Date	Mortgage	Future Obligations by Year				
							FY95	FY96	FY97		
1	1106	U Pennsylvania Tunisia	Adult Literacy Centers	500,000	400 000	100 000	100 000	-	-	1 852 112	73
2	1108	U Massachusetts Nepal	Youth/Adult Literacy Centers	495 274	400 000	95 274	95 274	-	-	1,028,618	52
3	1112	U North Carolina India	Health Management Teach Research Consultation	500,000	400,000	100 000	100 000	-	-	1 928 473	74
4	1113	Boston University Nepal	Primary Health Care	499,539	400 000	99 539	99 539		-	1 591 797	69
5	1117	Morgan State U Bangladesh	Family Planning Res/Exten	500 000	400,000	100,000	100 000	-	-	1 042 330	52
6	2021	Sinclair Comm Coll India	Vocational/Technical Ed	750 000	450,000	300 000	150 000	150 000	-	1 521 624	51
7	2035	Va Commonwealth Indonesia	Urban Management	500 000	300 000	200 000	100 000	100 000		1 560 364	68
8	2036	Utah State Morocco	Nat Res Mgmt /Envirnment	500 000	300 000	200 000	100,000	100 000	-	1 498 869	67
9	2041	Washington State Jordan	Nat Res Mgmt /Envirnment	500 000	300 000	200,000	100 000	100,000		1 497 509	67
10	3010	U Oklahoma Thailand	Petrochemical Engineering	1 000 000	400 000	600 000	200 000	200 000	200 000	2 252 945	56
11	3036	Case Westrn Resrve Thailand	Biomedical Engineering	737,738	300 000	437 738	150 000	150 000	137 738	2 912 341	75
12	3041	Clemson U Indonesia	Integrated Pest Managment/Biocontrol	500,000	200 000	300 000	100,000	100 000	100 000	1 195,000	58
TOTAL				6,982,551	4,250,000	2,732,551	1 394,813	900 000	437 738	19 881 982	65
											(12,899 431)

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Asia - Near East

A Population and Health	**FY 95**	**FY 96**	**FY 97**	**Child-Survival**	**Basic Education**	**HBCU**
1 U North Carolina - India	100,000	-	-	x		
2 Boston University - Nepal	99,539	-	-	x		
3 Morgan State U - Bangladesh	100,000	-	-	x		x
4 Case Western - Thailand	150,000	150,000	137,738			
	449,539	150,000	137,738			
B Natural Resources Management and Environmental Protection						
1 Va Commonwealth - Indonesia	100,000	100,000	-			
2 Utah State U - Morocco	100,000	100,000	-			
3 Washington State - Jordan	100,000	100,000	-			
4 Clemson University - Indonesia	100,000	100,000	100,000			
	400,000	400,000	100,000			
C Economic Growth						
1 U Pennsylvania - Tunisia	100,000	-	-		x	
2 U Massachusetts - Nepal	95,274	-	-		x	
3 Sinclair Comm Coll - India	150,000	150,000	-		x	
4 U Oklahoma - Thailand	200,000	200,000	200,000			
	545,274	350,000	200,000			
Total Asia - Near East	**1,394,813**	**900,000**	**437,738**			

Annex E

Institutional Linkage Partners' for the Linkages Examined in the Evaluation

Annex E Involvement of UDLP Institutions in the Evaluation

Institutions Participating in the Linkage	Self-Study Instrument Completed/Returned		Involved in a Site Visit
	United States Institution(s)	Developing Country Institution(s)	
Linkages Initiated in 1991			
Boston University, Earth Watch (USA) and Tribhuvan University, Nepal	X		
University of California-Davis (USA) and Instituto de Nutricion de Central America y Panama (INCAP), Guatemala			
Central State University (USA) and University of Science and Technology, Ghana	X	X	
Harvard University (USA), Instituto Nacional de Salud Publica, Mexico and Universidad Eduardo Mondlane, Mozambique	X		X
Johns Hopkins University (USA), the University of Maiduguri, the University of Ilorin and the University of Benin, Nigeria			
Johns Hopkins University (USA) and El Colegio de Mexico	X		X
Morgan State University (USA) and Jahangirnagar University, Bangladesh	X	X	
University of Pennsylvania (USA), University of Botswana, University of Ibadan, Nigeria and University of Tunis, Tunisia	X	X	
University of North Carolina at Chapel Hill, University of Pennsylvania (USA) and Pontifica Universidad Javeriana, Colombia	X	X	
University of North Carolina at Chapel Hill (USA) and the Indian Institute of Health Management Research, India	X		X
University of Massachusetts (USA) and Tribhuvan University, Nepal, with World Education	X	X	
University of Montana (USA) and University College of Belize	X	X	

Annex E Involvement of UDLP Institutions in the Evaluation

Institutions Participating in the Linkage	Self-Study Instrument Completed/Returned		Involved in a Site Visit
	United States Institution(s)	Developing Country Institution(s)	
Worchester Polytechnic Institute (USA) and the Escuela Superior Politecnica del Litoral, Ecuador	X		
Linkages Initiated in 1992			
Case Western Reserve University (USA) and Makerere University Uganda	X	X	X
Clark Atlanta University (USA) and the University of Toamasina Madagascar		X	
University of Iowa, University of Northern Iowa, Des Moines Area Community College, Iowa State University (USA) and University of Ibadan, Obafemi Awolowo University, the Polytechnic Institute of Ibadan, and the Nigerian Institute of Social and Economic Research, Nigeria	X		
Iowa State University, Prairie View A&M (USA), and the Universidad de Costa Rica	X		
Lincoln University and the University of Minnesota (USA) and the University of Malawi Bunda College of Agriculture	X		
Northwestern University (USA) and the Universidad Autonoma de Yucatan, Mexico	X	X	X
Pennsylvania State University (USA) Tuskegee University and the University of Nairobi at Kabete Kenya			
Community Colleges for International Development, Sinclair Community College, Eastern Iowa Community College District (USA) and Madras University Center for Vocational Education, India	X	X	X
Texas A&M University (USA) and Universidad Nacional Autonoma de Mexico	X	X	X
Virginia Commonwealth University (USA) and Hasanuddin University Indonesia	X	X	

Annex E Involvement of UDLP Institutions in the Evaluation			
Institutions Participating in the Linkage	**Self-Study Instrument Completed/Returned**		**Involved in a Site Visit**
	United States Institution(s)	**Developing Country Institution(s)**	
University of Rochester, Columbia University (USA) and Ecole Nationale de Medicine et de Pharmacie Mali	X	X	
University of Florida (USA) and Makerere University Uganda	X	X	X
Utah State University (USA) and the Institut Agronomique et Veterinarie Hassan II, Morocco	X	X	
Washington State University (USA) and the University of Jordan	X	X	
Yale University Law School (USA), the Universidad de Chile and Diego Portales University	X	X	

Annex F

Linkage Profiles

University Development Linkage Program Profile

U S Partner(s):	Boston University (Massachusetts)		
	Earthwatch (Massachusetts)		
Developing Country Partner(s)	Tribhuvan University (Nepal)		
Initial Year	1991		
Funding Level	USAID	$ 499,539	(31%)
	Other Sources	$1,092,258	(69%)
	Projected Total	$1,591,797	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview[1]

The purpose of the linkage between Tribhuvan University (TU) and Boston University (BU) is to strengthen educational, research and service programs that address primary health care services The linkage builds upon academic foundations already in place at each institution Historically, TU's community medicine programs trained and upgraded the clinical skills of direct service providers BU's international health curriculum is focusing on developing management and organizational skills of public health workers and re-orienting clinicians to primary health care The TU Department of Community Medicine is now developing graduate programs to qualify health care providers as health care managers, and the BU Center for International Health is developing field training sites for its MPH students to acquire applied public health skills It is evident that each institution has much to learn from the other Ten years of collaboration have allowed principals from each university to develop an appreciation for the other's strengths

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[1] This overview and overviews provided for other linkages presented in these profiles were prepared by the Technical Advisory and Support Services (TASS) project staff that operates out of USAID s Center for Human Capacity Development The TASS project is being implemented for USAID by the CENTECH Group Inc

The capabilities of TU are being strengthened through short courses, workshops and academic training for faculty, through joint applied research programs, and through added texts and periodicals Student and professional exchanges at the masters and doctoral level provide additional technical expertise to Nepalese institutions for short periods while providing American specialists with field knowledge of the requirements and possibilities for community health programs

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Establish and cultivate a formal university linkage relationship	Proceeding as planned meetings held, formal accounting and information systems in place, but somewhat later than planned due to political instability and personnel changes at Tribhuvan University
2	Establish a faculty development program for Tribhuvan University	Proceeding as planned faculty exchanges underway
3	Expand academic resources at Tribhuvan University Department of Health and Community Medicine	Proceeding as planned funds transferred, equipment shipped, laboratories partially constructed
4	Develop a Public Health Student Exchange Program	Proceeding as planned student exchanges underway
5	Develop a Public Health Research Agenda	Incomplete some collaborative proposal writing efforts underway, agenda effort has not yet yielded planned results

University Development Linkage Program Profile

U S Partner(s)	University of California at Davis
Developing Country Partner(s)	Institute of Nutrition of Central America and Panama (INCAP) at San Carlos University (Guatemala)
Initial Year	1991
Funding Level	USAID $ 499,884 (47%) Other Sources $ 557,873 (53%) Projected Total $1,057,757
Topical Focus	Health and Population
Program Components	✓ academic ✓ research ____ outreach

Overview

Large number of people in Central America (and elsewhere) suffer from malnutrition Many have varying degrees of undernutrition and its related disabilities, while others are burdened with overnutrition and its secondary chronic diseases In the region, it is estimated that as much as half of the incomes of families is used for food-related expenditures The public and private costs of human disorders caused and/or worsened by malnutrition are quite large in human and economic terms The close relationship between nutrition, health, and economic development underscores the urgent need for greater understanding and improvement of existing nutritional conditions This UDLP brings together two highly regarded, established institutions to help address nutrition and health issues in Central America

Initiated in late 1991, this linkage has created an inter-institutional exchange program to enhance graduate training in Food and Nutrition and related sciences at INCAP and to fortify existing collaboration activities of the two institutions in education, research, and public service The purpose of this activity is to expand the scope of food and nutrition training and research activities in Guatemala and Central America, thereby contributing to the health, well being, and future development of these countries' populations

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Create administrative structure to manage linkage activities	Proceeding as planned structure operational
2	Strengthen and improve INCAP's Food and Nutrition in Health Master's degree program	Incomplete delayed due to reorganization at INCAP, Master's program formally approved by INCAP but not yet operational
3	Establish a visiting scholars program to bring INCAP staff to UCD	Incomplete some scholars visited UCD, but less than originally planned as a function of reorganization
4	Initiate Ph D and short-term technical training for INCAP staff at UCD	Change in plan Two individuals sent to UCD per original plan, but INCAP decided not to send more for an indeterminate period because of the number of faculty already studying abroad
5	Encourage long-term sustainability by developing and conducting collaborative research projects thereby attracting external funds	Incomplete pilot projects and proposals for follow-on projects completed, but fewer than originally planned

University Development Linkage Program Profile

U S Partner(s)	Case Western Reserve University (Ohio)		
Developing Country Partner(s):	Makerere University (Uganda)		
Initial Year·	1992		
Funding Level	USAID	$ 500,000	(31%)
	Other Sources	$1,135,000	(69%)
	Projected Total	$1,635,000	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview

Uganda has been devastated by two decades of civil war and an AIDS epidemic that exceeds comprehension Makerere University in Kampala, Uganda's capital, was once the premier institution of higher education in colonial Africa Today, Uganda is a country struggling on the road to recovery Since the establishment of a new government in 1986, there has been increased stability and a concerted effort to rehabilitate all aspects of the infrastructure of Ugandan society To meet the increasing health needs of the country, the government has made a strong commitment to improve health care services and has implemented a national health policy based on primary health care, accepting the-1978 Alma Alta goal of Health for All by the Year 2000

Case Western Reserve University (CWRU) in Cleveland, Ohio and Makerere University in Uganda have been collaborating for the past four years on programs that include research on AIDS and education in epidemiology and primary health care nursing This linkage builds on these pre-existing collaborations, strengthen them, enhance their continuity, and extend them to meet Uganda's urgent public health needs In this linkage, the institutions will concentrate their efforts on curriculum development and faculty enhancement at the Makerere University Institute of Public Health and Department of Nursing

The two participating universities each bring to this linkage great-strengths and opportunities CWRU is a major research-oriented American university with particular strength in health

sciences International collaborations have received high priority at CWRU for many years, and a Center for International Health, which will serve as the management center for this linkage, serves to coordinate international health-related activities across the university Makerere University, once preeminent in Africa, is struggling to rebuild in the wake of war and epidemic disease It has a proud tradition of academic medicine and previous graduate programs in public health The two universities have a history of collaboration, and the linkage will strengthen that collaboration

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Strengthen the existing relationship between the linkage partners	Proceeding as planned staff hired, equipment acquired, collaborative meeting and exchanges arranged
2	Increase faculty capability at Makerere University in public health, concentrating on the School of Public Health and on the Department of Nursing	Proceeding as planned faculty encounters arranged, research and focus on improving teaching at Makerere
3	Modernize the international public health curriculum in the School of Public Health and on the Department of Nursing	Proceeding as planned work on development of curriculum underway, field operations manual on primary health care produced
4	Strengthen and broaden the capabilities of the Center for International Health (CIH) at the School of Medicine of CWRU	Proceeding as planned faculty hired, training provided, CIH administrative capability upgraded

University Development Linkage Program Profile

U S Partner(s)·	Central State University (Ohio)		
Developing Country Partner(s).	University of Science and Technology (Ghana)		
Initial Year	1991		
Funding Level	USAID	$ 499,330	(50%)
	Other Sources	$ 501,399	(50%)
	Projected Total	$1,000,729	
Topical Focus	Environment and Natural Resources		
Program Components	____ academic	✓ research	✓ outreach

Overview

Ghana is a developing nation that is striving mightily to modernize its economy and accelerate development At present, Ghanaians from all walks of life in the villages and cities are making efforts to design and manufacture all sorts of items from simple push vehicles to complex hydraulic presses There is a proliferation of second-rate workshops that manufacture numerous products of inferior quality This state of affairs emphasizes national needs for improved skills and technologies This UDLP is directed in part towards developing institutional arrangements to help meet such development needs

Central State University (CSU) in Ohio is an HBCU It has programs (manufacturing engineering, chemistry, water resources management, and international business management), international development project experience (Northern Senegal Water Management Project, Mali Research and Development Program, Egypt Groundwater Resources Evaluation Project, and International Business Education Program), and extensive university relationships in Africa (Senegal, Nigeria, Mali, and Togo) of direct relevance and usefulness to Ghana's development needs CSU has the commitment and capacity to help meet Ghana's needs through the linkage

The linkage partner is the University of Science Technology (UST) in Kumasi, Ghana Established in 1961, UST has the only Faculty of Engineering in Ghana Its Department of Mechanical Engineering has diploma, undergraduate, and graduate (master's) programs In recent years, UST established a Technology Transfer Center through which university generated

information and technologies are channelled to industry Also within the university is the Bureau of Integrated Rural Development which helps to coordinate, focus, and deliver the work of relevant departments to individuals, public and private agencies, and commercial firms operating in rural areas

Collaborative Agreement Objectives/Achievements:

	Objective	Progress Reported
1	In chemistry, exchange strategies for monitoring environmental pollutants and meeting the educational goals of the two universities	Proceeding as planned needs assessment completed, micro-computer workshop conducted, hardware and software purchased, faculty and student exchanges undertaken, joint research initiated in Ghana, analytic methodologies exchanged
2	In water resources management, exchange strategies for compiling estimating and analyzing water resource data to characterize industrial waste, urban drainage systems, etc	Proceeding as planned needs assessment conducted, technical information exchanged faculty and student exchanges undertaken, books donated, some difficulty experienced in financing flow gauges but data collection has been initiated, analysis software introduced, first environmental impact assessment workshop held,
3	In manufacturing engineering, promote resource and technology exchange in fields of computer-aided manufacturing design, and materials processing and testing	Proceeding as planned product consultations undertaken, faculty exchanges undertaken focusing on computer aided design software, design of fu-fu machine etc , journals and publications

University Development Linkage Program Profile

U S Partner(s)	Clark Atlanta University (Georgia)		
Developing Country Partner(s):	University of Toamasina (Madagascar)		
Initial Year			
Funding Level	USAID	$ 495,486	(38%)
	Other Sources	$ 808 930	(62%)
	Projected Total	$1,304,416	
Topical Focus	Economic Growth		
Program Components	✓ academic	✓ research	✓ outreach

Overview

Recent moves towards decentralization in Madagascar have opened up possibilities for universities to begin the process of faculty development and institution building thus enabling them to produce the skills and human resources needed for national development For years, political and economic conditions in Madagascar have limited faculty, staff, and student access to the latest ideas, equipment, and materials Inadequate library and teaching materials, including textbooks, lack of duplication and computer facilities, inadequate laboratories, and lack of meaningful interaction with an external academic community have led to intellectual and developmental stagnation When external links have been established they have generally been with French, European or Canadian institutions whose primary orientations have not been developmental The UT is particularly interested in reducing its reliance on expatriate staff and in building technical assistance for new initiatives in the areas of women in development (WID), environmental programs, communication arts, and language and business training The UT is also interested in cultural and academic interaction with historically black institutions in the United States This linkage connects concerns with CAU's internationalization goals, its interest and experience in training in capacity building for development in Francophone, Africa, and its interest in long term collaborative relationships with French-speaking African universities

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Increase and enhance the French language capacity of CAU's faculty	Proceeding as planned multiple courses given
2 Increase and enhance the capacity of UT to initiate and manage "English as a Foreign Language" (ESL) programs	Proceeding as planned Equipment obtained, materials developed, language laboratory operational "ahead of schedule", EFL program functioning
3 Expand the "Women in Development" research and teaching capacity in both linkage institutions	Proceeding as planned WID training program developed, library materials delivered, African Women's Center established
4 Increase UT's expertise in the area of library service development	Proceeding as planned UT librarian enrolled in courses for MA in library science from CAU
5 Develop an entrepreneurship training capacity at UT	Proceeding as planned UT faculty took CAU training of trainers course Entrepreneurship Center established in-country workshop conducted

University Development Linkage Program Profile

U S Partner(s).	Harvard University (Massachusetts)		
Developing Country Partner(s):	Instituto Nacional de Salud Publica (Mexico) Universidad Eduardo Mondlane (Mozambique)		
Initial Year.	1991		
Funding Level	USAID	$ 498,651	(40%)
	Other Sources	$ 744,578	(60%)
	Projected Total	$1,243,229	
Topical Focus	Health and Population		
Program Components:	✓ academic	✓ research	✓ outreach

Overview

Essential national health research (ENHR), as conceived by the International Commission on Health Research, is a strategy not only to empower national health programs to set their own research agendas and acquire the talent to carry them out, but also to bridge the crucial communications gap between the scientific and policy-making communities Those who gather data on disease and on obstacles to comprehensive health care, and those who make decisions on the allocation of health service resources, must collaborate more closely and effectively if those resources, invariably in short supply, are to be wisely used This is deemed particularly important in developing countries because of the particular need for cost effective use of the limited funds available for health sector applications

The three institutions to be linked under this project are the Harvard University School of Public Health (HSPH), the Instituto Nacional de Salud Publica of Mexico and the Faculty of Medicine of Universidad Eduardo Mondlane of Mozambique These institutions have all been closely involved in the analysis which gave birth to the ENHR idea, and in the subsequent search for effective models for its interpretation and implementation The linkage will make it possible for them to further this process Through it they will establish a multicentric training system for ENHR, one which provides both short- and long-term training and intensive field experience, and develop mechanisms for the permanent strengthening of interactions between researchers and decision-makers

The linkage is based at Harvard but overseen by a Management Committee representing each participating institution, which is responsible for project development and evaluation A five-year work plan provides for phasing in different aspects of the proposed training over time, and for substantial travel for project monitoring, field research, and interactive workshop activity

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Establish a multi-centric training system for essential national health research (ENHR)	Incomplete training programs provided, joint research on "burden of disease" undertaken, leadership program postponed Direct South-South interactions were underfunded and exchanges between Mexico and Mozambique delayed due to communications problems In addition, site visit reports that progress on this objective was very different in Mexico and Mozambique In Mexico work on the burden of disease culminated in efforts that informed policy making in the country In Mozambique both institutions agree that progress was unsatisfactory
2 Strengthen interaction between health decisionmakers and researchers	Proceeding as planned workshops involving researchers and policy makers held in both countries As noted above, progress in Mexico was impressive and led to preparation of policy proposals, in Mozambique, progress was disappointing

University Development Linkage Program Profile

U S Partner(s)	University of Iowa and other Institutions of Higher Education in Iowa
Developing Country Partner(s)	University of Ibadan and three state Universities in Nigeria (Obafemi Awolowo University, Nigerian Institute for Social and Economic Research and the Polytechnic Institute of Ibadan
Initial Year:	1992
Funding Level·	USAID $ 999,971 (35%) Other Sources $1,822,690 (65%) Projected Total $2,822,661
Topical Focus:	Environment and Natural Resources
Program Components:	✓ academic ✓ research ✓ outreach

Overview

The purpose of this linkage is to promote the strengthening of institutional capacities for research and training in several key areas of development planning, management, and analysis in the mentioned Nigerian institutions and to build upon and expand existing international relationships of the four participating Iowa institutions, namely the University of Iowa (UI), Iowa State University (ISU), the University of Northern Iowa (UNI), and the Des Moines Area Community College (DMACC) Together, the Iowa and Nigerian institutions represent a great variety of skills, talent, and experience ranging from basic research, through undergraduate and graduate academic, to practical training and technical skills development A close set of relationships have developed over the years among members of the faculty and staff at the Nigerian institutions and the Iowa-based institutions These institutions now seek to build upon and strengthen these relationships through UDLP The cooperative agreement allows faculty and staff from the Iowa and Nigerian institutions to implement a coordinated program of collaborative research training programs, and faculty exchanges which will focus on eight principal development problem areas as follows (1) development project planning and management, (2) small-scale enterprise development, (3) analysis of rural-urban linkages, (4) participation and decentralization, (5) development support communications, (6) environmental monitoring and impact analysis, (7) indigenous knowledge systems, and (8) spatial Decision Support Systems/GIS

These areas were selected to take advantage of the complementary strengths of the institutions and reflect faculty research interests and institutional commitment, both of which are essential aspects of sustainability The long term developmental impact of these activities will therefore involve greater inter-institutional cooperation, increased institutional capacity for development assistance activities, and well-trained and integrated teams of researchers to address important societal problems and internationalized curricula

Collaborative Agreement Objectives/Achievements.

Objective	Progress Reported
1 Establish advisory and administrative mechanisms for managing linkage activities	Proceeding as planned offices set up, coordinators identified, e-mail set up in U S and efforts to link Nigerian institutions is underway, Development Advisory Team workshops held
2 Establish a support communications activity	Incomplete data collection on Nigerian needs initiated, workshop held in U S but not Nigeria (due to "decertification" of Nigeria), newsletter production not yet transferred to Nigeria
3 Establish small business development programs (a) business incubator and (b) community banking and finance	Incomplete (a) plans for business incubator and building at Polytechnic in Ibadan designated, but implementation postponed due to "decertification, (b) questionnaire for Nigerian banks developed, but not yet administered
4 Undertake activities that focus on participation and decentralization	Proceeding as planned working group created methods developed, case studies prepared, seminar held despite short delay due to "decertification, ' publication of research results and further case work planned
5 Undertake activities that focus on environmental monitoring and management	Proceeding as planned workshops held, training provided computer purchased and delivered despite delay due to ' decertification"
6 Undertake activities that focus on educational support services for adult students and women	Incomplete Faculty exchanges and literature review undertaken, field data collection in Nigeria postponed due to 'decertification"
7 Undertake activities that focus on indigenous knowledge	Proceeding as planned workshop held some training materials developed, establishment of documentation centers slow due to lack of funds, study groups set up, initial research undertaken, more planned
8 Develop a locational analysis/decision support system laboratory at Unibadan	Proceeding as planned faculty exchanges/training undertaken, computer equipment delivered, laboratory opened, research proposals prepared

University Development Linkage Program Profile

U S Partner(s)	Iowa State University		
	Prairie View A&M University (Texas)		
Developing Country Partner(s).	University of Costa Rica		
Initial Year:	1992		
Funding Level	USAID	$ 750,000	(48%)
	Other Sources	$ 809,240	(52%)
	Projected Total	$1,559,240	
Topical Focus:	Environment and Natural Resources		
Program Components:	✓ academic	✓ research	✓ outreach

Overview

Significant changes have been implemented recently in the function of international agriculture program administration at Iowa State University (ISU), resulting in the recognition of international work as an integral part of teaching, research, and extension, rather than as a fourth dimension of the university's mission In addition, two specific areas of the world were chosen for major emphasis, namely Central America and Eastern Europe/Newly Independent States It was also decided that a partnership between ISU and Historically Black College or University (HBCU) would be established to join in the university's international program efforts The HBCU identified was Prairie View A&M University of Texas

In March 1991 ISU's "Interamerican Center for Science Education and Technology (ISU-CICET) was officially inaugurated in Costa Rica, through a partnership arrangement with the University of Costa Rica (UCR) This UDLP will utilize ISU-CICET as the center for implementation and management The current project includes development activities in numerous focus areas that will not only support the priorities of Costa Rica, but provide for internationalization of the U S institutions as well as institutional development for UCR Other collaborating institutions in Costa Rica are 1) Centre Agronomico Tropical del Investigacio y Ensenanza (CATIE), 2) Escuela de Agricultura de la Region Tropical Humeda, (EARTH), and 3) Universidad Nacional

Both PVAM and ISU have need for continued strengthening of the international dimensions of their teaching research and service programs The linkage will facilitate a partnership arrangement with the UCR that will enhance internationalization of the respective campuses, and will increase the institutional capacity for development support activities

Collaborative Agreement Objectives/Achievements.

Objective	Progress Reported
1 Establish efficient linkage operations procedures and extend financial basis of linkage with sources other than USAID	Proceeding as planned administrative procedures established, potential funding sources contacted, high level of faculty in-kind contributions realized
2 Internationalization of both linkage institutions	Incomplete Communications systems set up, faculty exchanges initiated, spring seminar/study tour conducted, but language training not yet held on respective campuses and student exchanges not yet begun
3 Strengthen participating institutions by sharing expertise and using a partnership approach for conducting activities	Incomplete Strategic planning process, underway, technology transfer workshop held, training for Turrialba faculty conducted joint research initiated, but curriculum "revitalization" has not been undertaken and career educational program in agricultural extension has not been established
4 Achieve focus area objectives, i e	
-- Contribute to the rural development of Costa Rica through the establishment of a partnership educational program	Incomplete Original pilot project idea rejected in favor of another that is now underway, but no rural development research or cooperative activities have begun
-- Establish an educational program on sustainable agriculture and natural resource conservation	Incomplete Training and some research underway, but proposal that would have funded new program in sustainable agriculture has not been funded
-- Enhance small business development through an extensive educational program	Change in plan MA program development is no longer a priority due to understaffing in the Agricultural Economics department at UCR, nevertheless some assistance to cooperatives on feedlot management is being provided
-- Assist in the establishment of a communications network that will enable participating universities and other Costa Rican educational institutions to access educational programs and library resources	Incomplete E-mail has been improved at both sites, but there has been no action on reorganization of the libraries at UCR or procurement of a satellite dish

University Development Linkage Program Profile

U S Partner(s)·	Johns Hopkins University (Maryland)		
Developing Country Partner(s)	University of Benin, University of Ilorin, and the University of Maiduguri (Nigeria)		
Initial Year:			
Funding Level·	USAID	$ 500,000	(27%)
	Other Sources	$1 415,678	(73%)
	Projected Total	$1,915,678	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview

An excellent start has been made toward assessing Nigeria's societal health needs in the recently published "National Health Policy and Strategy to Achieve Health for All Nigerians" (1988) One of the key elements of the policy calls for essential National Health Research to further define and refine effective and efficient solutions to those health needs at both national and community levels The National Health Research Policy (1990) details priorities for research in health systems, epidemiology, nutrition, manpower development, essential drugs, traditional alternative medicine, and health information systems This linkage is designed to enhance the capacity of the Nigerian universities to address these vital research priorities As a result, the local linkage universities in collaboration with The Johns Hopkins University School of Hygiene and Public Health will have a key role to play in helping Nigeria provide essential health services The program will build on the already established and productive institutional linkages between The Johns Hopkins University (JHU) in the United States and a consortium of three Nigerian universities

Collaborative Agreement Objectives/Achievements.

Objective	Progress Reported
1 Build a communications link between collaborators	Proceeding as planned Mailing list developed, fax installed, meetings held, difficulties noted concerning sending materials between the two countries
2 Establish faculty and postgraduate exchange program	Incomplete Exchanges initiated, but reports received document fewer exchanges than projected, partially due to travel advisory/restrictions
3 Establish exchange of library and other resources	Incomplete Library materials sent to Nigeria, but reverse flow not reported No information provided concerning publication of Annual Research Summary
4 Joint curriculum development	Incomplete No information provided concerning plans for Annual Curriculum Review Course design work focusing initially on modules that will strengthen existing programs Nigerian universities were closed for a while to avoid political unrest on campus
5 Collaborative small grants research program	Incomplete Grant proposal seminar successful and some collaborative research is being supported with these funds, but no progress in obtaining external grant funds was reported

University Development Linkage Program Profile

U.S Partner(s)	Johns Hopkins University (Maryland)		
Developing Country Partner(s)	El Colegio de Mexico		
Initial Year	1991		
Funding Level	USAID	$ 497,742	(28%)
	Other Sources	$1,301,669	(72%)
	Projected Total	$1,799,411	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview

Burgeoning populations and rapid urbanization in Central and South America have created environmental, public health, and population distribution problems that require resolution through government policies and actions In the region, Mexico leads in responding to such problems and in identifying strategies and policies to address them Increased industrialization that will result from the recent free trade agreement between the U S and Mexico must be managed to minimize adverse impacts on the environment and on vulnerable population groups El Colegio de Mexico (COLMEX) and The Johns Hopkins University School of Hygiene and Public Health (JHU SHPH) are premier institutions for bringing social science and public health perspectives to such issues COLMEX, founded fifty years ago, is recognized by academic, civic and nongovernmental organizations in Mexico and Latin America as an impartial academic leader It is a regional center of excellence whose student body is twenty-percent international JHU SHPH is preeminent among the world's academic public health institutions with a long history of involvement in international health programs

This UDLP will build on already established relations between COLMEX and JHU SHPH It will strengthen joint programs of international education and research on population change and health, with special emphasis on Latin America

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Establish linkage program and procedures	Proceeding as planned agreements signed, bi-annual meetings held
2	Strengthen capacity for training and curriculum development	Proceeding as planned faculty and student exchanges initiated, problems in finding matching funds to support exchanges were noted
3	Develop a program of scientific exchange to enhance dissemination efforts	Proceeding as planned Printed materials exchanged computer equipment and computerized data bases delivered
4	Develop a sustainable program of joint research to effectively address emerging health and related social and population issues in Latin America	Incomplete Joint research proposal prepared behind schedule subprojects were initiated, but behind schedule, workshop to collaboratively identify a research agenda was postponed, difficulties in finding matching funds cited

University Development Linkage Program Profile

U S Partner(s)	Lincoln University of Missouri and The University of Minnesota		
Developing Country Partner(s)	University of Malawi Bunda College of Agriculture		
Initial Year.	1992		
Funding Level	USAID	$ 750,000	(42%)
	Other Sources	$1,047,000	(58%)
	Projected Total	$1,797,000	
Topical Focus	Health and Population		
Program Components:	✓ academic	✓ research	✓ outreach

Overview

The malnourishment of children under the age of five is one of the most severe impediments to human resource development that presently faces the nation of Malawi There are a number of reasons why this is the case The weaning food which is traditionally used is low in protein and fat and puts children at risk for protein energy malnutrition (PEM) at the time they are weaned to solid food The per capita income is low (approximately $165 year), which precludes the purchase of supplemental foods for young children in most instances There is a need for rural families to have the ability to implement preventive measures at no great cost which will establish and maintain the good nutritional status of their children The goal of this linkage to design and implement a program that will meet this need for the children to be better nourished, one of the most pressing development issues in Malawi and sub-Saharan Africa generally

The three institutions linked under this project are Lincoln University of Missouri, the University of Minnesota, and the University of Malawi Bunda College of Agriculture Through a series of communications and a visit by Lincoln and Minnesota faculty members to Bunda College, the decision was made to launch the linkage with a project which will draw on major strengths of the three universities to assist the nation of Malawi in addressing one of its most serious development problems, that of malnourishment as a major contributor to high morbidity and mortality of children under five

Bunda College has major strengths in the areas of animal science, particularly small ruminants, and human nutrition Its faculty works closely with representatives from the Ministries of Agriculture, Health, Community Services, and Women's and Children's Affairs to extend the benefits of its research to the rural sector Lincoln University has internationally known programs in extension services to smallholders, and has particular strength in dealing with goat and sheep management and production The University of Minnesota brings to this linkage faculty strength in the areas of animal genetics, community health, and human nutrition The linkage of the three institutions of higher education in the context of this five-year project is defined by the participants as the first step toward a longstanding consortial relationship which will allow them to work together in a number of capacities, including faculty and student exchanges, participation as collaborators in research and development projects, joint authorship of publications, and as innovators in multidisciplinary approaches to problems of international development

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Develop data base on production and biological characteristics of small ruminants, with special emphasis on goats	Proceeding as planned plan developed, journals and data bases acquired, papers prepared/presented, goats acquired, but behind schedule, due to breed availability feeding facilities built, data collection initiated ahead of schedule
2	Implement demonstration and extension program for goat husbandry, focusing on milk and meat production for smallholders	Proceeding as planned extension workshop held, videotape prepared, goats distributed to pilot villages, program of village visits initiated
3	Plan and implement outreach programs for utilizing goat milk and meat in the family diet involving healthworkers in this effort wherever possible	Proceeding as planned villages selected, instrument developed, data collection initiated, preparation of goat management and handling materials near completion

University Development Linkage Program Profile

U S Partner(s)	Morgan State University (Maryland)		
Developing Country Partner(s)	Jahangirnagan University (Bangladesh)		
Initial Year:	1991		
Funding Level	USAID	$ 500,000	(48%)
	Other Sources	$ 542,330	(52%)
	Projected Total	$1,042,330	
Topical Focus:	Health and Population		
Program Components:	____ academic	✓ research	✓ outreach

Overview

Many developing nations have to move faster and faster just to remain in place and even faster to get ahead Bangladesh is one such nation With a population of 11 7 million people, an annual estimated population growth rate of 2 6%, and more than its share of natural disaster setbacks, it is clear that every development effort must count in order to make a difference

Morgan State University (MSU), and Jahangirnagar University (JU), are involved in a linkage that will examine rural development programs in Bangladesh Given the desperate situation in areas of health, family planning, female education and economic well-being, they have established a Human Resources Center at Jahangirnagar University to undertake surveys, studies, analyses, pilot projects, and training directed towards amelioration of selected problems, with special regard to the well-being of women

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Establish a Human Resources Development Center (HRDC) at Jahangirnagar University (JU) to coordinate research and other linkage activities	Proceeding as planned Director appointed and office and research space provided, albeit later than originally scheduled due to budget and space constraints, research agenda defined, two national studies on income generation and poverty elimination completed
2 Action research project demonstrates that self-sustaining/income generating solutions to health, family planning and female education problems in rural areas can be arranged through the use of women leaders in the informal sector, thereby reducing the load on government financing	Proceeding as planned action research project set up in Kapasia Upazila, field laboratory developed, organizers trained, over 1,000 women recruited, trained and awarded collateral to form income-generating enterprises, baseline survey completed by JU's evaluation research unit
3 Collaborative research on factors affecting the utilization of health care services by women, and analysis of factors differentiating fertility, infant mortality and family planning in Bangladesh	Proceeding as planned national databases and other data sets procured and analyzed, papers prepared and presented or published national household survey on female self-employment conducted and report prepared
4 Small research projects carried out by Jahangirnagr University faculty	Proceeding as planned small research projects undertaken

University Development Linkage Program Profile

U S Partner(s)	Northwestern University (Illinois)		
Developing Country Partner(s):	Universidad Autonoma de Yucatan (Mexico)		
Initial Year	1992		
Funding Level	USAID	$ 499,542	(49%)
	Other Sources	$ 526,256	(51%)
	Projected Total	$1,025,798	
Topical Focus	Economic Growth		
Program Components	✓ academic	✓ research	✓ outreach

Overview

The continued development of Mexican industry and the enhancement of the global competitiveness of the Mexican economy will require upgrading of its manufacturing technology and increasing collaboration with foreign firms, which will improve its capability to attract needed foreign capital and to pursue export markets

This linkage between Northwestern University (NU) and the Universidad Autonoma de Yucatan (UADY), will support the modernization of Mexican manufacturing through joint research, curriculum and academic program development at UADY, and the expansion of UADY extension services to the manufacturing community in the state of Yucatan

The linkage will enable NU to bring UADY into its existing partnership with the state of Yucatan, and to add the additional resources needed to conduct research and academic program development activities, which will complement the existing work and add a needed academic foundation For UADY, the linkage will enhance many aspects of its mission, including expanding its extension services to the community, supporting research that is in the public interest, and strengthening its ability to produce industrial management professionals, better able to create and manage globally competitive manufacturing organizations

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Develop a joint research capability between NU and UADY to explore the role of technology as an agent in the modern development process	Proceeding as planned case studies completed and teaching notes prepared, joint assessment of prospects for business incubator project undertaken, meeting held to review findings, paper detailing early findings published, progress cited as being more comprehensive and rapid than originally anticipated
2 Develop and expand the curriculum at UADY in "technology strategy and organization performance'	Procedding as planned computer and A/V equipment added to Technology Management library, student survey of technology course carried out, faculty exchanges initiated, course curriculum and bibliography revised, but MSc program not yet developed
3 Establish and expand UADY extension programs to assist local manufacturers	Proceeding as planned courses designed and seminars for practitioners conducted, needs assessments initiated, program that facilitates partnerships between enterprises and research centers incorporated by UADY

University Development Linkage Program Profile

U S Partner(s)	University of Pennsylvania		
Developing Country Partner(s)	University of Tunis (Tunisia) University of Botswana University of Ibadan (Nigeria)		
Initial Year	1991		
Funding Level	USAID	$ 500,000	(27%)
	Other Sources	$1,352,112	(73%)
	Projected Total	$1,852,112	
Topical Focus	Economic Growth		
Program Components:	✓ academic	✓ research	✓ outreach

Overview

The Literacy Training and Development Program for Africa (LTDPA) is a broad-based linkage between the Literacy Research Center at the University of Pennsylvania and three African universities -- the University of Botswana, the University of Ibadan (Nigeria) and the University of Tunis (Tunisia) The goal of the LTDPA is to develop the capacity of the universities to carry out a variety of R&D activities under the program The LTDPA expects to use the network to promote the use of local "literacy service centers" as self-sufficient local agencies, where groups or individuals engaged in literacy work can procure expertise, literacy materials and other support for their programs

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Establish regional literacy service centers in Africa	Proceeding as planned regional meetings held, literacy workshops held, newsletter publication initiated, somewhat behind schedule due to political strife, literacy service centers operational
2 Apply intersectoral approach to literacy development throughout the design and use of literacy programs in broader development efforts, e g , agricultural extension, family health and small business training programs	Proceeding as planned case studies developed, intersectoral research projects initiated, literacy forums held, literacy program design underway
3 Enhance developing country institutions' capabilities in applied research and evaluation methods	Proceeding as planned training module developed and presented evaluation research skills training provided, research projects on important topics, but not quite the same as in workplan, initiated, i e AIDS education and literacy (Botswana), agricultural development and literacy (Nigeria), collaborative research on literacy in the Arab world underway with government and community development foundation
4 Enhance developing country institutions through improved technological expertise and communication capabilities	Change in plan Software development was replaced with an emphasis on electronic communications among linkage institutions, Pennsylvania and Tunis have established effective e-mail other connections are being developed
5 Field test different curriculum and pedagogies developed through the Literacy Training and Development Program for Africa	Proceeding as planned Curriculum design occurring in conjunction with research, plans exist for sharing results of literacy and language learning attitude surveys undertaken in each country

University Development Linkage Program Profile

U.S Partner(s)	Pennsylvania State University Tuskegee University		
Developing Country Partner(s):	University of Nairobi at Kabete (Kenya)		
Initial Year	1992		
Funding Level.	USAID	$ 750,000	(34%)
	Other Sources	$1,451,000	(66%)
	Projected Total	$2,201,000	
Topical Focus	Health and Population		
Program Components:	____ academic	✓ research	✓ outreach

Overview

The development goals of improving infant and child nutrition and enhancing the economic status of women are crucial in countries of Sub-Saharan Africa, where women's access to resources is frequently restricted, and where child morbidity and mortality rates are very high In this UDLP, Penn State University, Tuskegee University, and the University of Nairobi at Kabete have chosen to address these particular goals using a community-based nutribusiness development approach, in which the universities will collaborate with women's groups in the Districts of Kericho in Western Kenya and Muranga in Central Kenya

The universities have selected these locations because although the districts are agriculturally productive, children from both the urban centers and the surrounding local villages show a degree of malnourishment at the weaning ages The introduction of locally-produced, culturally-acceptable weaning foods, to be used in conjunction with breast feeding, could improve infant and child morbidity and mortality levels in these areas and improve the economic status of women as wells In the long term involvement with the community, the universities will provide an educational framework through which local women as well as men will be involved with the project, both as recipients and as providers of information Extension education programs will be conducted as a way of increasing agricultural output by women, who are frequently overlooked by the Kenyan extension system

Collaborative Agreement Objectives/Achievements.

Objective	Progress Reported
1 Initiate and evaluate the impact of small nutribusiness pilot projects in two districts in Western and Central Kenya	Proceeding as planned project sites identified, rapid appraisal census carried out to facilitate sampling baseline survey instrument developed samples of typical weaning foods analyzed, faculty seminar in food processing technology held
2 Increase internationalization, cultural diversity and gender relevance of instructional programs at participating institutions	Incomplete seminar on gender issues postponed due to general strike at UNK, Ki-Swahili courses being offered at TU, E-mail and Internet connections established

University Development Linkage Program Profile

U S Partner(s)	Sinclair Community College (Iowa) The Eastern Iowa Community College District Community Colleges for International Development		
Developing Country Partner(s)	Madras University Center for Vocational Education (India)		
Initial Year	1992		
Funding Level	USAID	$ 750,000	(49%)
	Other Sources	$ 771,624	(51%)
	Projected Total	$1,521,624	
Topical Focus	Economic Growth		
Program Components.	✓ academic	____ research	✓ outreach

Overview

The government of India is fully concerned with the problem of training its large population of unskilled and illiterate workers and strongly desires that vocational education become more acceptable and readily available to students Although many programs have been launched by various government agencies and private funding sources towards training this sector, the results have been disappointing and have indicated that the agencies lack or have limited knowledge about training programs, curriculum development, teaching methods, job opportunities, etc

The Center for Vocational Education (CVE) in Madras was created in 1990 to act as a catalyst to connect government and private funding groups with volunteer agencies, who can provide or oversee the initiation and implementation of appropriate vocational training programs for the population of unskilled workers in their community locations Sinclair and its U S associates are working to establish three-way links between themselves, CVE, and profit organizations (Indian/U S subsidiary employers)

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Establish functioning linkage offices	Proceeding as planned offices set up, Project Steering Committee established
2	Create the infrastructure for the Center for Vocational Education (CVE) in Madras	Proceeding as planned U S faculty visits undertaken, building refurbished, computer and software purchased and training provided, resources for Learning Resource Library acquired, limited progress on creation of computerized data base on curriculum and related resources due to late arrival of computer
3	Develop appropriate short and long term plans, i e , (a) a Human Resources Development Plan, including curricula and delivery systems needed for three vocational/ technical programs at community centers, and (b) a master plan for CVE's Resource Development Office, including the opening of additional CVE sites	Incomplete plans developed, training programs being provided at community centers,(e g 25 rural youth trained as household electricians, 40 young women trained as tailors, 27 trained in auto electronics, 12 trained in geriatric care), some revenue raising activities implemented, Advisory Committee has not yet been trained nor have volunteers been recruited for fundraising
4	Recruit and orient twelve faculty members to serve as on-site consultants to the CVE	Proceeding as planned faculty recruited, on-site involvement resulted in variety of reports, presentations and publications

University Development Linkage Program Profile

U.S Partner(s)	Texas A&M University		
Developing Country Partner(s)	Universidad Nacional Autonoma de Mexico		
Initial Year	1992		
Funding Level	USAID	$ 500,000	(31%)
	Other Sources	$1 105 593	(69%)
	Projected Total	$1,605,593	
Topical Focus	Economic Growth		
Program Components	____ academic	✓ research	✓ outreach

Overview

Agriculture in Mexico is on the verge of a renaissance as free trade with the United States promises access to the scientific and technological advances that have made food and agriculture the largest of all U S industries However, free trade includes hazards posed by infectious disease agents and ectoparasites to the livestock, poultry, and horticulture industries in both countries Agriculturalists, ranchers, and scientists in both countries are concerned because such diseases cause increasing pressure on disease surveillance and diagnostic services and stifle revitalization of agriculture and livestock industries

For free trade to become safe trade of agricultural commodities, scientific knowledge is needed to eliminate the threat that infectious diseases pose Through this UDLP, the Universidad Nacional Autonoma de Mexico (UNAM) and Texas A&M University (TAMU) intend to assume a critical role in the free trade process, by developing collaborative training and research programs that address specific, priority animal and plant health and production issues and needs In doing so, both universities will be responsive to societal needs through the advanced training and problem-oriented research aimed at eliminating non-tariff trade barriers

Collaborative Agreement Objectives/Achievements.

Objective	Progress Reported
1 Strengthen the technical capabilities of UNAM scientists in diagnosing disease and developing management systems that include disease control strategies, e g	
-- Develop diagnostic test for tuberculosis in cattle, deer, wildlife	Proceeding as planned modern lab established, diagnostic tests for brucellosis made, TB strains isolated, exchange of principal investigators occurred, training underway
-- Develop beef breeding management systems	Proceeding as planned computer and software installed data recording and analysis initiated
-- Salmonella eradication program for poultry	Proceeding as planned program applicability to Mexico evaluated, faculty exchanges undertaken, research results are preliminary but encouraging
-- Develop molecular probes for detection of fungal diseases in plants	Proceeding as planned probes for melon vine fungus identified source of pathogen that causes problems with Mexican wheat located, research on appropriate DNA probes is ongoing but was initially slow due to lack of funds to pay for supplies and preparation of DNA

University Development Linkage Program Profile

U S Partner(s)	Virginia Commonwealth University		
Developing Country Partner(s)	Hasanuddin University (Indonesia)		
Initial Year:	1992		
Funding Level	USAID	$ 500,000	(32%)
	Other Sources	$1,060 364	(68%)
	Projected Total	$1,560,364	
Topical Focus:	Environment and Natural Resources		
Program Components:	✓ academic	____ research	✓ outreach

Overview

Virginia Commonwealth University (VCU) and Hasanuddin University (UNHAS), located in Ujung Pandang, South Sulawesi of Indonesia, both comprehensive, urban located institutions of higher education will collaborate in this UDLP in the areas of urban and regional resources planning and management Specifically, the linkage will draw upon a variety of faculty and programmatic emphases and strengths at both institutions in the areas of community planning, environmental management, economic development, information systems, human resource development, public management, and public health

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Assist directly, through educational activities, in the realization of economic and environmental objectives of Indonesia, i e ,	
-- Establish a graduate Urban Management Program at Hasanuddin University (UNHAS)	Proceeding as planned Urban management program started at UNHAS, curriculum development and network linkup received attention through faculty exchange
-- Improve information technology and library resources at UNHAS	Proceeding as planned books sent to UNHAS, library official trained in computer networking
-- Introduce distance education to broaden impact of UNHAS in the region it serves	Proceeding as planned Team established to address this task
-- Faculty development including strengthening of professional instruction UNHAS s urban and regional resources planning and management offerings	Proceeding as planned UNHAS faculty enrolled for VCU doctorates, faculty training programs established, faculty exchanges initiated
2 Promote internationalization of VCU in those academic disciplines that directly contribute to the global objectives of public urban university entering the 21st century	Proceeding as planned faculty exchanges and lecture program initiated, local language courses provided to visiting U S faculty and students, center for International Urban Management established at VCU, President of VCI visited Indonesia
3 Assist UNHAS in serving as an educational catalyst directly involved in human resource development through outreach and training activities	Proceeding as planned training needs of Government employees identified, training programs initiated, e g , 3 month program for 20 municipal employees, faculty seminars held, papers presented
4 Participate in the development of urban development policies and strategies, including but not limited to, increased privatization of public service delivery and improvements in the quality of management and planning in the local public sector	Proceeding as planned research agenda in environmental area developed, short term research visits undertaken

University Development Linkage Program Profile

U S Partner(s)·	University of Rochester (New York) Columbia University (New York)		
Developing Country Partner(s)	Ecole Nationale de Medicine et de Pharmacie (Mali)		
Initial Year	1992		
Funding Level	USAID	$ 749,894	(32%)
	Other Sources	$1,578 913	(68%)
	Projected Total	$2,328,807	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	✓ outreach

Overview

Despite impressive gains in child health in Africa in the past decade, African children continue to die from preventable or treatable diseases at unacceptably high rates Infant mortality rates in Mali are among the highest in the world, varying from 128-180 per thousand live births In striking parallel, undervaccination rates for poor children in urban and rural America now command national attention The median immunization rate for children age 2 across the United States is 57% In 1990 in Rochester, two year old measles immunization rates ranged from 44% to 76%, and in New-York City only half of the city's two year olds had been vaccinated against measles

The University of Rochester School of Medicine and Dentistry (UR), the Center for Population and Family Health at the Columbia University School of Public Health (CU), and the Ecole Nationale de Medicine et de Pharmacie (ENMP) propose a three-way institutional linkage to establish a collaborative Child Health Program to improve child immunization levels among disadvantaged populations in urban and rural Mali, Rochester and environs, and New York City

The purpose of this UDLP is to foster a more integrated approach to child health promotion through collaboration between U S and Malian institutions and health care professionals and collaboration between Malian academic, clinical, and community organizations The linkage focuses on immunization as the common denominator for organizing this integration and

collaboration, yet will do so in a way that builds the capacity of each institution to sustain linkage activities Through the linkage, both public health and physician experts will work together to combat under immunization This collaboration will broaden training, research, and service activities in each linkage site

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Build faculty and clinician expertise in assessing immunization levels and barriers to vaccination and child health promotion behaviors	Proceeding as planned working groups on issues established at all institutions, MPH course on global issues in maternal-child health developed at Rochester and that library's holdings on women, developing countries and nutrition were expanded, and CDC grant awarded to rewrite pamphlets for parents on vaccination, at Columbia, immunization block grant received from NY state in Mali immunization survey conducted, fundraising to support various activities underway, progress faster than planned due to strong interest in topic in U S as well as Mali
2 Integrate faculty, clinicians and students into immunization services in selected Maternal Child Health Centers and their client communities in Mali	Proceeding as planned faculty and student exchanges initiated, research and outreach projects identified, including projects that serve U S communities through a reverse technology transfer, e g , joint Rochester-Mali program to boost immunization and Columbia assistance to Harlem Hospital Center, progress reported to be rapid relative to original plan
3 Compare cross-cultural interventions in immunization coverage and child health promotion behaviors	Proceeding as planned linkage conference on immunization held in Mali, materials exchanged, Malian delegates to UN conference visited immunization projects in Harlem, at Columbia, workshops over a year dealt with cross-cultural strategies

University Development Linkage Program Profile

U.S Partner(s)	University of North Carolina at Chapel Hill University of Pennsylvania		
Developing Country Partner(s)	Pontifica Universidad Javeriana (Colombia)		
Initial Year	1991		
Funding Level	USAID	$1,000,000	(31%)
	Other Sources	$2,214,672	(69%)
	Projected Total	$3,214,672	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview

In order to improve the quality of health in Colombia, health scientists there must possess the necessary resources and skills to develop effective programs, design and implement problem-solving research, identify and address priority health problems, and foster appropriate health planning and policy Despite many years of receiving funding from international development agencies to implement epidemiologic, social science, and health economic related activities, Colombia, in common with many other developing countries, still has insufficient skilled manpower and inadequate resources allocated to adequately address the range of health-related issues facing Colombia

Over the past decade the University of North Carolina (UNC), and the University of Pennsylvania (Penn) have participated in the International Clinical Epidemiology Network (INCLEN), training health scientists and developing linkages with numerous Universities and Medical Schools in the developing countries, including Pontifica Universidad Javeriana (PUJ) The present application requests expanded support for linkages already established between UNC, Penn, and PUJ, so that benefits from the training activities of the last decade can now be realized PUJ was chosen as the developing country-linkage institution, as it is a center of excellence in Colombia, and well-suited to foster development and implementation of sound research, health programs, and health-related policies

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Train health scientists from Colombia in the research and teaching methods of clinical epidemiology, biostatistics, health economics, health-related social science and health policy	Proceeding as planned faculty exchanges initiated, MA candidates from Columbia selected, mini-sabbaticals and other training programs underway
2 Collaborative research on health issues, including brief faculty exchanges	Proceeding as planned fewer faculty exchanges undertaken as a result of State Department travel ban, four pilot studies initiated, proposals developed for external funding
3 Monitoring, evaluation and administration of linkage activities	Proceeding as planned subcontract with Colombian organization approved inventory of faculty experience and collaborative research developed, application forms for seed grants and exchanges developed

University Development Linkage Program Profile

U S Partner(s)	University of North Carolina at Chapel Hill		
Developing Country Partner(s)	Indian Institute of Health Management Research (India)		
Initial Year:	1991		
Funding Level.	USAID	$ 500,000	(26%)
	Other Sources	$1,428,473	(74%)
	Projected Total	$1,928,473	
Topical Focus	Health and Population		
Program Components	✓ academic	✓ research	____ outreach

Overview

Major problems of the health field in developing nations include lack of effective access, maldistribution, poor quality, lack of continuity, waste, and corruption These problems are usually the result of poor health policies and inadequate implementation, and a dearth of systematic data and know-how to correct them Also, there is little tradition for health service research and an almost total absence of sound training in health policy analysis or management of health services This is especially true in India -- the world's second most populous country This project addresses these issues in India and other nations in South Asia

In 1984, the Indian Institute of Health Management Research (IIHMR) was established as a private sector institution of higher learning for the purpose of improving standards of health care through research, training, and consultation services in public health policy and management Upon filling a vacuum IIHMR has grown rapidly (15 full time faculty, 22 research staff, and 29 support staff) and has gained high visibility and a good reputation

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Develop an Executive Masters of Public Health program in health policy for middle and upper level health managers, with course work at IIHMR and degree awarded from UNC	Proceeding as planned joint program committee and Advisory Council both established, MPH curriculum developed, case study preparation underway, brochure developed, students enrolled, evaluation of teaching indicates high satisfaction, progress in establishing this program has been faster than initially planned
2 Develop opportunities for collaborative research on health policy and management	Proceeding as planned some proposals prepared, but fewer than planned to allow faculty to concentrate on teaching, some proposals that were submitted were not funded, additional proposals are being prepared
3 Develop short term faculty exchange program	Proceeding as planned faculty exchanges were initiated
4 Develop field research and training opportunities for UNC faculty and students in India and other Asian countries	Proceeding as planned reported as having been undertaken some student internships/field training arranged
5 Involve other institutions of higher learning in the U S and South Asia in the program	Proceeding as planned efforts made to link program with institutions in Sri Lanka and Nepal as well as other Indian institutions of higher education

University Development Linkage Program Profile

U S Partner(s)	University of Florida		
Developing Country Partner(s).	Makerere University (Uganda)		
Initial Year:	1992		
Funding Level:	USAID	$ 499,565	(42%)
	Other Sources	$ 697,939	(58%)
	Projected Total	$1,197,504	
Topical Focus.	Democracy Initiatives		
Program Components:	✓ academic	✓ research	✓ outreach

Overview

In 1989, the Faculty of Law at Makerere University established a new Center for Human Rights and Peace at Makerere The initial concept incorporated the basic ideas that it was critical to the national interest to conduct research into what local expectations were for the protection of human rights in Uganda, and that it was essential to institutionalize the teaching of human rights within the local university In 1990 the Center for African Studies at the University of Florida (UF) was invited to join Makerere's Law Faculty in the development of a curriculum and research program for the new Center

This UDLP between the University of Florida and the new Center for Human Rights and Peace at Makerere University is a logical outgrowth resulting from previous collaborative exchanges between the two institutions The Center for African Studies at the University of Florida, an interdisciplinary unit that is campus-wide in scope, will coordinate the linkage for the UF

The project addresses the failures in governance that prevent many countries from reaching their developmental potential The project assumes an important, even bold initiative that offers a positive solution in democratic institution building to help lay the groundwork for improved societal capacity for development in Uganda Progress towards democratic institution building in Uganda since 1986 has thus far been difficult to measure and in part slowed by the lack of capacity for institutional analyses at the legal and public policy levels The flight of trained

attorneys combined with the virtual crippling of the institution invested with legal training, has led to a severe degradation of the legal infrastructure in Uganda

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Construct a new curriculum in human rights under at Makerere	Incomplete faculty exchanges initiated and two courses in human rights developed but otherwise progress against plan has not met expectations, original plan was idealistic, and reportedly not viewed as schedule against which performance would be assessed Reporting on performance indicates that basic infrastructure in law faculty in now such that curriculum can be developed over next several years Reports also note some resistance to changes in traditional curriculum implied by this project
2 Enhance competency in teaching and researching human rights	Proceeding as planned faculty exchanges initiated slow start on enrolling Makerere students at Florida, performance with respect to faculty involvement in conferences and other fora dealing with human rights, e g , Constitutional Conference in Uganda, was somewhat better than expected
3 Systematic study of what research priorities should be adopted	Proceeding as planned research plan drafted, research grants awarded
4 Create an internship program for Makerere law students	Proceeding as planned collaborative outreach plan developed, internship program launched using funds from Swedish NGOs, reports indicate that progress in this area is somewhat faster than expected
5 Enhance and further develop the law library at Makerere	Proceeding as planned materials acquired, constitutional materials reproduced, CD-ROM and software acquired and installed

University Development Linkage Program Profile

U S. Partner(s)	University of Massachusetts		
Developing Country Partner(s)	Tribhuvan University (Nepal)		
Initial Year	1991		
Funding Level.	USAID	$ 495,274	(48%)
	Other Sources	$ 533,344	(52%)
	Projected Total	$1,028,618	
Topical Focus	Economic Growth		
Program Components:	✓ academic	____ research	✓ outreach

Overview

Nepal has monumental national problems Illiteracy is one of the them Sixty-four percent of the nation's adults are estimated to be illiterate More than 40% of primary school age children are not attending school and more than 70% of children drop out before completing primary school Because of scanty, inadequate, post-literacy programs, new literates are not able to retain, consolidate, and apply literacy skills in their daily lives Some estimate that of the 36% literate population, 25% relapse into illiteracy It is no wonder that many development projects have failed In recent years the national literacy program (assisted by World Education, Inc) has been incorporated into several large development projects This and rapidly expanding literacy activities have increased substantially the demand for technical assistance in literacy activities This university linkage proposal is directed towards meeting this need

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Establish a Nepal Literacy Institute at Tribhuvan University's Research Centre for Educational Innovation and Development's (CERID) and help increase the capacity to provide training and technical assistance	Proceeding as planned working relationship established, Advisory Committee set up, needs assessment carried out with literacy provider organizations as well as government and NGO organizations, family literacy project initiated with Save the Children Reporting suggests that flexible approach is being taken when it comes to making reasonable modifications in all objectives
2 Increase the international and community development perspective of UM	Proceeding as planned Nepal literacy camp awarded continuing education units by UMass, e-mail course planned, paper on family literacy program competed for Save the Children
3 Increase the capacity of CERID to provide training and technical assistance for action and practitioner research in the field of literacy and development	Proceeding as planned Steering Committee formed, nine self-learning modules developed, pilot test completed, NGO staff and literacy providers from 20 agencies exposed to training, 25 trained at literacy camp from Nepal and other countries

University Development Linkage Program Profile

U.S Partner(s)·	University of Montana		
Developing Country Partner(s):	University College of Belize		
Initial Year·	1991		
Funding Level	USAID	$ 500,000	(26%)
	Other Sources	$1,396,647	(74%)
	Projected Total	$1,896,647	
Topical Focus.	Environment and Natural Resources		
Program Components	✓ academic	✓ research	✓ outreach

Overview

Belize is a small developing country (23,000 square kilometers and 184,000 people) located on the southeastern portion of the Yucatan Peninsula between Mexico and Guatemala on the Caribbean Sea and the Bay of Honduras With a stable, democratic government, rich agricultural, forest, and marine resources, and a burgeoning tourist industry, Belize is entering a crucial period of sorting through its national priorities and directions There are growing domestic and international pressures to exploit resources, in the context of a tradition of vigorous private enterprise Further, natural forests are being threatened by large numbers of refugees engaging in forest-destructive, shifting cultivation practices, thus, more and more, the nation has to deal with natural resource development issues for which it lacks trained manpower and institutional competencies to produce such manpower

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Develop professional training and extension-education capabilities in Government of Belize and NGO natural resource personnel	Proceeding as planned Prioritized list of short courses developed, faculty teaching visits set up and several courses given for GOB personnel (e g wildlife inventory methods, environmental impact assessment, forest silviculture, etc), funding acquired for further needs assessment/course development work
2 Enhance UCB faculty and staff capabilities through teacher training and public administration training	Proceeding as planned Advanced degree candidates identified, faculty and administrative staff exchanges initiated
3 Develop curriculum at UCB	Proceeding as planned needs assessment conducted, joint planning sessions held, priorities established and work begun
4 Enhance the library at UCB	Proceeding as planned library holdings and needs lists developed new acquisitions donated or purchased and inventoried
5 Develop field practicum in natural resources management	Proceeding as planned stakeholders identified and needs assessed, two field practicums completed, additional field practicums planned
6 Conduct research and transfer appropriate technology	Proceeding as planned needs assessed joint proposals developed, grant awarded for research on sustained yield harvesting, other small research projects initiated
7 Encourage professional development of UM faculty and staff	Proceeding as planned needs identified, fair and transparent selection processes established, faculty and student exchanges initiated
8 Enhance international and cross- cultural curriculum at UM	Proceeding as planned needs assessed, prerequisite for field practicum designed, other courses incorporating case materials, introduction of linkage to other departments through university committee, cross-cultural views introduced in classes, progress indicators for this objective being developed
9 Provide international opportunities for UM students	Proceeding as planned internship opportunities researched, students placed, post internship evaluations conducted
10 Develop internal advisory committee to plan, monitor and evaluate the linkage	Proceeding as planned Two groups formed Executive Committee and Advisory Council, internal evaluations being conducted

University Development Linkage Program Profile

U S Partner(s)	Utah State University		
Developing Country Partner(s)	Institut Agronomique et Veterinaire Hassan II (Morocco)		
Initial Year	1992		
Funding Level	USAID	$ 500,000	(33%)
	Other Sources	$ 998,869	(67%)
	Projected Total	$1,498,869	
Topical Focus:	Environment and Natural Resources		
Program Components	✓ academic	✓ research	✓ outreach

Overview

This UDLP supports a development linkage between Utah State University (USU), in Logan, Utah, and the Institut Agronomique et Veterinaire, Hassan II (IAV), in Rabat, Morocco These two institutions have conducted joint activities for over a decade, with the first Memorandum of Understanding in support of collaboration signed in 1985 and then updated in September 1991

The linkage focuses on natural resources management, a major concern in both Morocco and Utah It is also concerned with water delivery systems and water management from the irrigation engineering aspect In addition, the UDLP involves activities that will integrate social sciences into natural resources management teaching, research, and outreach programs It also provides for a telecommunication linkage between USU and IAV to facilitate exchange for research, teaching, and information

Collaborative Agreement Objectives/Achievements

Objective	Progress Reported
1 Conduct joint natural resources management research in Morocco	Proceeding as planned Two research projects underway after delayed start due to topic changes, joint efforts to modify computer models for research use, textbook jointly prepared
2 Jointly improve teaching quality at both institutions	Proceeding as planned student exchange initiated short courses developed
3 Develop joint outreach programs to assist the private and public sectors in Morocco	Proceeding as planned National range development strategy project carried out, proposal submitted to USAID for distance education equipment, faculty exchanges undertaken, graduate student exchanges initiated

University Development Linkage Program Profile

U S Partner(s)	Washington State University		
Developing Country Partner(s)	University of Jordan		
Initial Year	1992		
Funding Level	USAID	$ 500,000	(33%)
	Other Sources	$ 997,509	(67%)
	Projected Total	$1,497,509	
Topical Focus:	Environment and Natural Resources		
Program Components·	✓ academic	✓ research	____ outreach

Overview

Washington State University (WSU) and the University of Jordan (U of J) are deeply committed to developing and sustaining a long-term collaborative linkage in the area of natural resources and the environment In keeping with the collaborative nature of the UDLP, WSU and U of J have worked together closely in the development of this project They have explored their own and one another's interests, needs, strengths and their individual and mutual expectations of the linkage They have also explored with the USAID mission in Jordan, and with potential cooperating public and private-sector entities in the U S and in Jordan, the potential costs and benefits of such a collaborative linkage As a result of this dialogue, it is felt that the linkage is feasible and has a high value to the two universities and to the clientele they serve

Collaborative Agreement Objectives/Achievements

	Objective	Progress Reported
1	Strengthen capacity of the University of Jordan and its newly developed Water and Environmental Research and Study Center to plan and manage research, technology transfer and human resource development programs in support of societal needs in environment and natural resources	Proceeding as planned research projects initiated and completed during each year, competitive proposal to USAID prepared in partnership with consulting firm (but did not win), progress in developing new curriculum slower than planned due to resistance to work that crosses disciplinary lines
2	Strengthen the applied research and technology transfer capabilities of the University of Jordan Water and Environmental Research Study Center through the planning and conduct of collaborative research and technology transfer activities	Proceeding as planned multiple projects initiated and completed each year

University Development Linkage Program Profile

U.S Partner(s)	Worchester Polytechnic Institute (Massachusetts)		
Developing Country Partner(s):	Escuela Superior Politecnia Del Litoral (Ecuador)		
Initial Year	1991		
Funding Level·	USAID	$ 497,742	(28%)
	Other Sources	$1 301,667	(72%)
	Projected Total	$1,799,411	
Topical Focus.	Environment and Natural Resources		
Program Components	✓ academic	✓ research	____ outreach

Overview

This linkage has established a project center at ESPOL to foster technologies and resources for national development It is augmented with an extensive faculty development program on both campuses Faculty and student exchanges are important cultural and informational features of university international programs Work-study programs are conducted by many universities to join theory with practice and give hands-on experience to students Through its residential faculty and student project centers in London and San Juan, Puerto Rico, the Worcester Polytechnic Institute (WPI) has combined international exchange and work-study in innovative ways Its project centers are hosted by institutions that provide arrangements for focussing talents of cooperating faculties and students on local and national issues

Collaborative Agreement Objectives/Achievements:

Objective	Progress Reported
1 Joint planning for linkage activities	Proceeding as planned External advisory panels created, strategic plan updated, pre-training workshop held, resource materials ordered, procedures manual developed,
2 Establish Project Center at ESPOL in Ecuador and undertake joint projects	Proceeding as planned multiple projects designed and completed, high student interest led to more than anticipated number of projects
3 Faculty development programs at WPI and ESPOL	Proceeding as planned Graduate students placed and have completed their language requirements, workshop on entrepreneurship completed ahead of schedule, others in planning stage

University Development Linkage Program Profile

U.S Partner(s)	Yale University (Connecticut)		
Developing Country Partner(s)	Universidad de Chile Diego Portales University		
Initial Year:	1992		
Funding Level	USAID	$ 153,676	(28%)
	Other Sources	$ 398,578	(72%)
	Projected Total	$ 552,254	
Topical Focus	Democratic Initiatives		
Program Components	✓ academic	✓ research	____ outreach

Overview

This three-year project will link Yale Law School and the law schools of two Chilean institutions, the University of Chile and Diego Portales University The three schools will collaborate in a series of activities to promote democratic values and institutions and develop human resources in Chile The activities will achieve these ends by cultivating an understanding of the ways in which law and democracy are inevitably linked At the same time they will also sharpen the understanding of this key relationship in the United States

If law and democracy are inevitably linked, as the linkage partners assume, the role of legal education - and particularly of independent, interdisciplinary theoretical legal scholarship - is critical [For ease of reference the term "theoretical legal scholarship" is referred to as "theoretical scholarship" throughout the description] Due, in significant part, to the work of many outstanding legal scholars at Yale over the years, theoretical scholarship is strongly rooted in the United States, where it has been powerfully effective in focusing attention on the role of law in a democratic system Indeed, it has been so effective that the notion of a democratic constitutional order secured by legal institutions is now, ironically, too often taken for granted In Chile, on the other hand, the tradition of theoretical scholarship is not yet well established

Collaborative Agreement Objectives/Achievements·

Objective	Progress Reported
1 Promote law faculty collaboration and exchange to develop theoretical scholarship at Chilean law schools	Proceeding as planned faculty exchanges initiated, new Law, Economics and Public Policy center/program established at the University of Chile
2 Encourage student collaboration and exchange, concentrating on the need for student-run law journals at the Chilean law school	Proceeding as planned student exchange visits initiated, student discussion groups on feminist legal theory and legal issues established at the University of Chile, student discussion groups on law and economics established at Diego Portales, interdisciplinary seminars organized by student editors of law journals, postgraduate program established at the University of Chile
3 Develop a law library at the Universidad de Chile and Diego Portales University	Proceeding as planned librarian visit provided technical assistance on electronic communication, e-mail in use by faculty and students, especially law journal staff, electronic access to LEXIS, etc established and in use, copies of Yale law journals sent to Chilean institutions

Annex G

Templates and Guidance for Workplanning, Budgeting, Implementation and Reporting

University Development Linkages Project
Schedule of Reports
Submitted to A.I.D. Project Officer

Due December 29 (first year only)

- Project Implementation Plan a Gantt style chart showing the implementation schedule for each activity grouped by objective for the full five years of the UDLP cooperative agreement Five copies should be sent (not faxed) to the A I D project officer
- Annual Workplan a table listing goals/purposes of the project, objectives and activities for each objective, desired outcomes/resources/inputs and quarterly schedule for each activity covering the first year of the cooperative agreement, October 1 to September 30 Five copies should be sent (not faxed) to the A I D project officer
- Annual Workplan Budget a spreadsheet (provided in Lotus 1-2-3 by the A I D project office) which lists planned expenditures detailed by cost element, objective, and source of funds as shown in the cooperative agreement broken down into two 6-month expenditure periods of October 1 to March 31 and April 1 to September 30 Five printed copies and one diskette copy (in Lotus 1-2-3 format) should be sent (not faxed) to the A I D project officer

Due January 30

- Quarterly Report a report which summarizes accomplishments, compares accomplishments with the objectives and activities established in the Annual Workplan, and describes problems or barriers affecting the accomplishment of established objectives and activities covering the period October 1 to December 31 Five copies should be sent (not faxed) to the A I D project officer
- Financial Reports Standard Form 269 (Financial Status Report) and Standard Form 272 (Federal Cash Transactions Report) are to be submitted to the A I D Office of Financial Managment under the letter of credit payment system covering the period October 1 to December 31 Three copies of each of these reports should also be sent (not faxed) to the A I D project officer concurrently with submission of the Quarterly Report
- Quarterly Training Report if applicable, a report which gives the total number of <u>new</u> trainees during the period October 1 to December 31 and detailed information on each trainee Five copies should be sent (not faxed) to the A I D project officer

Due April 30

- Quarterly Report covering January 1 to March 31
- Financial Reports covering January 1 to March 31
- Quarterly Training Report if applicable, covering January 1 to March 31
- Semiannual Expenditure Report a spreadsheet (provided in Lotus 1-2-3 by the A I D project office) which lists estimated expenditures detailed by cost element, objective, and source of funds as in the Annual Workplan Budget covering the period October 1 to March 31 and actual expenditures for the previous April 1 to September 30 (if applicable) Five printed copies and one diskette copy (in Lotus 1-2-3 format) should be sent (not faxed) to the A I D project officer

Due July 30

- Quarterly Report covering April 1 to June 30
- Financial Reports covering April 1 to June 30
- Quarterly Training Report if applicable, covering April 1 to June 30
- Annual Workplan covering upcoming project year October 1 to September 30
- Annual Workplan Budget covering upcoming project year October 1 to September 30

Due October 30

- Annual Activity Report a report providing the following information for the previous year, October 1 to September 30
  - a description of the past year's activities under each linkage objective,
  - a description of progress toward the completion of each linkage objective,
  - a description of any problems or barriers affecting the progress toward acheiving the linkage objectives,
  - a description of progress toward ensuring the sustainability of the linkage,
  - quantitative outputs of the linkage activities,
  - an assessment of the impact of the linkage on internationalization of the Recipient institution and any U S linkage partners, and
  - an assessment of the impact of the linkage on stengthening each developing country linkage partner institution's capabilities to meet its societal development needs

  Five copies should be sent (not faxed) to the A I D project officer
- Financial Reports covering July 1 to September 30
- Quarterly Training Report if applicable, covering July 1 to September 30
- Semiannual Expenditure Report a spreadsheet (provided in Lotus 1-2-3 by the A I D project office) which lists estimated expenditures detailed by cost element, objective, and source of funds as in the Annual Workplan Budget covering the period April 1 to September 30 and actual expenditures for the previous October 1 to March 31 Five printed copies and one diskette copy (in Lotus 1-2-3 format) should be sent (not faxed) to the A I D project officer

177

[NAME OF LEAD UNIVERSITY]
UNIVERSITY DEVELOPMENT LINKAGES PROJECT
ANNUAL WORKPLAN — YEAR 1

Date [enter date]
Cooperative Agreement No PCE-5063-A-00-_____-00 [fill in four digits]

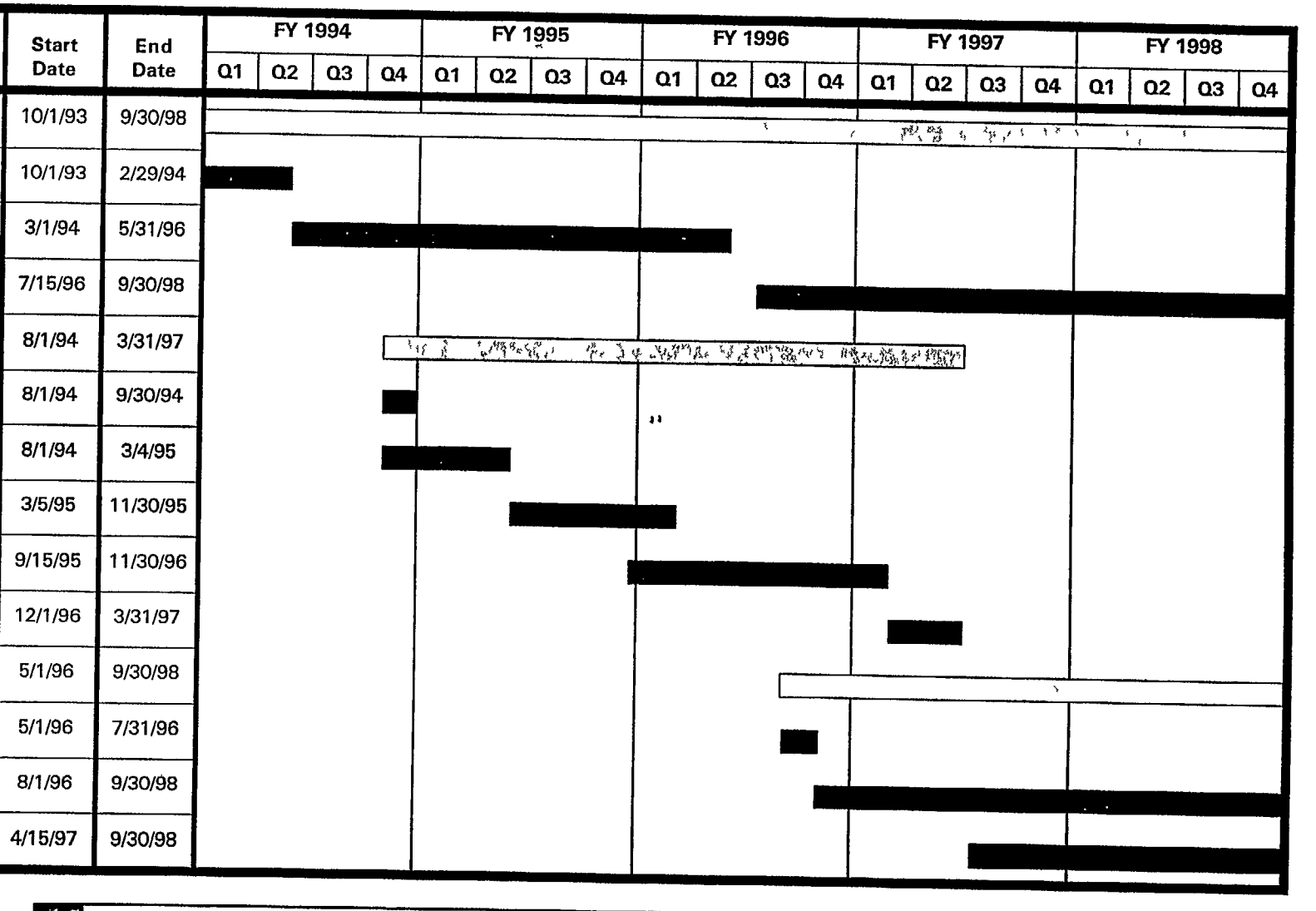
GOALS & PURPOSE	OBJECTIVES	ACTIVITIES	DESIRED OUTCOMES	RESOURCES REQUIRED	NEEDED INPUTS	ACTIVITY BY QUARTER Start = S, Ongoing = O, Completed = C			
						1st	2nd	3rd	4th
<u>GOAL(S)</u> [insert goal(s)] <u>PURPOSE(S)</u> [insert purpose(s)]	[insert description of objective 1]	[insert description of activity number one of objective 1]	[describe results expected from this activity]	[describe resources needed by source -- e g , A I D , USIHE, DCIHE,host govt private, other] [estimate approx workplan year cost for this activity]	<u>Who</u> [name individual or service required] <u>Where</u> [identify where activity to take place] <u>When</u> [indicate estimated activity completion date]	S	O	C	
		[insert description of activity number two of objective 1]	[describe results expected from this activity]	[describe resources needed by source -- e g , A.I D , USIHE, DCIHE, host govt , private, other] [estimate approx workplan year cost for this activity]	<u>Who</u> [name individual or service required] <u>Where</u> [identify where activity to take place] <u>When</u> [indicate estimated activity completion date]	S	O	O	O
		[note continue until all activities included]							

GOALS & PURPOSE	OBJECTIVES	ACTIVITIES	DESIRED OUTCOMES	RESOURCES REQUIRED	NEEDED INPUTS	ACTIVITY BY QUARTER Start = S, Ongoing = O, Completed = C			
						1st	2nd	3rd	4th
	[insert description of objective 2]	[insert description of activity number one of objective 2]	[describe results expected from this activity]	[describe resources needed by source -- e g , A I D , USIHE, DCIHE,host govt private, other] [estimate approx workplan year cost for this activity]	**Who** [name individual or service required] **Where** [identify where activity to take place] **When** [indicate estimated activity completion date]		SC		
		[insert description of activity number two of objective 2]	[describe results expected from this activity]	[describe resources needed by source -- e g , A I D , USIHE, DCIHE, host govt , private, other] [estimate approx workplan year cost for this activity]	**Who** [name individual or service required] **Where** [identify where activity to take place] **When** [indicate estimated activity completion date]			S	O
		[note continue until all activities inlcuded]							
	[CONTINUE UNTIL ALL OBJECTIVES INCLUDED]								

(Note WorkPlan for Year 1 is due on December 29, 1993 and WorkPlan for Year 2 is due on July 30, 1994)

STATE OF LAND UNIVERSITY
IMPLEMENTATION PLAN
UNIVERSITY DEVELOPMENT AWARDS PROCESS APPLICATION

No	Objective/Activity	Start Date	End Date
1	[Objective 1]	10/1/93	9/30/98
2	[Activity 1]	10/1/93	2/29/94
3	[Activity 2]	3/1/94	5/31/96
4	[Activity 3]	7/15/96	9/30/98
5	[Objective 2]	8/1/94	3/31/97
6	[Activity 1]	8/1/94	9/30/94
7	[Activity 2]	8/1/94	3/4/95
8	[Activity 3]	3/5/95	11/30/95
9	[Activity 4]	9/15/95	11/30/96
10	[Activity 5]	12/1/96	3/31/97
11	[Objective 3]	5/1/96	9/30/98
12	[Activity 1]	5/1/96	7/31/96
13	[Activity 2]	8/1/96	9/30/98
14	[Activity 3]	4/15/97	9/30/98



SUMMARY SCHEDULED ITEM

Note please replace information in square brackets [] with appropriate descriptive information

University Development Linkages Project
Trip Report Outline

Due Within 30 Days of Completion of International Trips

- Name of lead institution, name of project director/principal investigator, cooperative agreement number, date of report
- Travelers
- Dates of travel
- Purpose of trip in terms of specific linkage objectives
- Accomplishments
- Problems encountered
- Persons visited including title and organizational affiliation

University Development Linkages Project
Quarterly Report Outline

Due January 30, April 30, July 30 (annual activity report replaces the fourth quarterly report)

- Name of lead institution, name of project director/principal investigator, cooperative agreement number, date of report

- Accomplishments compared to annual workplan for each objective, each objective should be listed even if there was not activity

- Problems or barriers

- Any other pertinent information

- Copies of SF 269 and SF 272 financial reports

- April quarterly report and annual activity report include semi-annual expenditure

University Development Linkages Project
Annual Activity Report Outline

Due October 30

- Name of lead institution, name of project director/principal investigator, cooperative agreement number, date of report
- Description of the past year's activities
- Progress toward completion of each objective
- Problems/barriers affecting completion of objectives
- Progress toward sustainability
- Quantitative outputs
- Impact on U.S. internationalization
- Impact on strengthening DCIHE's ability to meet societal needs
- Copies of SF 269 and SF 272 financial reports

UNIVERSITY DEVELOPMENT LINKAGES PROJECT

Recipient Tulane University Medical Center
Agreement Number PCE 5063 A 00 5025 00
Date Prepared
Agreement Year 5
Number of Objectives 4 Award Year 95

ANNUAL WORKPLAN BUDGET	Objective Total of all 4 Agrmt Yr 5											
	First Six Months				Second Six Months				Full Year			
	Begin	10/01/99	End	03/31/2000	Begin	04/01/2000	End	09/30/2000	Begin	10/01/99	End	09/30/2000
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

Signature _____ Name/Title _____ Date _____

181

ANNUAL WORKPLAN BUDGET	Objective 1 of 4 Name Health Systems Management Training and Research Agrmt Yr 5											
	First Six Months				Second Six Months				Full Year			
	Begin	10/01/99	End	03/31/2000	Begin	04/01/2000	End	09/30/2000	Begin	10/01/99	End	09/30/2000
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

581

ANNUAL WORKPLAN BUDGET	Objective 2 of 4 Name Program Self sustainability Agrmt Yr 5											
	First Six Months				Second Six Months				Full Year			
	Begin 10/01/99		End 03/31/2000		Begin 04/01/2000		End 09/30/2000		Begin 10/01/99		End 09/30/2000	
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

ANNUAL WORKPLAN BUDGET	Objective 3 of 4 Name Develop Literature Through Research and Case Studies in Health Care Mgmt in India Agrmt Yr 5											
	First Six Months				Second Six Months				Full Year			
	Begin 10/01/99		End 03/31/2000		Begin 04/01/2000		End 09/30/2000		Begin 10/01/99		End 09/30/2000	
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

187

ANNUAL WORKPLAN BUDGET	Objective 4 of 4 Name Strengthen Process of Internationalization of Dept of Health Systems Management at Tulane Agrmt Yr 5											
	First Six Months				Second Six Months				Full Year			
	Begin	10/01/99	End	03/31/2000	Begin	04/01/2000	End	09/30/2000	Begin	10/01/99	End	09/30/2000
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

UNIVERSITY DEVELOPMENT LINKAGES PROJECT

Recipient Tulane University Medical Center
Agreement Number PCE 5063 A 00 5025 00
Date Prepared
Semiannual Report No 1
Number of Objectives 4 Award Year 95

SEMIANNUAL EXPENDITURES	Objective Total of all 4 Semiannual Report No 1							
	Previous Six Month Period (corrected figures)				Current Six Month Period (best available figs)			
	Begin N/A		End N/A		Begin	10/01/95	End	03/31/96
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages	0	0	0	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0	0	0
Indirect Costs	0	0	0	0	0	0	0	0
Consultants	0	0	0	0	0	0	0	0
Travel Transportation & Per Diem	0	0	0	0	0	0	0	0
Nonexpendable Equipment	0	0	0	0	0	0	0	0
Participant Training	0	0	0	0	0	0	0	0
Other Direct Costs	0	0	0	0	0	0	0	0
Subagreements (U S Institutions)	0	0	0	0	0	0	0	0
Subagreements (Dev Country)	0	0	0	0	0	0	0	0
TOTAL	$0	$0	$0	$0	$0	$0	$0	$0

NOTE The best available figures for the current six month period are for the guidance of the A I D project officer only
This represents accurate expenditures for the first five months with an estimate made for the sixth month
Accurate figures for this period will be provided on the next semiannual expenditure report

Signature _____ Name/Title _____ Date

SEMIANNUAL EXPENDITURES	Objective 1 of 4 Name Health Systems Management Training and Research Semiannual Report No 1							
	Previous Six Month Period (corrected figures)				Current Six Month Period (best available figs)			
	Begin N/A		End N/A		Begin 10/01/95		End 03/31/96	
Cost Element		Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages				0				0
Fringe Benefits				0				0
Indirect Costs				0				0
Consultants				0				0
Travel Transportation & Per Diem				0				0
Nonexpendable Equipment				0				0
Participant Training				0				0
Other Direct Costs				0				0
Subagreements (U S Institutions)				0				0
Subagreements (Dev Country)				0				0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0

NOTE The best available figures for the current six month period are for the guidance of the A I D project officer only
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Accurate figures for this period will be provided on the next semiannual expenditure report

SEMIANNUAL EXPENDITURES	Objective 2 of 4 Name Program Self sustainability Semiannual Report No 1							
	Previous Six Month Period (corrected figures) Begin N/A			End N/A	Current Six Month Period (best available figs) Begin 10/01/95			End 03/31/96
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages				0				0
Fringe Benefits				0				0
Indirect Costs				0				0
Consultants				0				0
Travel Transportation & Per Diem				0				0
Nonexpendable Equipment				0				0
Participant Training				0				0
Other Direct Costs				0				0
Subagreements (U S Institutions)				0				0
Subagreements (Dev Country)				0				0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0

NOTE The best available figures for the current six month period are for the guidance of the A I D project officer only
This represents accurate expenditures for the first five months with an estimate made for the sixth month
Accurate figures for this period will be provided on the next semiannual expenditure report

SEMIANNUAL EXPENDITURES	Objective 3 of 4 Name Develop Literature Through Research and Case Studies in Health Care Mgmt in India Semiannual Report No 1							
	Previous Six Month Period (corrected figures) Begin N/A End N/A				Current Six Month Period (best available figs) Begin 10/01/95 End 03/31/96			
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages				0				0
Fringe Benefits				0				0
Indirect Costs				0				0
Consultants				0				0
Travel Transportation & Per Diem				0				0
Nonexpendable Equipment				0				0
Participant Training				0				0
Other Direct Costs				0				0
Subagreements (U S Institutions)				0				0
Subagreements (Dev Country)				0				0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0

NOTE The best available figures for the current six month period are for the guidance of the A I D project officer only
This represents accurate expenditures for the first five months with an estimate made for the sixth month
Accurate figures for this period will be provided on the next semiannual expenditure report

SEMIANNUAL EXPENDITURES	Objective 4 of 4 Name Strengthen Process of Internationalization of Dept of Health Systems Management at Tulane Semiannual Report No 1							
	Previous Six Month Period (corrected figures) Begin N/A End N/A				Current Six Month Period (best available figs) Begin 10/01/95 End 03/31/96			
Cost Element	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total	A I D	Recipient/ Others (Non Fed)	Recipient/ Others (Federal)	Total
Salaries & Wages				0				0
Fringe Benefits				0				0
Indirect Costs				0				0
Consultants				0				0
Travel Transportation & Per Diem				0				0
Nonexpendable Equipment				0				0
Participant Training				0				0
Other Direct Costs				0				0
Subagreements (U S Institutions)				0				0
Subagreements (Dev Country)				0				0
SUBTOTAL	$0	$0	$0	$0	$0	$0	$0	$0

NOTE The best available figures for the current six month period are for the guidance of the A I D project officer only
This represents accurate expenditures for the first five months with an estimate made for the sixth month
Accurate figures for this period will be provided on the next semiannual expenditure report

INTERIM EVALUATION OF USAID'S

UNIVERSITY DEVELOPMENT LINKAGES PROGRAM

VOLUME TWO ANNEXES H, I AND J

June 1996

Submitted to

Ruth Frischer, Ph D
Director, University Development
Linkages Project
Global Bureau
USAID

MANAGEMENT
SYSTEMS
INTERNATIONAL

600 Water Street S W
Washington D C 20024
USA

202/484-7170
Fax 202/488-0754

Annexes

A Evaluation Scope of Work
B Desk/Self Study Institutement
C UDLP Linkage Reports on File
D USAID and Non-Governmental Funding for the UDLP
E Institutional Linkage Partners for the Linkages Examended in the Evaluation
F Linkage Profits
G Templates and Guidance for Workplanning, Budgeting, Implementation and Reporting

Volume Two
H Site Visit Reports
I Sample Request for Application
J The UDLP Project Paper

Site visits were conducted for eight linkage programs This annex includes the site visit reports for each of these linkages The reports are presented in the following order

1 Harvard University (USA), Instituto Nacional de Salud Publica, Mexico and Eduardo Mondlane University, Mozambique

2 Johns Hopkins University (USA) and El Colegio de Mexico

3 University of North Carolina (USA) and the Indian Institute of Health Management Research, India

4 Case Western Reserve University (USA) and Makerere University, Uganda

5 Northwestern University (USA) and the Universidad Autonoma de Yucatan, Mexico

6 Sinclair Community College, Eastern Iowa Community College District (USA) and Madras University Center for Vocational Education, India

7 Texas A&M University (USA) and Universidad Nacional Autonoma de Mexico

8 University of Florida (USA) and Makerere University, Uganda

Annex H

Site Visit Reports

Harvard School of Public Health (HSPH)
Center for Population and Development Studies

Instituto Nacional de Salud Publica (INSP), Mexico
Eduardo Mondlane University Medical School, Mozambique

Linkages for Promotion of Essential National Health Research

Report by Allison B Herrick and Bill Teska

Note Comments on Mozambique in this report are based on interviews in Mexico and at Harvard

CASE PRESENTATION

The Harvard School of Public Health, serving as secretariat, had a leadership role in establishing the Commission on Health Research for Development (an international body formed in the late 1980's with Mexican participation), which developed the concept of essential national health research (ENHR) The aim of the concept is to promote equity in development, especially in terms of health Its strategy is to focus research on country-specific, high priority health problems, especially those of poor and disadvantaged population groups

Following a meeting in 1990, the Commission published "A strategy for Action in Health and Human Development " Mexico and Mozambique were among the four countries used as case studies in this document And, as it turned out, their inclusion would eventually contribute to the development of this unique, three-way UDLP linkage The concept of ENHR became the basis for planning a strategy that would help empower national institutions to establish priorities for health research, to acquire the talent to carry out the research, and to bridge the gap between the scientific and policy-making communities

At Harvard, in 1988, the Center for Population and Development Studies of the School of Public Health embarked on a mission to increase its role in international issues Prior to 1988 the Center had few international activities It was in this year that Dr Lincoln Chen became Head of the Center, faculty were hired, and programs began As Dr Chen said, "The UDLP came at a time when we were building other linkages and furthering our activities " Harvard had had a long standing relationship with Mexico and faculty of its Institute of Public Health Dr Julio Frenk, then Director of the Institute, was a driving force in the creation of the linkage Harvard's connection with Mozambique was more recent After the 1990 meeting that developed the concept of ENHR, there were a series of workshops, one of which was in Zimbabwe At that workshop the health scientists from Mozambique made a very strong showing, and discussions began with Harvard about a UDLP linkage

The ambitious three-way linkage among Harvard, the National Institute of Public Health of Mexico, and the Faculty of Medicine of Eduardo Mondlane University of Mozambique was aimed at making it possible for two countries at different stages of development—Mexico and Mozambique—to collaborate between those who gather data on disease and effectiveness of

health care and those who make decisions on the allocation of health services Linkage activities were intended to create models for interpretation and implementation of the concept of essential national health research The idea was that the linkage would enable each of the linked institutions to build on its particular strengths, while forging a dynamic partnership committed to the achievement of worldwide equity in health

Harvard wanted the opportunity to build on its commitment to public health training in the international arena and to establish partnerships with overseas colleagues and institutions Using the technological and human resources of a highly industrialized country, the Center at Harvard would offer academic training in all research disciplines relevant to the concept of essential national health research and assume leadership in developing the required curriculum, as well as models for its use The other two countries would offer access to field situations representative of the major health problems encountered in developing countries

Mexico, as a middle income country, though characterized by wide disparities in socio-economic development, shares health problems typical of low income countries Its National Institute of Public Health is a well established training and research institution, which combines academic research with applied field research on health problems common to most developing countries The Institute, as an autonomous arm of the Ministry of Health, serves as its think tank

In Mozambique, the Faculty of Medicine is facing the need to develop its capacity for health research in a national health system that is dealing with similar problems as Mexico, but in different ways and from a much narrower resource base Indeed, Mozambique is facing colossal social and political challenges These challenges have made achieving linkage goals difficult

The specific objectives of the linkage among the three country institutions are

1) to establish a multi-centric training system for essential national health research, one that would provide short- and long-term training and intensive field experience and

2) to develop mechanisms for the permanent strengthening of interactions between researchers and decision-makers

Thus, the linkage would enable the participating Latin American and African countries to set priorities, to define research questions, and to determine the manner in which data should be presented to most effectively inform health policy and decision-making

Research carried out in 1992, the first year of the linkage, by senior health professionals at Harvard in collaboration with World Bank and World Health Organization colleagues, developed a new technology for analyzing health statistics to identify the so-called National Burden of Disease Their work was published in the World Bank's World Development Report 93, *Investing in Health* That volume described a strategy for implementing the concept of essential national health research through analysis of the National Burden of Disease (NBD) and calculation of Disability Adjusted Life Years (DALYs) to assess the health problems most directly affecting the health quality of life of a country The intention of the analysis was to identify and draw attention to significant health problems, especially those that hitherto had been

underestimated For example, this approach highlighted the significance of infant mortality in Mexico In January 1993, the management council of the linkage decided to focus joint research on the cost effectiveness of health interventions and on this new methodology in view of its potential contribution to the design of health policy and health care reform

Through collaborative research, training workshops, and exchange of students and scholars, Mexico made great strides forward The signal event of these activities was the publication of the results of the research on the burden of disease That publication is part of a major document that will guide reform in the country's health sector Thus, by the end of the third year of the linkage, the research has already been used to inform policy-makers Dr Carlos Cruz, an health economist, said, "Health reform is one of the most important topics in Mexico today The relationship with Harvard was crucial to the design of the National Health Reform " The new government, which took office in December 1994, decided to use the planning document as the basis for implementing health reform Of course, the devaluation of the peso in December 1994 may affect the ability of the Ministry of Health to carry out its plans

Regretfully, there have been many barriers that have hindered the ability of Mozambique to take full advantage of the linkage, not the least of which were changes in the leadership of the linkage and external political influences From the Mexican point of view, the rationale for the three-way linkage was to enable them, as a middle-income country to help a poorer country In addition to joint participation in seminars sponsored by the linkage, the Mexicans contributed to those in Mozambique in other ways They prepared and conducted a 1993 seminar on basic concepts and research methods in health economics, helped prepare five specific research proposals to be supported by the linkage, and conducted a demonstration study on the use of pharmacies in Mozambique They also offered places for graduate study at the Institute of Public Health However, opportunities for cross-country research and inter-country collaboration between Mexico and Mozambique have been missed Yet, though the concrete gains in Mozambique have been few, one might say that they have gained a better conceptual framework for their health problems and have revised their approach to research by understanding their own needs for more health related statistics

The linkage contributed to some interesting developments for Harvard and countries besides Mexico and Mozambique To respond to interest expressed by several countries, a Burden of Disease Unit was established in 1994 at the Harvard Center for Population and Development Studies to further research on burden of diseases and cost effectiveness, to provide technical assistance to countries, and to host visiting scientists who wish to analyze their data When Harvard hosted the UDLP workshops, they also invited participants from countries other than Mexico and Mozambique One of these was India A direct result of their inclusion has been a strong and vigorous collaboration with the Administrative Staff College of India Indian faculty are now in residence at Harvard's Burden of Disease Unit These faculty exchanges and research projects are focusing on development of a national burden of disease study for the Indian state of Andhra Pradesh Dr Christopher Murray of Harvard stated, "Without the UDLP, their collaboration with India would not exist " Also, at one of the workshops health officials from South Africa, Tanzania, and Mozambique began discussions toward the formulation of a regional plan for the study of burden of diseases

Harvard School of Public Health (HSPH)
Department of Population and International Health

Instituto Nacional de Salud Publica (INSP), Mexico

Linkages for Promotion of Essential National Health Research (ENHR)

BACKGROUND

The Harvard School of Public Health had a leadership role in establishing the Commission on Health Research for Development (an international body formed in the late 1980's with Mexican participation), which developed the concept of essential national health research (ENHR) The aim of the concept is to promote equity in development, especially in terms of health Its strategy is to focus research on country-specific, high priority health problems, especially those of poor and disadvantaged population groups The concept became the basis for planning a strategy that would help empower national institutions to establish priorities for health research, to acquire the talent to carry out the research, and to bridge the gap between the scientific and policy-making communities

The three-way linkage among Harvard, the National Institute of Public Health of Mexico and the Faculty of Medicine of Eduardo Mondlane University of Mozambique was aimed at making it possible for two countries at different stages of development—Mexico and Mozambique—to improve collaboration between those who gather data on disease and effectiveness of health care and those who make decisions on the allocation of health services Linkage activities were intended to create models for interpretation and implementation of the concept of essential national health research The idea was that the linkage would enable each of the linked institutions to build on its particular strengths, while forging a dynamic partnership committed to the achievement of worldwide equity in health

Harvard would have the opportunity to build on its longstanding commitment to an international approach to public health training and to the building of partnerships with overseas colleagues and institutions With the technological and human resources of a highly industrialized country, it would offer academic training in all research disciplines relevant to the concept of essential national health research, and assume leadership in developing the curriculum required, as well as models for its use The other two countries would offer access to field situations representative of the major health problems encountered in developing countries Mexico, as a middle income country, though characterized by wide disparities in socio-economic development, shares health problems typical of low income countries Its National Institute of Public Health is a well established training and research institution, which combines training in academic research with applied field research on health problems common to most developing countries The Institute, as an autonomous arm of the Ministry of Health, serves as its think tank

In Mozambique, the Faculty of Medicine is developing innovative approaches to health research capacity building in a national health system that is dealing with similar problems in different ways and from a much narrower resource base

The specific objectives of the linkage among the three country institutions are

1) to establish a multi-centric training system for essential national health research—one that would provide short- and long-term training and intensive field experience—and

2) to develop mechanisms for the permanent strengthening of interactions between researchers and decision-makers

Thus the linkage would enable the participating Latin American and African countries to set priorities, to define research questions, and to determine the manner in which data should be presented to most effectively inform health policy and decision-making

Research carried out in 1992, the first year of the linkage, by senior health professionals at Harvard in collaboration with World Bank and World Health Organization colleagues, developed a new technology for analyzing health statistics to identify the so-called National Burden of Disease Their work was published in the World Bank's World Development Report 93, *Investing in Health* That volume described a strategy for implementing the concept of essential national health research through analysis of the National Burden of Disease (NBD) and calculation of Disability Adjusted Life Years (DALYs) to assess the health problems most directly affecting the health quality of life of a country The intention of the analysis was to identify and draw attention to significant health problems, especially those that hitherto had been underestimated In January 1993, the management council of the linkage decided to focus joint research on the cost effectiveness of health interventions and on this new methodology in view of its potential contribution to the design of health policy and health care reform

VALIDITY OF REPORTS

Reporting on this linkage by the project coordinator at Harvard, using input from the Mexican partner, is responsive and timely The evaluation team found no discrepancies between the written reports and contributions from participants in Mexico

ASSESSMENT OF PROGRESS, HYPOTHESES AND PROJECT MANAGEMENT

1 Is the linkage making progress toward the objectives stated in its cooperative agreement?

Findings on Establishment of a Multi-centric Training System for Essential National Health Research

1a In Mexico, the training and research activities of the linkage built upon a longstanding pre-existing relationship between the Harvard School of Public Health and health research professionals in Mexico

1b The linkage has achieved scheduled progress for Mexico in each of the three activities established to implement the training objective These were 1) collaboration and technical assistance in ongoing research, 2) in-country training workshops, and 3) exchange of students and scholars

1c Following publication of the NBD methodology, the capacity building effort that was oriented initially to the entire range of fields covered by the essential national health research concept became more focused in the second year of the linkage, when the partners agreed to concentrate on assessment of National Burden of Disease and measurement of the cost-effectiveness of health interventions These two research topics were seen as complementary and as readily oriented to policy development

1d For Mexico, the three activities culminated in a signal event, the publication of results of research on the burden of disease, using Mexican data, as part of a major document designed to guide reform in the country's health sector Thus, by the end of the third year of the linkage, the research was used to inform policy

- In 1992 and 1993 there were direct contacts between Mexican scientists and those health economists who developed the burden of disease methodology that was published by the World Bank in 1993 The Director General of the National Institute for Public Health was on sabbatical at Harvard and active in guiding the work of the linkage and the former Director of the Center for Research in Public Health of the Institute was a consultant at World Bank

- Mexican scientists were exposed to the concept of essential national health research at an in-country workshop in early 1993

- Following the second international seminar in May 1993, which introduced the burden of disease methodology, a Mexican scientist, using advisory assistance from Harvard, completed an analysis of Mexican data using the methodology

- The results of the analysis were published in March 1993 as one section of the projected health planning document, and in December 1993 in the document as a whole

- The new government, which took office in December 1994, decided to use the planning document as the basis for implementing health reform

- Mexico was the first country in the world to use the new analytic tools to bolster recommendations for reform in the health sector Its work is known to other countries, such as Costa Rica and Colombia, now preparing to do their own analyses

1e The linkage has strengthened the capacity of the research and teaching staff at the National Institute of Public Health to conduct and teach analysis of the National Burden of Disease and of the cost effectiveness of alternative interventions in health care

1f The linkage, together with funds raised from other sources, has enabled a number of Mexican scholars—PhD candidates and professors—to study and teach at the Harvard School of Public Health

1g The linkage partner, the National Institute for Public Health, as an autonomous research arm of the Ministry of Health, was well placed to make the connection between research and health policy

1h Some of the teaching and research staff of the Institute, though interested and involved in parts of the research program supported by the linkage, have not had opportunities to participate in overall planning of participation by the Institute as a whole

1h The Mexican researchers believe that their capacity to engage in an intense academic and intellectual exchange, and willingness to work hard, facilitated their ability to benefit from the close advisory relationship with Harvard

1i No exchange professor or degree candidate from the Harvard School has taught in Mexico

Findings on Interactions between Researchers and Policy Makers

1j The relationship with Harvard promoted outreach to deal with social issues and was crucial to the speedy design of health reform proposals published in Mexico in 1994 (see above)

Findings on South-South Collaboration

1k From the Mexican point of view, the rationale for the three-way linkage was to enable the middle-income country to offer assistance to the poorer country

1l In addition to joint participation in seminars sponsored by the linkage, the Mexicans have contributed to those in Mozambique in other ways They prepared and conducted a 1993 seminar on basic concepts and research methods in health economics, helped prepare five specific research proposals to be supported by the linkage, and conducted a demonstration study on the use of pharmacies in Mozambique They also offered places for graduate study at the National Institute of Public Health

1m However, opportunities for cross-country research and inter-country collaboration between Mexico and Mozambique have been missed

- Mozambique required more time than anticipated to identify qualified candidates, complete applications and secure financing for study in Mexico No students arrived in 1994, and it appears that none will make it at the start of the school year in 1995, as the term begins soon, and arrangements have not been finalized

- A second seminar proposed to be given by Mexicans in Mozambique, for which World Bank and European Union funding were available, was not held because the request from Mozambique was not completed on a timely basis

- As far as is known to the Mexicans, there has been no action to undertake the research for which they helped prepare proposals

- The Mexican who completed a study of the use of pharmacies in Mozambique has done no work on that subject in Mexico

1n The Mexican researchers point out that, relative to Mozambique, they (a) know how to use resources, (b) know how to put financing packages together, and (c) have the technical capacity to benefit from the exchange with a U S partner

1o Barriers to the ability of Mozambique to benefit from the linkage include weak and changing leadership of linkage activities, the thin layer of educated people in the country, lack of organization and internal communication, and political influences on such matters as assignment of personnel and competition for training slots

1p Some Mexicans observed further that a negative attitude toward the contrasts between them and the developed country partner of the linkage hinders some Mozambicans from benefiting from what is offered They believe that Mexico may still find a role in encouraging Mozambicans to recognize how much they can learn from developed country experience and to use the opportunities offered by the linkage to get maximum benefit

Findings on Electronic Communication

1q Establishment of electronic communication was not part of the plan for the linkage The National Institute of Public Health remains without capacity for e-mail or other form of electronic communication

1r The Institute could cover the recurrent costs of electronic mail, but must rely on grants for acquisition of equipment

Conclusions

1a It is difficult to identify the specific impact of the training and interaction of researchers and policy-makers that resulted directly from the linkage in Mexico, it is clear, however, that the overall impact of the relationship with health economists at Harvard and elsewhere has been far greater than might have been expected from the linkage as originally proposed

1b The strong tradition of academic excellence in Mexico, and the excellent leadership of the well-established (70-year-old) National Institute of Public Health enabled Mexican scientists to take advantage of the opportunities presented through the linkage

1c The differences between the capacities of two overseas partners were so great that synchronous collaboration between them toward the objectives of the linkage was not possible

Recommendations

1a The UDLP should authorize provision of sufficient equipment to enable the Institute of Public Health in Mexico to take advantage of today's electronic communication technology

1b When considering future projects to support multi-country linkages, USAID should take into consideration factors of language, culture, and relative economic and academic development that might affect the success of the "South-South" aspect of the linkage

2 1 Is the linkage strengthening the capacity of the developing country institution of higher education to help meet the development needs of its society?

Findings

2a Yes, in an outstanding manner in Mexico The National Burden of Disease study contributed directly to a major health policy study that was completed in 1994 and approved for implementation by the newly elected government of Mexico in early 1995 See further, above, under Question 1

2b The analytical work to implement the new methodology for establishing priorities in health research was accomplished by a team of Mexican scientists with advisory support from Harvard

Conclusions

See Conclusions to Question 1, above

Recommendations

None stemming from interviews in Mexico

2 2 Is the three-way linkage promoting fruitful exchanges between the two developing country partners?

See above, Findings 1k through 1p

Conclusions

There was too wide a gap in the state of development of the two partners for assistance from Mexico to Mozambique to reach fruition

Recommendations

See above, Recommendation 1b

3. Is the United States institution of higher education internationalizing in ways that use and expand its international development expertise?

Findings

3a The linkage has stimulated increases in the number of faculty members involved with the study of Mexican health policy through teaching of seminars and supervision of doctoral candidates

3b To respond to interest expressed by several countries, a Burden of Disease Unit was established in 1994 at the Harvard Center for Population and Development Studies to further research on burden of disease and cost-effectiveness, to provide technical assistance to countries and to host visiting scientists who wish to analyze their data The decision to create the Unit was based in part on the successful completion of the Mexico study and the stimulus of international workshops of the linkage The Unit is headed by the UDLP coordinator at Harvard

Conclusions

Depending on its success in participating in collaborative programs, a U S university with broadly based programs may well expand its activity to include specialized programs that have applicability to developing nations

Recommendations

None to date

4. Are the linkage partners taking the necessary actions to make their linkage or their linkage activities sustainable by the end of the USAID funding period?

Findings on the Situation in Mexico

4a The new Minister of Health is strongly committed to implementing reforms in health care in accordance with the proposals in the document, *Economia y Salud*, put out by the Mexican Health Foundation in December 1994 Under a new position of Under Secretary for Planning, two new Directorates, one for Health Economics and one for Evaluation and Monitoring, are now responsible for implementation of the reforms The Directorates are headed by former members of the staff of the National Institute for Public Health who still teach courses there

4b The Minister of Health has established a three-year horizon for organization and implementation of the health care reform Officials point out, however, that the current economic crisis in the country may make it impossible to meet that target

4c According to a health economist formerly associated with linkage activities, Mexico, which has benefited in the past from advice on economic reform from Harvard and MIT, is a country that is accustomed to seeking advice from renowned experts on such matters as health policy

He postulates that linkages with Harvard will continue following the UDLP project, largely because of personal contacts derived from past faculty and student exchanges and joint seminars

4d The strategy of analysis of the National Burden of Disease to define national priorities in research and health care has attracted interest in a growing number of countries

- Interest became widespread after publication of the *World Development Report 93*, and especially following completion of the Mexican analysis and publication of *Economia y Salud*

- The third linkage seminar, for which World Bank provided partial funding, included participants from several other developing countries

4e The National Institute of Public Health, which must rely on grants for all investment expenditures, has diverse and established sources of funding and a history of successful fund raising The Mexican Health Foundation is a major source of funds for scholarships and study projects

4f Linkage activities are continuing despite changes in the position of Principal Investigator at both institutions

- At Harvard Professor Christopher Murray, who helped create the analytical methodology that has been transferred so successfully under the linkage and is a member of the international advisory committee to the project, has taken on the responsibility of Principal Investigator

- In Mexico, in October 1993, Dr Frenk, who had been Director of the Institute, became Director of the Mexican Foundation for Health following a sabbatical year at Harvard His replacement as Director of the Institute was replaced in turn in early 1995 following the national election and change in government

- Although graduate students holding teaching posts and other instructors at the Institute of Public Health have been involved in aspects of linkage activities, management and understanding of those activities is concentrated in a few key individuals Their personal commitment is important to the vigor of the linkage

Findings on the Harvard-Mexico linkage

4g The Mexican researchers anticipate many opportunities for widening their relationships with the U S partner and other U S universities As they say, "we are sending our best people to Harvard "

> They point out that both faculty and students come regularly to Mexico from the United States, and that Mexico could be a good location for a foreign student based in the United States to do research

The Institute maintains linkages with a half dozen or more universities in the United States and elsewhere, particularly institutions in which its staff have studied

Because the PhD program in public health does not cover certain subjects, some degree candidates from Mexico go to Harvard and other universities for a semester or two to study in a particular field of specialty

Findings on the Mexico-Mozambique Linkage

4h The Mexican participants see no way they can further assist the Mozambicans in research because they have heard nothing since they helped complete five research proposals

4i Unless Mozambican candidates have completed their applications, have been accepted by the School, and have secured funding by the beginning of the 1995 academic year, there will be insufficient time during the linkage period for them to complete desired study programs

Conclusions

4a The personal interest and commitment of a core group of collaborating researchers can lead to impressive results

4b In Mexico, because (a) linkage activities complement existing programs, (b) there are strong ties between the National Institute of Public Health and the Harvard School of Public Health through academic exchanges, and (c) both institutions have regular financial support from sources other than USAID, it is likely that exchanges of scholars and scientific collaboration between Harvard and the National Institute of Public Health will continue

4c The Institute's role as think tank for the Ministry of Health, shaped by its institutional continuity, leadership and commitment to applied research and policy issues, combined with the continuing involvement in teaching by Institute staff transferred to the Ministry, will assure a continuing linkage between research and policy

4d The creation of the Burden of Disease Unit at Harvard embeds the commitment to essential health research in that university

4e The recent transition from Dr Lucas to Dr Murray as Principal Investigator at Harvard could affect sustainability

4f Final implementation of the health reforms outlined in 1994 will depend necessarily on the ability of the Ministry of Health to maintain political and financial support

4g Communication between Mexican and Mozambican participants will not continue following the project

Recommendation

This linkage can serve as a model for promotion of development outreach through collaborative academic exchange

5. Are the six hypotheses of the project proving to be valid?

Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

- The National Institute of Public Health of Mexico has extended its program to include outreach to Mozambique, i e through preparation and teaching of seminar(s), development of applied research proposals, and offers to accept Mozambican candidates in the School of Public Health

New information technologies are changing the basis of technical assistance

- The hypothesis is valid for many institutions in Mexico, but not for the National Institute of Public Health, which has no access to electronic communication

It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work
(no comment based on field investigation)

Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

- Although not supported by previous USAID projects, the Institute had a pre-existing linkage with Harvard, through personal and professional relationships between the Director General of the Institute and the Director of the Harvard School of Public Health, who helped establish the Commission on Health Development and draft guidelines for conducting essential national health research

It is now time to expand the participation of applied education institutions in international development work.

(no comment based on field investigation)

A partnership project among USAID, U.S institutions and developing country institutions will result in next generation "spinoff" activities

- Spinoffs from this linkage include plans of the School of Public Health to develop an MSc program in health economics, adoption of a major health care reform proposal by the

Ministry of Health, reorganization of the Ministry of Health to give greater emphasis to planning and health economics, and creation of a Burden of Disease Unit at Harvard

- When researchers and professors benefiting from USAID projects have opportunities to move to influential policy-making positions, outcomes of the projects are multiplied, and may have far reaching implications for the national society

6 *Are the linkage activities being appropriately managed and funded?*

Findings

The linkage between Harvard and Mexico was developed collaboratively, but the selection of Mozambique as the third partner was a decision of Harvard (verify with Harvard)

The Management Council established for the linkage was to have met twice a year It actually met once in each of the first three years In January 1995, consultations on continuing activities took place by telephone between Mexico and the project coordinator Neither at Harvard nor at the Institute was there a Principal Investigator

Changes of Principal Investigator in Mozambique negatively affected communication and forward movement on cooperation with Mexico

In the view of some Mexican participants, one of the Mozambicans assigned to manage the linkage was weak in commitment

Reports required for USAID are prepared promptly by the project coordinator at Harvard Information for the reports is provided by the Mexican partners

From the Mexican point of view, the transfer of funds from the U S partner is often slow

The project coordinator at Harvard is a strong manager

Conclusions

Recommendations

7. Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreement?

Quarterly and annual reports do not tie back to the project implementation plan For example, it is not possible to distinguish among "seminars", "workshops", and "training of trainers"

Reports are informative about decisions made as linkage activities have progressed, for example, the decision to narrow its focus on just two aspects of the essential national health research approach

8 Is the project design as a whole appropriate to its purpose?

When a linkage can build upon a pre-existing relationship, the formation of sustainable linkage partnerships appears to be possible

The Mexican partner has been able to maintain its share of costs

The Mexican partner had full capability and desire to participate in the design of the activities

The evaluation team has no basis for comment on the competitive peer review process

Report prepared by: Eloise Carter and Hariadene Johnson
DRAFT REPORT ON UDLP EVALUATION OVERSEAS AND US SITE VISITS

FACULTY OF MEDICINE
UNIVERSIDADE EDUARDO MONDLANE
Maputo, Mozambique
and
HARVARD SCHOOL OF PUBLIC HEALTH
CENTER FOR POPULATION AND DEVELOPMENT STUDIES
BURDEN OF DISEASE UNIT
Boson, Massachusetts

Cooperative agreement DAN-5063-A-OO-1114-OO "Linkages for Promotion of Essential National Health Research"

I Validity of Data

In Maputo we met with five representatives of the medical faculty, including Dr Schwalbach (the Director) and Dr Julien (head of the research program) Dr Julien has participated in the Harvard seminars and is the operational contact for the UDLP activity

In Boston we met with Dr Lincoln Chen (Director of the Center), Dr Murray (the director for the UDLP/ENHR activity), Dr Michuad (the project coordinator) and Dr Hill (who directs the AID funded "Data for Decision Making - DPE-5991-A-OO-1052-OO but also participates in the ENHR activity)

The Desk Study Survey incorporated information pertaining to Harvard's activities in Mexico and Mozambique under the UDLP grant It was misleading and/or inaccurate on most data pertaining to Mozambique usually failing to differentiate between activities/accomplishments in Mexico and activities/accomplishments in Mozambique Information regarding Mozambique tended to gloss over problems and cited lack of timely action by Mozambique as the main problem The information was drawn from Quarterly Reports prepared by the US institution to which the DC institution did not contribute Both the DC institution and the USAID Mission insisted that they had not received copies

II SCOPE OF WORK QUESTIONS

Question 1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

A Findings

Two objectives are specified in the AID grant (1) to establish a multi-centric training system for essential national health research and (2) to strengthen interactions between health decision

makers and researchers Essential National Health Research (ENHR) was a concept designed to recognize the importance of research in setting national health priorities The strategy was to link research, action and policy by generating problem solving and action oriented research programs

The earlier documentation on this grant stressed that Harvard's contributiom would be to provide training in all research disciplines relevant to ENHR The US institution, in their response to and revision of the Desk Survey, reported that "Much progress has been achieved towards the completion of this objective (establish a multi-centric training system for essential national health research) even though the actual activities that were completed differ from the activities that were initially planned The multi-centric training system is a means to strengthen current research capacity not an objective of research "

A change in the project director at Harvard, together with the establishment of the Burden of Disease Unit and the assumption of UDLP responsibility by this new Unit, led to a new focus of activity under the UDLP The Unit's research concentrated on

1 " to forge the theory, design and implementation of a system for the combined measurement of death and disability and for the assessment, on global and national scales, of the burden of disease using as an indicator of disease burden the Disability-Adjusted Life Year "

2 " the establishment of a comprehensive data base of the cost, efficacy and effectiveness of over 200 health interventions "

According to Harvard, the Primany Investigators from Mexico and Mozambique met in January 1993 and agreed " to focus collaborative research efforts on the measurement of the national burden of disease in Mexico and Mozambique because they perceived that this would contribute an essential knowledge base to inform health care providers and decision makers " The same addition to the Desk Survey noted that to date the Unit had provided training in Windows and Lotus and a copy of Lotus Software for Windows to Mozambique researchers and will provide DISMOD soon (DISMOD is software developed specifically to estimate the burden of disease on the basis of available epidemiological and demograhic data)

In subsequent interviews at Harvard, the US institution noted that the decision to focus the UDLP on (1) the burden of disease, using the Disability-Adjusted Life Year indicator, and on (2) the cost efficiency of various health interventions was agreed to by both Mexico and Mozambique This focus did not change the objectives but was a means of achieving the original goals

Although the US institution agreed that progress toward objectives in Mozambique had been unsatisfactory, they felt that the major problems were (1) changes in leadership in Mozambique, (2) lack of institutional depth and stability in Mozambique, and, (3) overly ambitious goals in original grant given the small size of the grant

During the field interviews, it seemed that the Developing Country (DC) institutional objectives differed in form and substance from the revised objectives stated by Harvard

The DC objectives were (1) to strengthen its own ability to do research, (2) to strengthen South-South linkages between Mozambique and Mexico, and (3) to obtain experience in seeking and obtaining funds from international and national assistance agencies The DC institution felt that progress toward these objectives had been unsatisfactory

The DC representatives specifically stated that they do not consider the project to be a failure They felt that the philosophy was good at the beginning but had not been carried out in practice

The DC institution felt that the linkages were appropriate Harvard has a history of excellance, both overall and in development areas, has high technical quality in health areas, and the prestige of being linked with Harvard could open doors and make funding available that otherwise might not be possible The potential is there, however, project management (timing and course content of seminars, selection of trainees, frequency and timing of in country visits, and allocation of financial resources) was totally in the hands of the US institution The working relationship seemed to be nonexistent

The DC institution was very excited about the South-South link with Mexico Language (Spanish/Portugese) had proved to be no barrier Similar health problems and similar health infrastructure meant that there is strong potential in establishing links with relevant Mexican health organizations But with no funds for training or faculty exchanges, there was no way to expand beyond the limited networking possible at the short term workshops

In general the DC institution felt that too much of the grant had been used for short term training (2 to 4 weeks) and establishing the center at Harvard and not enough attention given to local problems and local opportunities

B Conclusions:

It was clear that the linkage had been more productive in Mexico (as measured by activities, papers published, collegial relaionships established, data gathered and research carried out) than in Mozambique It was not clear whether this difference in impact represented different levels of effort by the US institution in the two countries or represented the different levels of development and resource availability (health staff, health infrastructure and funds) between Mexico (per capita income of $2010) and Mozambique (per capita income of $80)

In either case, there are major communication problems between the US and Mozambique institutions, and both feel that progress has been unsatisfactory Although both institutions are aware of these problems, relationships have deteriorated over the past two years Since the USAID Mission is planning a major bilateral health sector program, there is a strong possibility that the ill will and simmering hostility felt by the DC health institution will have a negative impact on the much broader bilateral health program The US institution's experience and knowledge, which could have contributed to the bilateral effort, lack credibility at this point

C. Recommendations

1 The G Bureau should review this program with the Regional Bureau in order to decide whether this grant can or should contribute to the bilateral health sector program in Mozambique

2 The G Bureau should insist that the US and DC institutions develop a written memorandum of understanding, signed by both institutions, that sets forth mutually agreed objectives for the remaining life of the project, an operational strategy for achieving those objectives, and an agreed upon budget To avoid future misunderstandings, it should be specified what the DC institution will pay for from its funds, what the US institution will pay for from its funds, and what the grant will pay for Every effort should be made to reach mutual agreement on how funds will be allocated under the total grant as well as provide some funds in country under the control of the Mozambique health institution

Question 2· In doing so, are they strengthening the capacity of the partcipating developing country institutions of higher education (DCHIE's) to help meet the development needs of their societies?

A. Findings

Under this project, Mozambique health staff have received short term training in research methodology, health research priorities have been identified and research proposals have been designed, cooperation between the medical school of the University and the Ministry of Health has been encouraged, and networking with international health personnel especially staff from Mexico has been facilitated One seminar on health economics was sponsored in Maputo, and a research effort on pharmacies in Mozambique has been carried out by Mexico The DC institution (a medical school) has added a health economist to its staff and appeared to be working more with other divisions of the University All of these actions increase the capacity of the medical school and the University to identify and respond to health problems

B. Conclusions

We found no evidence that this enhanced staff capacity had as yet had an impact either on the medical school curiculum or in changing the allocation of health resources or in improving health standards

Almost every activity seemed to have communication problems and misunderstandings which are illustrated by the following examples

Training The DC institution was very proud of the fact that they had qualified (passing of exams, relevant experience and recommendations, etc) six people to attend, in 1994, post graduate medical schools in Mexico, but, at the last minute, the US institution could not provide funds The DC institution appeared to believe that there was a committment from the US institution to fund the training (either under the grant or from other funds) The US institution

noted that long term training was never in the budget, that there were adequate training funds in Mozambique but the medical school was reluctant to ask the Ministry of Health for the funds, and that the only responsibility of the US institution was to facilitate the admissions process Lack of action in pursuing funds would probably preclude meeting deadlines for 1995 as welll

Training The DC institution (the medical school) was invited to send four students to a workshop The medical school wanted to send three people and use the "extra" money for another purpose The US institution had, however, also invited the Ministry of Health to send people It ended up with six people attending the workshop and with the medical school being told that there were no "extra" funds

Research proposals The DC institution told us that they had developed five research proposals and, although Harvard had been very responsive in reviewing and sending technical comments, there were no funds to implement the research The DC institution seemed confident that they could obtain funds from other donors but again were frustrated that requests were denied by Harvard for budgetary reasons when they (the medical school) could not even obtain copies of the budget - much less have an imput in establishing budget priorities The DC institution asked the evaluation team whether AID funds were supposed to be used for development rather than increasing the capacity of US institutions

Applied research A survey on the use of public and private pharmacies in Mozambique was carried out by a group of medical students The objective of this research was to inform the Ministry of Health about the affordability of drugs by the general population This was an area of common interest among several participants from Mexico and Mozambique at the first ENHR seminar in Boston in May 1992 A Mexican expert provided training in research methods to the medical students in Mozambique The US institution refers to this as an activity benefitting Mozambique and funded by the AID grant The Mexican institution refers to this as an example of South-South assistance provided by Mexico to Mozambique Mozambique stated that this research was funded by Mozambique (Without having access to budget expenditure data, we assume that travel and per diem between Mexico and Moozambique was paid under the grant, the Mexican institution covered the expert's salary, an "in-kind" contribution, and the Mozambique institions covered the in-country local costs) Independently, none of the institutions gave any credit to either of the other organizations The expert has not conducted similar research in Mexico, although he has published an account of the research There is no information on the use or impact of this research in Mozambique

Equitable treatment The DC institution felt that participants at workshops from Mexico were treated differently (specifically by receiving a higher per diem), that long term training in the US at Harvard was arranged for Mexico but Mozambique was told to find its own funding, and that long term faculty exchanges between Harvard and Mexico were arranged but Mozambique was told that there was no money The US institution informed us that the same per diem was provided and that the long term training and faculty exchanges were funded by sources identified by Mexico and were not funded under the grant

The importance of the examples is to illustrate the extent of the misunderstandings rather than to sort out who did what It is also important to note how the procedural issues spill over into the substantive issues

C Recommendations

1 Until there is agreement on the objectives of this grant there will be misunderstandings such as cited above Most of these can probably be sorted out informally during the development of the memorandum of understanding as recommended previously If the relationship cannot be improved, the UDLP should be terminated

2 The G Bureau should remind the US institution that these UDLP grants are intended to support partnerships and that a collaborative effort, at a minimum, means agreeing on objectives, jointly developing an operational strategy to achieve those objectives, and establishing a mutually acceptable allocation of resources (staff time and money)

Question 3: Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A. Findings

The UDLP has had a positive effect on the Harvard Center for Population and Development Studies It has led directly to the creation of a new division, the Burden of Disease Unit, within the Center for Population and Development Studies It is part of a strategy to redevelop an international capacity and, together with other AID grants, collaborative projects with WHO, the World Bank and other bilateral donors, has provided the opportunity to involve staff and students in development problems The US institution believes that a country needs a strong institutional and financial base if the UDLP approach is to work The US institution believes that it was probably not financially or logistically feasible to include two countries in such a small grant much less attempt to facilitate a South-South linkage

B Conclusions

The interaction by staff and students with Mexico has had the most impact There has been some expanded involvement of Harvard staff in African development issues thru interaction with Mozambique participants in the seminars and workshops Because of the South-South component, the emphasis has been upon helping Mexico to help Mozambique Part of the communication/misunderstanding between Harvard and Mozambique seems to be derived from this even tho both Mexico and Mozambique were enthusiastic about the basic idea

C. Recommendations

The UDLP is not an appropriate mechanism for exploring South-South issues For other recommendations, see the report from Mexico

Question 4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

A. Findings

The US institution feels that the UDLP represents a new definition of how AID relates to US institutions of higher education and the thinking thru of how US universities become involved/engaged in development Dr Chen noted that the UDLP moves away from "project sustainability" toward looking at whether people and institutions are stronger and can be sustained at the enhanced level Sustainability questions should look at whether the human capacity exists to sustain a level of activity and is the institution stronger Financial sustainability is a fair question but the UDLP itself doesn't address that Dr Murray noted that Institutional links fail inevitably and that the key is to have strong personal links or to develop a critical mass of people working on a broader substantive agenda He noted that Harvard is trying to energize and sustain a relationship with Mozambique He felt that there are not enough interested people to enable them to take the lead and that South Africa will take the lead thru some sort of regional approach If the UDLP is limited to three years, he felt that AID would be paying for existing links with little added value for AID You need the longer time frame, at least 5 years, to take a "contact" and develop a "link"

B. Conclusions

There is little information available to help determine the sustainability of the linkage There is minimal committment from the US institution and/or the Mexican institution based upon their performance under this grant (They keep expecting Mozambique to find funds from other donors) Both Harvard and Mexico are given very high marks by Mozambique for their technical expertise and the relevance of their work to development issues in Mozambique, but it is unlikely for Mozambique to develop independent financial resources in the near future In the absence of donor funds, the link with Mexico will be minimal Unless Harvard finds funds, the link with Mozambique will probably disappear

C Recommendations

1 The G Bureau should broaden the concept of sustainability beyond the life of the linkage, the project, to include the people and institutional sustainability definition offerred by Harvard

If the definition is expanded to be the sustainability of the institutions' enhanced capacity, then the measurement is in terms of Mozambique's committment to using problem oriented applied research as part of teaching methodology, curriculum changes, and development of policies and budget priorities There is evidence (staff enhancement, greater practical emphasis on research in curriculum, University policy, etc) that Mozambique will continue with and sustain the basic concept of Essential National Health Research (ENHR) which is a recognition of the importance of research in setting national health priorities

2 The USAID Mission, in planning and designing a health sector bilateral program, will be developing strategies to link research, action and policy The G Bureau should coordinate with the Regional Bureau in reaching a decision on sustainability

Question 6 Are the linkage activities being appropriately managed?

A Findings

The DC institution expressed a high level of frustration that more had not been achieved Mozambique appears to have been committed to the basic idea of linking research, policy and action prior to the grant They are concerned that Mozambique and Mexico seem to have been treated differently and that too much of the resources have gone for short term training They felt that a more effective use of resources at this stage would be to have long term training, especially in Mexico, exchange of long term (2/3 years) faculty, especially with Mexico, and implementation of the research proposals that have been designed The DC institution was very results oriented

Except for being similarly frustrated by the lack of progress, significant differences on the above points was expressed by the US institution The US institution stated that more funds under the grant had gone to support Mozambique than Mexico There had been four visits to Mozambique, one a year, and costs per trainee were higher, primarily due to transportation costs In summary, the US institution felt that the UDLP budget had no funds for long term training or faculty exchanges, that Mozambique lacked the health infrastructure to take advantage of the grant as Mexico had, and that the increased capacity, however limited, was a necessary first step

The current leadership in Mozambique, although not the original management team, has been in place for the last two years They reported that they had made every effort to obtain copies of all project documentation (original technical proposal, grant agreement, annual workplans, quarterly reports and budgets), but Harvard will not or has not responded They requested that there be discussions on the operational strategy as soon as possible

Because of changes in project management at the medical school, the current management admits that they may not be fully aware of the original objectives, however, there is no paper trail from the previous UDLP/Mozambique director, and efforts to retreive copies of project documentation from Harvard had been unsuccessful Although the medical school was involved in planning for the next year's activities, they felt that they had no opportunity to review the budget or request changes or shifts in the budget They felt that two visits over the last two years by the Harvard project coordinator were too few to allow real collegial management

The DC institution noted that they were not treated as a full partner, a co-manager of the grant The DC institution repeatedly cited the difficulties of "lack of transparency" regarding decision-making and "lack of accountability" stemming from no involvement in preparing the budget, no knowledge of what was eligible in the budget, no local budget controlled by Mozambique and no knowledge of the over all budget or work plan Mozambique stated that they had no influence on the budget and every request had to be submitted to Harvard for a case by case

decision Acccordingly Mozambique did not feel like a partner nor could it be held accountable Dr Julien, the research director and UDLP project manager, had refused to sign budget documents until he could see the over all budget and had some means ofmeasuring accountability and performance Harvard evidently proceeded without a local signature

During the field interviews it was reported that there are two main actors the Faculty of Medicine at the University and the National Institute of Health at the Ministry of Health The medical school in the University is primarily responsible for training but undertakes some research The National Institute of Health is the public health research unit of the Ministry of Health which runs the National Health Service The UDLP partner is the University (the medical school) During the field interview, the medical school staff said that they were the original link with the MOH being added later During the US interview, the Ministry of Health was described as being involved from the beginning and their support of the ENHR concept was a major reason for inclusion of Mozambique The MOH supported the idea of the UDLP participation of the medical school and the need for an interdisciplinary approach drawing upon other divisions of the University, and fully endorsed applied, problem-oriented, research as needed to identify priorities and guide policy decisions and budget allocations

The US institution believes that there are some tensions between the MOH and the medical school The example cited was that the MOH controlled all donor funds for participant training and could easily have funded the training in Mexico if the medical school had only asked The US institution, by directly extending an invitation to the MOH to attend some workshops, exaccerbated the feeling of the medical school of not being a full partner

The DC institution felt that the main objective was still important but noted their unhappiness over management and coordination They felt that an operational strategy, especially on the link with Mexico, was needed Coordination between Mozambique and Mexico was the weakest, partially because coordination was all done at Harvard

Substantively, the DC institution felt that participation by Harvard had been too limited Harvard had participated in research planning and design but not in implementation Training had been short term In country support had been limited to only two visits (short term) from Harvard

The US institution felt that the Mozambique portion of the UDLP grant had problems relating primarily to instability and turnover of personnel in country For example, a local budget was intended for both Mexico ($6,000) and Mozambique ($1,000) but Mozambique refused to sign Quarterly reports were prepared with Mexico contributing to the document and receiving copies Although Mozambique was asked to comment, they did not respond Sometimes copies were sent, sometimes not But Harvard argued that Mozambique was a full participant in developing the substantive agenda

B Conclusions

Both the US and the Mozambique institutions have indicated that the progress under this grant has been unsatisfactory The Mozambique institution feels that project management and

coordination is weak The US institution feels that the UNDP type of program is inappropriate for Mozambique and for South-South initiatives

The relationship between the US and Mozambique institutions is not a partnership There is no working relationship The UDLP is being managed solely by the US institution Regardless of whatever accomplishments are attributed to this activity, the process by which they occurred is in question

With minimum imput into the substantive agenda (the DC institution had little or no input as to timing of visits, workshops or content) and with no control (by the DC institution) of the budget or eligibility of expenditures, the DC institution stressed that there was no transparency in the decision-making or accountability in the use of funds This management approach limits the potential contribution of Mozambique as well as the potential benefit Creativity by the DC institution was neither called for nor encouraged

C Recommendations

The recommendations made earlier are directly relevant to project management issues and are repeated herein

1 The G Bureau should review this program with the Regional Bureau in order to decide whether these institutions can or should contribute to the bilateral health sector program in Mozambique

2 The G Bureau should insist that the US and DC institutions develop a written memorandum of understanding, signed by both institutions, that sets forth mutually agreed objectives for the remaining life of the project, an operational strategy for achieving those objectives, and an agreed upon budget To avoid future misunderstandings, it should be specified what the DC institution will pay for from its funds, what the US institution will pay for from its funds, and what the grant will pay for Every effort should be made to reach mutual agreement on how funds will be allocated under the total grant as well as provide some funds in country under the control of the Mozambique health institution

3 The G Bureau should remind the US institution that these UDLP grants are intended to support partnerships and that a collaborative effort, at a minimum, means agreeing on objectives, jointly developing an operational strategy to achieve those objectives, and establishing a mutually acceptable allocation of resources (staff time and money)

4 If Harvard is unwilling or unable to work out a mutually agreeable partnership, then the G Bureau should appropriately reduce the funds in this UDLP

III EVIDENCE CONCERNING HYPOTHESES Question 5 from SOW: Are the six hypotheses proving to be valid? The hypotheses are:

(1) Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities such as applied research and specialized training

All three UDLP grants in Uganda and Mozambique involve partners who fully agree with and support this hypothesis Measured by mission statement and allocation of staff time these higher educational institutions are expanding beyond teaching They are actively seeking donor support for curriculum changes that would encourage applied research and other outreach activities

(2) New information technologies, such as e mail and Internet, are changing the basis of technical assistance

The evidence from these three UDLP partners does not support this hypothesis In Mozambique the grant has not introduced new information technology The Mozambique medical stafff find communications to be slow and unreliable Phone calls (and faxes) are expensive and frequently not available In Uganda at the Law School, phones and faxes are unreliable (both technically since the fax machine was hit by lightning and due to interruptions for non-payment of bills) In Uganda at the Institute of Public Health, the UDLP has funded computers, faxes and e mail, and both partners feel that this technology has significantly improved project administration and financial management But, in the words of the Uganda project director, nothing substitutes for face to face contact in conveying technical assistance

(3) It is time for US higher education institutions to expand their develpment efforts by including departments not previously involved in international development work

All three UDLP grantees have used the linkage as a rationale and an opportunity to reach out to other parts of the US institution and increase their involvement in development

(4) Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

The findings on these three examples of the UDLP are mixed A strong sustained linkage with demonstrated practical impact has apparently been established by Case Western and Makerere (Institute of Public Health) The University of Florida and Makerere (School of Law) are struggling with hard problems in a new area (the rule of law and human rights) where there is no "old development effort" And, in Mozambique, the original personal contacts that led to the initiation of the linkage have moved on to other efforts and it is unlikely that the link will be maintained

(5) It is now time to expand the participation of applied education institutions in international development work

These three UDLP grants are all with developing country "trade schools" (law, medical and nursing) who seek greater involvement The three US institutions are also already dedicated to "internationalization" the Center for Population and Development Studies at Harvard, the African Studies Center at the University of Florida, and the Center for International Health at

Case Western Reserve At both ends of the link, these UDLP actors have taken advatage of the existence of the UDLP to reach out to other faculties within their respective institutions These faculties with no previous involvement in development represent the positive move to expand and thus provide strong evidence of support for this hypothesis

(6) A partnership project among USAID, US institutions and developing country institutions will result in next generation "spin-off" activities

Confirmation and/or negation of this hypothesis depends more on the reader's theory of how change happens than on objective findings People trained under these grants should become agents of change within their respectives institutions/countries Follow up with other project activities will strengthen and expand the ability of these change agents to plan and implement new "next generation" programs The linkage formula is essential to generate ideas and introduce change, but additional support will be needed to implement changes in country

Training and research were conceptualized under colonial regimes as very separate functiions Training of legal and medical personnel was established in Universities basically affiliated with Ministries of Education Practical work assignments for the health professionals is under the control of Ministries of Health whereas the legal students must attend the legal institute prior to practicing law in Uganda Improved cooperation among the theoretical and practical institutions is built into all three UDLP grants

IV CASE PRESENTATION

A strategy for improving the quality of health care by supporting Essential National Health Research grew out of a series of international conferences, Task Forces and Commmissions The key finding of these groups was that there was "a gross mismatch between the burden of illness, which is overwhelmingly in the Third World, and investment in health research, which is overwhelmingly focused on the health problems of the industrialized countries " A srategy for promoting essential national health research, which included the three major areas of (1) laboratory-based biomedical research, (2) hospital-based clinical research, and community-based public health research, was developed Representatives from Mozambique endorsed this emphasis on research and were enthusiastic about joining with Harvard and Mexico under the UDLP

Two objectives are specified in the AID grant (1) to establish a multi-centric training system for essential national health research and (2) to strengthen interactions between health decision makers and researchers Essential National Health Research (ENHR) was a concept designed to recognize the importance of research in setting national health priorities The strategy was to link research, action and policy by generating problem solving and action oriented research programs

Progress under this UDLP has been unsatisfactory according to both the US and the DC institutions No true partnership has been established, project objectives are defined differently by each participant, there is no agreement on an operational strategy, and, project management has been so tightly controlled by Harvard that Mozambique participants state flatly that there is no transparency
in decision making and thus no accountability on budget expenditures

There is a strong possibility that the ill will and simmering hostility felt by the DC health institution will have a negative impact on the much broader bilateral health program being planned by the USAID Mission The US institution's experience and knowledge, which could have contributed to the bilateral effort, lack credibility at this point

Johns Hopkins University (JHU)
School of Hygiene and Public Health
Department of Population Dynamics

El Colegio de Mexico (COLMEX)
Center for Demographic and Urban Studies (CEDDU)

Population Change and Public Health
A U S -Mexico Collaborating University Project

Report by Allison B Herrick and Bill Teska

CASE PRESENTATION

For over a decade Dr Rebeca Wong, the Project Director from Johns Hopkins University, has been working with colleagues in Mexico on topics related to population and health Convinced that a more formal relationship with these colleagues would be an effective means of advancing health concerns in Mexico and to add new dimensions to Johns Hopkins University, the University sought a means to develop a long term linkage with a health research institution in Mexico Following consultations with the Institute of Public Health and El Colegio de Mexico (COLMEX), a UDLP linkage proposal was prepared in collaboration with the latter El Colegio de Mexico is a research and graduate training institution specializing in several fields of the social sciences and humanities considered to be relevant to development and democratization issues of Mexico It consists of seven centers, one of which is the Center for Demographic and Urban Development Studies (CEDDU)

To strengthen Johns Hopkins University programs of international education and research on population and economic development with special emphasis on Latin America, the linkage was designed to build on the already established informal relations between the two institutions to

1 Enhance the capacity of the institutions to advance knowledge through development of a program of joint applied research collaborations

2 Strengthen training programs and develop curricula through exchange of students, post-doctoral fellows and faculty

3 Enhance capabilities for dissemination of research results

4 Establish a sustainable program of joint research to address emerging health and related social and population issues in the Latin America region

The linkage was designed to enable JHU and CEDDU of El Colegio de Mexico to address more effectively the emerging health problems that are facing developing countries Johns Hopkins University wanted to enhance its international efforts by adding experience on urban development and population issues in Latin America The goal of CEDDU, on the other hand, was to develop capacity in the area of health and to strengthen grantsmanship skills through collaborating with

faculty and staff at JHU with experience in writing and managing research grants Undoubtedly, the prestige of JHU in the field of public health contributed to the CEDDU's participation in this linkage

To date limited progress has been made toward some of the linkage objectives One of the intents of the linkage was to form a deeper relationship based on joint planning and joint research efforts Despite a longstanding informal collaboration between CEDDU and the Project Director at JHU, the coordinators were not able to implement exchanges until the second year of the project Since then, two doctoral students, one post-doctoral fellow and a faculty member from JHU have gone to CEDDU One CEDDU faculty member has also been to Baltimore Formation of a program of joint applied research has not been easy, although the coordinators have tried various strategies for initiating these projects No jointly prepared research proposals have been funded to date, although a proposal to WHO that was prepared in late 1994 failed to meet the deadline and may be resubmitted The linkage participants are moving forward with collaborative research In the past year, five sub-projects were in progress between CEDDU and JHU faculty and students

In reality, much of the research leadership at CEDDU has been engaged in an intense effort to create its major new program in Reproductive Health and Society The proposal for the UDLP linkage was developed by JHU in consultation with researchers at CEDDU and with other funding agencies, such as Ford Foundation/Mexico Simultaneously, CEDDU was in consultation with Ford Foundation about a major new grant proposal on reproductive health and society The JHU UDLP linkage became active in early 1992, the reproductive health program in 1993 The original focus of the UDLP was on health and related social and population issues related directly to the extreme rapid urbanization and industrialization of Mexico Though the two grants are related, a large proportion of CEDDU's limited human resources has been dedicated to the Ford Foundation-funded project Those at Johns Hopkins, of course, are aware of these limitations

Through linkage activities, Johns Hopkins has expanded its capacity to analyze Latin American demographic data JHU has acquired data from household surveys and from the 1990 census in Mexico CEDDU has been provided with computer equipment and software and its faculty have been assisted in their use These materials have been helpful for specific research Furthermore, CEDDU has made certain data packages available to the entire college The UDLP has also impacted curriculum reform at CEDDU The faculty at CEDDU are restructuring their graduate degree programs The JHU linkage counterparts have contributed to the discussions in the development of the new program

At the beginning of the linkage, it was envisioned that there would be a series of workshops for faculty and students Unfortunately, due to the difficulty of scheduling, these have been postponed A workshop is planned for October 1995, however
Its topic will be, "Consequences of the Demographic and Epidemiological Transition in Mexico "

In summary, the UDLP has enriched both institutions and has stimulated academic development at JHU and at CEDDU As one CEDDU faculty member stated, "This linkage has been a process of strengthening the relationship between institutions -- it has opened borders "

Johns Hopkins University (JHU)
School of Hygiene and Public Health
Department of Population Dynamics

El Colegio de Mexico (COLMEX)
Center for Demographic and Urban Studies (CEDDU)

Population Change and Public Health
A U S -Mexico Collaborating University Project

BACKGROUND

Based on former informal and sporadic institutional collaboration, and convinced that linkages with colleagues in other countries are essential to advancing health, Johns Hopkins University was interested in developing a long term linkage with the El Colegio de Mexico (COLMEX), a research and graduate training institution specializing in several fields of the social sciences and humanities considered to be relevant to development and democratization issues of Mexico

To strengthen university programs of international education and research on population and economic development, with special emphasis on Latin America, the linkage was designed to build on already established relations between the two institutions to

1 Enhance the capacity of the institutions to advance knowledge through development of a program of joint applied research collaborations

2 Strengthen training programs and develop curricula, through exchange of students, post-doctoral fellows and faculty

3 Enhance capabilities for dissemination of research results

4 Establish a sustainable program of joint research to address emerging health and related social and population issues in the Latin America region

The linkage was intended to enable JHU and the Center for Demographic and Urban Development Studies (CEDDU) of COLMEX to address more effectively the emerging health problems that are facing developing countries Johns Hopkins University was expected to enhance its international efforts by adding experience on urban development and population issues in Latin America CEDDU was expected to develop capacity in the area of health, and to strengthen grantsmanship skills by collaborating with faculty and staff at JHU with experience in writing and management research grants

The institutions were to initiate joint research, academic exchange, and training programs to be funded by other organizations, with the expectation that all such efforts would be sustained by funds from other organizations following the linkage period The health and related social and

population issues to be addressed would be related directly to the extremely rapid urbanization and industrialization of Mexico

Linkage funds were to be concentrated on core support for management of the program Funds from other sources would cover other costs

The proposal for the linkage was developed by JHU in consultation with researchers at CEDDU and with other funding agencies, such as Ford Foundation/Mexico Simultaneously, CEDDU was in consultation with Ford Foundation about a major new program on reproductive health and society The JHU linkage became active in early 1992, the reproductive health program in 1993

VALIDITY OF REPORTS

Some future activities predicted by statements in annual reports have not come about For example, the joint workshop originally planned for the first year continued to appear in the second the third years' plans, but has not yet taken place The projected involvement of JHU in the reproductive health program of CEDDU has not materialized Nos has the number of student and faculty exchanges reached the quantity projected

ASSESSMENT OF PROGRESS, HYPOTHESES AND PROJECT MANAGEMENT

1 Is the linkage making progress toward the objectives stated in its cooperative agreement?

Findings

1a CEDDU has student exchange relationships with a range of institutions abroad, in the United States, Belgium, and France The intent of the linkage with JHU was to form a deeper relationship based on joint planning and joint research efforts

1b Limited progress has been made toward the rather modest objectives established for inter-university collaboration

1c The program was conceived in the context of longstanding informal linkages between CEDDU and the project director at JHU, who is Mexican In spite of that history, the coordinators were not able to implement exchange or research projects under the linkage until the second year

1d Formation of a program of joint applied research collaborations has not been easy Although the coordinators have tried various strategies for accomplishing stated exchange and research goals, these have had mixed results

- In the course of the project, the two research groups have not held a sufficiently broad and focused planning session to have been able to identify a critical mass of shared interest in research agenda

- Much of the research leadership of CEDDU has been engaged in an intense effort to create its major new program in Reproductive Health and Society

- JHU faculty and students have concentrated their research in such areas as aging, infant mortality and household expenditure on health care

1e By 1993, once procedures for organizing student and faculty exchanges and identifying joint research projects were established and operating effectively, the project coordinators had agreed the linkage should concentrate substantively on the consequences of the demographic and epidemiologic transitions in Latin America

1f Yet CEDDU researchers continue to be interested in expanding discussion of reproductive health issues The first visiting professor knowledgeable on those issues is scheduled to get to Mexico in 1995

1g To date, JHU students and faculty have had more exposure in Mexico than the reverse, only two exchanges from CEDDU to Baltimore have occurred

1h Two exchanges from CEDDU planned for 1995 are expected to bring access to JHU's expertise in the demography of regions of the world outside Latin America

1i Johns Hopkins University has expanded its involvement in analysis of the Latin American demographic situation

- Through the linkage, and benefiting from a change in policy that permits data to leave the country, JHU has acquired data from the 1990 census round in Mexico

- Supervision of student research in Mexico has extended JHU expertise in Latin America

1j The provision to CEDDU of computer equipment and software in the context of a major revision of the systems at COLMEX has been helpful for specific research and has enhanced the availability of certain data packages to the entire college

1k CEDDU has been directly involved in the choice of printed materials to be added to their library, these are concentrated on matters of demographic and epidemiological transition and reproductive health

1l JHU faculty, on visits to Mexico, have helped reorganize the graduate degree program in population, which will now combine the masters and doctoral curricula into a single program

1m The transfer of the project coordinator from CEDDU to the National Population Council has left the linkage without strong leadership from the Mexican side The newly appointed project coordinator is a recent beneficiary of an exchange period at JHU

Conclusions

1a The partner institutions will have accomplished some components of their objectives, but not all

1b If there had been stronger agreement that the issues of reproductive health and society should be the focus of joint research activities, the linkage might have been more dynamic

1c Some further upgrade of capability in computer analysis at CEDDU might be desirable, considering the vast amount of demographic data available in Mexico

1d The linkage needs strong leadership from the faculty of CEDDU and is suffering from the departure of the first project coordinator

Recommendations

CEDDU should reconsider its choice of successor project coordinator

2 Is the linkage strengthening the capacity of the developing country institution of higher education to help meet the development needs of its society?

Findings

2a New research carried out under the linkage is addressing demographic issues of current significance in Mexico

2b The linkage helped revise the curriculum in population studies to make it more relative to current issues

Conclusions

Expansion of the number of Mexicans trained in demographic issues will indirectly meet the development needs of the country

Recommendations

For maximum impact on outreach by the developing country, USAID should require linkage proposals to have a strong outreach component

3 Is the United States institution of higher education internationalizing in ways that use and expand its international development expertise?

Findings

Research projects and the transfer of census data and printed materials from CEDDU have helped enlarge JHU's understanding of and access to data materials on Latin American demography

Conclusions

(pending visit to JHU)

Recommendations

(pending)

4 Are the linkage partners taking the necessary actions to make their linkage or their linkage activities sustainable by the end of the USAID funding period?

Findings

4a Almost every activity under the linkage has been partially or fully funded by funds from outside sources

4b The project has moved slowly, it has been difficult to achieve the kind of collaborative research program that would be sustainable

4c The newly appointed Mexican project coordinator lacks breadth and vision, both necessary components of a drive toward sustainability

Conclusions

The newly appointed project coordinator does not appear to have the qualities necessary to lead successful completion of the program in a sustainable manner

Recommendations

If demands for funding continuing linkages exceed availability, the JHU-COLMEX linkage should be funded only enough to complete current commitments

5. Are the six hypotheses of the project proving to be valid?

Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

In the case of the Center for Demographic and Urban Studies (CEDDU) of the College of Mexico, although public service is a specific objective of the program on reproductive health, under the UDLP linkage, it remains only an indirect outcome of academic pursuits

New information technologies are changing the basis of technical assistance

Use of electronic mail has improved communication between Johns Hopkins University and its Mexican partner

It is time for U S. higher education institutions to expand their development efforts by including departments not previously involved in international development work

(no comment based on field investigation)

Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

The is the first direct USAID support for work by Johns Hopkins University with the College of Mexico

It is now time to expand the participation of applied education institutions in international development work

(no comment based on field investigation)

A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spinoff" activities

The hypothesis is not validated by the experience of this linkage

6 Are the linkage activities being appropriately managed and funded?

6a Quarterly and annual reports are regular and timely The reports are submitted by JHU using information provided by CEDDU

6b The linkage operates under a formal agreement for scientific collaboration Project coordinators have met several times a year to plan activities Procedures have been developed for selection and processing of student and faculty exchange participants, and review of available library materials

6c The Director of CEDDU is somewhat detached from management of the linkage The coordinator of the first three years of activity has transferred to the National Population Council The successor coordinator, appointed in early 1995 appears to lack the stature and drive that would see this program through its difficulties

6e The USAID Representative was not aware that Johns Hopkins University was implementing a university linkage with the Mexican College

Conclusions

6a Had the linkage partners been more effective in establishing a joint mission for their research, the linkage might have been more sustainable

6b The concentration of linkage funds on equipment and overhead is appropriate

Recommendations

Leadership of the linkage should keep USAID informed of their activities USAID may be able to support its activities

7 Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreement?

Information on expenditure of matching funds by JHU is provided, but it is not always clear whether those expenditures were strictly for the purposes of this project or not For example, the attendance of project personnel at an annual professional meeting might have occurred without the project

8. Is the project design as a whole appropriate to its purpose?

The design of the JHU-COLMEX linkage will take it toward the modest objective of building bridges between the two universities, but will not fulfill the larger UDLP purposes of strengthening, internationalization and sustainability

EXECUTIVE PROGRAM IN HEALTH AND POPULATION FOR DEVELOPING COUNTRIES (EPDC)

University of North Carolina (UNC) and Indian Institute of Health Management Research (IIHMR)

Report prepared by Douglas Daniell and David Leuthold

CASE PRESENTATION

Twenty years ago, Professor Sagar Jain of the School of Public Health, University of North Carolina, convened a meeting on public health policy and management under the auspices of the World Health Organization Though the meeting was disrupted by complaints from the Russian delegation that the meeting was taking place in the United States rather than in some other country, some progress was made in specifying the additional training needed by public health officials

Following up on that progress, the University of North Carolina developed a graduate program for public health management executives, a program which they entitled an "Executive Program," and American and international public health officials received training The World Health Organization expressed interest in a similar graduate program elsewhere but did not have the funding needed

The need for such a graduate program elsewhere was an important focus of a 1984 meeting of major donors The consensus of that meeting was that the programs in the United States were not always appropriate for public health officials from developing countries The programs in the United States assumed the availability of good information about public health, they assumed that public health officials had substantial discretion in their managerial roles, and they assumed that graduates would have a strong orientation toward production In the developing countries, good information was rarely available, public health officials were often restricted in their managerial decisions, and graduates would often be reluctant to perform at a high level if that performance made fellow managers appear inadequate One other problem was that many international students attending programs in the United States found higher paying positions in the United States or other developed countries, and failed to return to their home countries

Dr Sagar Jain focused his efforts on the development of a proposal for a graduate program for upper and mid-level public health managers, a program that would be conducted in a developing country Development of the proposal required selection of a partner institution in a developing country Eighteen institutions in eleven countries were considered, but eventually a fairly young institution, the Indian Institute of Health Management Research (IIHMR), was selected (In India, institute is the name given to a higher education organization which focuses on a single area, in this case health management research) IIHMR had the advantages of being an institution concerned with public health problems but with little internal bureaucracy, an institution located in a country with significant political stability and a large population base In addition, India had fairly homogeneous neighbors who could also participate in the program

The proposal, made jointly by the University of North Carolina and the Indian Institute of Higher Education, was submitted in the competition for a university linkage program established by the United States Agency for International Development, and approved in 1991 The degree of Masters in Public Health would be offered by the University of North Carolina, with classes to be conducted mostly in Jaipur, India by University of North Carolina faculty Within two years, Dr Jain was expected to recruit a faculty and a class of students, and develop and secure approval of the curriculum

The difficulties were multiplied by the problems of travel and communication in South Asia Airline flights and hotel reservations in India are often fully booked two or three weeks in advance A high-powered international advisory committee was established, but difficulties in scheduling and high travel costs allowed only two meetings Costs for mailing brochures to prospective students skyrocketed Fax machines were readily available, but Dr Jain soon found that he needed first to send the message by courier post, which would arrive in five days, then assign one person to try to get the fax through before the courier post arrived Given the problems of communication, Dr Jain moved from Chapel Hill to Jaipur to help insure the success of the program

Recruitment of the class of students required the recruitment of sponsors and employers Tuition, which would be the basis for long term financing of the program, would be $15,000 per year, and the cost of books, travel, food and lodging would raise the total cost to $25,000 per year, a sum well above the average $4,000 per year earnings for young doctors employed in public health work in South Asia To insure that the program would be training people who would continue in public health work in their home country, the Executive Program required that each student secure agreement from his or her employer to continue the student's salary for the entire year The sponsors who have provided financing for tuition and student expenses have included the World Health Organization, the United Nations Family Planning Agency, the United States Agency for International Development, the University of North Carolina, and some national agencies

The first class, beginning in August 1993, contained only eleven full-time students, as well as some part-time students This number was the minimum needed to cover out-of-pocket costs, but was far below the twenty-four students needed to cover all costs, or the thirty students who could be accommodated easily in the program and would provide sufficient income to provide extra resources for that program Nevertheless, outstanding faculty members arrived and conducted their classes, students studied diligently and twelve months later, a graduation ceremony was held at Chapel Hill for the first ten graduates The financial difficulties were eased by a grant from the Rockefeller Foundation and from another agency

The second class, beginning in August 1994, was of similar size, and then was reduced to eight by family crises and student reassignments Obviously even more time and effort will need to be dedicated to recruiting sponsors and students The sponsor problem may soon be solved, negotiations are presently underway with two agencies for sponsorship of about twenty students per year

For the United States Agency for International Development, the total contribution has been $100,000 per year for five years That funding has been the seed money which legitimized Dr Jain's requests for even larger amounts from the University of North Carolina and from various donor organizations, such as World Health Organization and the United Nations Family Planning Agency When AID completes its payments of $500,000, the program will have been successfully launched, and three classes will have graduated Most important, there will have been established a program which can aid in the development of South Asia, which can begin to set the standards for public health officials in that region In addition, the University of North Carolina will have developed further its commitment to internationalization of programs The long term returns on a comparatively small investment by USAID promise to be very high

Reporting Validity

The reports that we received were incomplete, no annual reports were provided to us (and the annual report incorporated the fourth quarter report for each year), and the last three quarterly reports were not provided to us On site, at Jaipur, we were able to borrow and photocopy all but one of the missing reports We do not know if the missing reports were available to the person who prepared the desk study survey instrument

The desk study survey instrument would have been more helpful if there had been a summary statement about the project at the beginning As it was, we were initially uncertain what an "Executive Program" was, and we did not realize that the first two years of the grant were dedicated to preparation, and that actual teaching did not begin until the third year

On the other hand, if we assume that we had had available the original cooperative agreement and all of the activity reports, we would have been well informed about the developing country partner An important reason for this accuracy is that the director of the program moved from North Carolina to Jaipur He had an office on the campus of the developing country partner and day to day familiarity with their operations

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Scope of Work Write-Ups

Question 1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

A Findings.

The objectives stated in their cooperative agreement are

I Development of a collaborative part-time graduate program in health policy and management for upper and middle level health managers who, constrained by the staffing, private practice, and family considerations, are unable to pursue an extended program of full time studies

The graduate program in health policy and management has been developed The first class has graduated and the second class has completed about half of its work The development of this graduate program included

1 Agreement of the University of North Carolina and the Institute of Health Management Research to jointly offer the program

2 Appointment of an administrative staff, including a director, a co-director, coordinators in Jaipur and Chapel Hill, and other assistants Eventually problems in long distance communication and the need for closer administration forced the relocation of the director, Dr Sagar Jain, from North Carolina to Jaipur, India

3 Appointment and convening of an Advisory Council with representatives from several countries Extreme difficulties in scheduling and cost left the Council inoperative

after its second meeting

4 Development of a curriculum proposal and securing approval of the curriculum by the Advisory Council and by the University of North Carolina The curriculum is based in part on the analysis of cases, utilizing the Carolina Simulation Method successfully employed on the Chapel Hill campus for a number of years The twelve-month curriculum for full time students includes two three-month terms in Jaipur, two six-week field project terms in the student's home country, and one six-week term in Chapel Hill, North Carolina

5 Selection of needed faculty from various institutions in the United States, India and other countries, approval of those faculty by the University of North Carolina, and when necessary, replacement of those faculty with other qualified faculty (The University of North Carolina requires that at least half of the teaching by done by UNC tenure-track faculty)

6 Preparation by each faculty member of detailed course outlines, including readings, exercises and teaching materials, following individual briefings and a faculty workshop

7 Securing needed teaching materials which were not available, including library resources Securing these teaching materials included a substantial effort to develop cases for teaching, including the successful development of one data set concerned with blindness in Rajasthan (Other data sets are still in preparation) An effort to develop a text book describing the health systems of seven South Asian countries has been postponed due to failure of the original authors to complete their chapters

8 Establishment of a computer laboratory for students, with 15 personal computers and supporting hardware and software

9 Preparing and printing program catalogs and announcements, and advertising the program

10 Securing support for the program, especially willingness to sponsor students, from the governments of involved countries, principally by visits with government officials in India, Pakistan, Bangladesh, Sri Lanka, Maldives and Bhutan

11 Recruiting and selecting students (three-fourths of whom are medical doctors) In the first two classes, 35 percent to 40 percent of the full time students were from India, a similar proportion were from Bangladesh, and the remaining 20 percent to 25 percent were from other South Asian countries Among the part-time students the proportion from India was much higher

12 Admitting students to the program About one-third of the applicants have been admitted Full time students numbered eleven in the first year and ten in the second year Participation by part time students raised the full time equivalency (FTE) to 12 16 for the first year and an estimated 15 92 for the second year

13 Teaching the courses To secure the participation of outstanding faculty, each three-credit course is offered in a two week module, and students work on only one course at a time

14 Ensuring high quality in teaching through administrative monitoring and evaluation of each course Faculty who did not receive outstanding evaluations were not invited to return for subsequent years

An important qualification for the accomplishment of this objective is that for most students, the program is a full-time program rather than part-time Within a one year period of time, students study full time in Jaipur for two terms and in Chapel Hill for one

six-week summer term

II Development of opportunities for collaborative research in issues of health policy and management in India and nearby countries

Fulfillment of this objective has been delayed in order to allow personnel to focus on the successful implementation of the teaching program The projects developed thus far are collaborations between the director, Dr Sagar Jain, and the Jaipur coordinator, Dr Suneeta Sharma The progress which has been made includes

1 Preparation of a paper which has been accepted for publication, with revisions, on the role of socioeconomic factors in the health status of women in Rajasthan

2 Preliminary work on the development of indices comparing the states of India on the level of health in each state, the amount of effort being made to insure good health, and the environmental factors affecting the health of a state

3 Preliminary work on the factors which influence sustainability of nongovernmental organizations concerned with public health

III Development of short term faculty exchange

This objective has been partially fulfilled in that faculty from the University of North Carolina and other universities have visited Jaipur, usually for two weeks, to teach courses in the Executive Program in Health and Population for Developing Countries (EPDC) The number of such faculty has been

First year, first term (fall 1993), two University of North Carolina faculty, and four other faculty from Emory University, University of Dhaka and two institutes in India,

First year, second term (spring 1994), three University of North Carolina faculty,

Second year, first term (fall 1994), two University of North Carolina faculty and three other faculty from Emory University and two institutes in India,

Second year, second term (spring 1995), four University of North Carolina faculty

This listing understates the amount of teaching by University of North Carolina faculty in that Sagar Jain of the University of North Carolina faculty has taught three of the academic courses, and supervised student field work and master's papers In addition, he supervises some portion of the six week program at Chapel Hill

In addition, a number of Indian Institute of Health Management Research faculty have worked as faculty-trainees under the EPDC faculty In the first year one IIHMR faculty member enrolled as a full time student in the Executive Program, and in the second year an IIHMR research associate enrolled as a full time student Several other Indian Institute of Health Management Research faculty have enrolled for individual courses

Since the focus of the faculty visits has been teaching in the Executive Program, thus far there has been little development of the collaborative research projects contemplated in the original proposal

IV Development of field training opportunities for the faculty in the South Asian countries

This objective has not been achieved, emphasis has been placed on developing the teaching program

B Conclusions

Establishing the teaching program (Executive Program in Health and Population for Developing Countries) has required enormous effort and commitment, reducing the resources available for accomplishing the other objectives The teaching program has now been successfully established, the first class has graduated and the second class is halfway through. Support has been received not only from the United States Agency for International Development, the University of North Carolina and the Indian Institute of Health Management Research, but also from the World Health Organization, the Ford Foundation, the Asia Foundation, the Asian Development Bank, the United Nations Family Planning Agency, and other agencies

The number of students has been smaller than expected and substantial efforts are being made to find additional sponsors in order to increase future enrollments An increased number of students will provide more financial support for the program and allow the director and staff to focus more efforts on the remaining objectives

The difficulties of establishing the teaching program have forced postponement of the research and faculty exchange objectives The success in establishing the teaching program is due in large part to the commitment, tenacity and skill of Dr Sagar Jain His efforts have been instrumental in achieving success, and his commitment to this program insures its future success

C Recommendations

2 In so doing, is the linkage strengthening the capacity of the participating developing country institution of higher education (DCIHE) to help meet the development needs of its society?

A Findings

The Indian Institute of Health Management Research was established ten years ago to help meet the development needs of India In the short period of time since then, the Institute has developed substantial capacity, indicated by its offering of a Post-Graduate Diploma in Health Management, a program aimed at improving management of health and family welfare services This program has enrolled 5 to 17 students per year in recent years

The Executive Program in Health and Population for Developing Countries is a higher level program designed to prepare mid-career health professionals for major leadership roles in society The linkage is further strengthening Indian Institute of Health Management Research's capacity by

1 Joint sponsorship of the Masters in Public Health Program,

2 Development of the capabilities of Indian Institute of Health Management Research faculty by serving as faculty associates, enrolling in some classes, and in one case completing the Masters of Public Health degree and in a second case now taking the course

B. Other findings

Though the Indian Institute of Health Management Research has developed as a high quality institution in a short time, the prestige of a degree from the University of North Carolina is much higher and will likely remain much higher for many years This raises the question of whether outstanding students can be attracted to a program if the degree is offered by the developing country institution of higher education, even if the quality of teaching and resources is as high as the program offered by the United States institution

C Conclusions

The Indian Institute of Health Management Research has developed very rapidly, establishing patterns which indicate that the Institute would have made strong efforts to be an outstanding institution, whether or not the linkage program had been available The linkage program was available, and the Institute has used it effectively to develop faculty skills and to gain visibility

Research and development of health management is sorely needed in India as well as many other developing countries These countries are subjected to severe problems of epidemics and disease, which can be ameliorated or reduced by an effective public health system A reasonable assumption is that the public health system can become more effective if the personnel in the system are better trained and have more skills

D Recommendations.

3 Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A Findings
The University of North Carolina had made a strong commitment to internationalization earlier, and emphasized that commitment as one of the strengths of its proposal for this linkage program Furthermore the School of Public Health had extensive international experience, and the director of the Executive Program in Health and Population for Developing Countries already had served as consultant for many different countries Finally one of the requirements for teaching in the Executive Program is experience in developing countries, so none of the teaching faculty are receiving their first international experience

Nevertheless the linkage program has provided University of North Carolina with new international experience, because this is the first degree granting program in which most of the teaching is taking place outside the United States Approval of this program involved numerous faculty and administrators

B. Other findings The University of North Carolina faculty have enjoyed their contacts with these students, described by one administrator as "well trained mid-career professionals who are well placed in their countries " Other faculty found the students in the Executive Program in Health and Population for Developing Countries to be excellent students, equal in ability to students attending comparable programs on campus

C Conclusions This linkage has allowed the University of North Carolina to internationalize in ways that use and expand its already extensive international development expertise

D Recommendations

4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

A Findings
Dr Sagar Jain, director, feels very strongly that it would not have been possible to develop the Executive Program in Health and Population for Developing Countries (EPDC) without USAID assistance, both because of the funding itself and because of the credibility it brought to the EPDC With the promise of USAID funding, he was able to convince the University of North Carolina to provide matching funds With the promise of USAID funding and University of North Carolina matching funds, he was able to obtain financing from other sources, both for the program and for its students

Over the first four years of the linkage, a well managed program in public health management with excellent materials, high quality professors and superior facilities has been developed This program has been widely publicized and now enjoys significant support from Indian civic and business leaders at the local, regional and national levels However, the program is far from self-reliant

The dominant issue for program sustainability is enrollments In order for the Executive Program in Health and Population for Developing Countries (EPDC) to be entirely self-sufficient, it needs to enroll 25 full time students or its credit-hour equivalent each year The first two EPDC classes have averaged about half this number This has been a function of a lack of funding rather than a lack of qualified candidates The long-term sustainability of the Executive Program in Health and Population for Developing Countries will depend upon assurance of funding for an adequate number of students

The organizations which have provided part or full sponsorship of students in the first two classes include the World Health Organization, the Ford Foundation, the Asian Development Bank, USAID, University of North Carolina, and national organizations in several countries While continuing to maintain close relationships with these organizations, the Executive Program in Health and Population for Developing Countries is pursuing several other options Among the most promising are

1 Ongoing negotiations with USAID/Dhaka to sponsor up to 15 students,
2 Discussions with the United Nations Family Planning Agency to provide a minimum of six scholarships per year, and,
3 Developing an institutional relationship with the very large ($65,000,000) UNC/USAID Health Manpower Development Project whereby project participants attend one or two modules for short-term training

C Recommendation If the Health Manpower Development Project becomes a reality, using modules as short-term training under the project might impart significant financial stability to the Executive Program in Health and Population for Developing Countries while allowing it to retain its autonomy and to pursue development of the Master's program The downside of this option would be that reserving say, 12 of 25 spaces in each module for short term participants would limit the number of long term participants that could be accommodated and reduce project impact (if the EPDC argument that long-term training results in much greater impact than short-term training is accepted)

Question 5 Are the six hypotheses described in Section III proving to be valid?

Hypothesis 1 Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

To the extent that the Indian Institute of Health Management Research can be considered a "higher education institution," the data on the University of North Carolina/Indian Institute of Health Management Research linkage is supportive of this hypothesis The linkage-sponsored Executive Program in Health and Population for Developing Countries is a specialized training program (public health and population) designed to respond to a clearly defined development problem (inadequate and ineffective health care management in South Asia), with a strong emphasis on applied research (students' fieldwork takes place in their home districts and results are applied directly to local health care problems)

Hypothesis 2 New information technologies, such as e-mail and Internet, are changing the basis of technical assistance

The data offer only modest support for this hypothesis The University of North Carolina and the Indian Institute of Health Management Research are able to communicate with each other fairly easily Even so, part of the reason for Dr Jain's move to Jaipur was to improve communications

The much more difficult problem of communication is within South Asia Faxes and telephone calls within the region often do not go through E-Mail to another South Asian country, threading its way through gateways in archaic telephone systems, can take up to two weeks Communications are sent simultaneously by fax and by courier service, the courier service takes five days, even so, it may be quicker than the fax Often the only effective solution for correspondents in South Asia is to fax communications to Chapel Hill, and have University of North Carolina refax them to their addressees

Hypothesis 3 It is time for US higher education institutions to expand their development efforts by including departments not previously involved in international development work

This hypothesis is not supported by this linkage in that the University of North Carolina School of Public Health has been for some time a recognized leader in international health care issues

Hypothesis 4 Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

This hypothesis is largely supported by the data for this linkage The University of North Carolina has developed this program upon a base which includes the earlier development of the Carolina Simulation Method of teaching public health issues, and on the experience of its "national" program for training mid-level public health officials in the United States in a one-day-per-week, summer-vacation and distance-learning format which allowed officials to continue full time work The new program is comparatively inexpensive from

two standpoints, the cost per public health official (which is much lower than similar programs within the United States), and the cost for USAID, whose grant has been largely "seed money,' legitimizing the successful requests for additional funds from other agencies

Hypothesis 5 It is now time to expand the participation of applied education institutions in international development work

If the Indian Institute of Health Management Research is seen as an "applied education institution," then this hypothesis is supported Such a designation would seem appropriate because most of IIHMR's research and teaching focus directly on health care issues of immediate concern This linkage has expanded the international development activities of the Indian Institute of Health Management Research by creating a new program which involves students from several countries in South Asia

Hypothesis 6 A partnership project among USAID, US institutions, and developing country institutions will result in next generation "spin-off" activities

The linkage offers little support for this hypothesis, if "spin-off" means activities other thar the Executive Program in Health and Population for Developing Countries (EPDC) Thus far, all efforts have been focused upon the successful implementation of this program

One "spin-off" on the drawing board is a consulting group, combining the resources of University of North Carolina faculty, other EPDC faculty, and former students in EPDC and other UNC programs This consulting group has received some requests for assistance, but has not accepted a contract, in part because the consulting group wants to insure that its intervention will make a difference

A second "spin-off" now being considered is the development in Indonesia of another Executive Program in Health and Population for Developing Countries (EPDC) Establishment of that second EPDC will probably wait upon the final results of the Jaipur EPDC If the Jaipur program is successful, the University of North Carolina would be supportive of a similar Indonesia program, if funding can be arranged

A third "spin-off" somewhat related to this linkage is the proposed launching of a journal on health policy management for developing countries

If "spin-off" includes the concept of securing additional support from other agencies, this linkage supports the hypothesis, because Dr Sagar Jain, director, has successfully solicited support from governments of South Asia, from foundations such as the Ford Foundation, and from such other groups as the World Health Organization and the United Nations Family Planning Agency

6 Are linkage activities being appropriately managed and funded?

Findings

In a word, yes During the 1991-1993 period the linkage was directed by Dr Jain and co-directed, on a half-time basis by Indian Institute of Health Management Research faculty member Dr R K Pal, with Dr Suneeta Sharma assuming a full-time position as linkage coordinator during the latter part of this period In late 1994, the co-directorship was assumed by Dr Barun Kanjilal, another Indian Institute of Health Management Research faculty member Senior research associate Padma Srinivasan and project assistant Mahipal Nair were also engaged These additions to the linkage staff reflected three factors First, Dr Jain's role in program management and promotion, coupled with his heavy teaching load, was leaving him scant time for research Second, Dr Sharma's focus on program coordination and management was not allowing her adequate time for the research activities which are to become an important part of the linkage Third, it was recognized that the increasing number of full and part-time participants in the Executive Program in Health and Population for Developing Countries would require additional staff resources

Financial Management The linkage receives $100,000 a year from USAID Roughly $75,000 goes to the salary of a part-time (24 hours a week) program coordinator in Chapel Hill, Dr Jain's travel, printing/mailing/photocopying and communications These costs are paid directly by University of North Carolina and reimbursed by USAID The remaining $25,000 or so goes to the salaries of Indian Institute of Health Management Research staff who work on the program and the use of Indian Institute of Health Management Research facilities These expenditures are covered by the IIHMR which vouchers University of North Carolina for reimbursement on a quarterly basis Quarterly reports on linkage expenditures are made directly from University of North Carolina to USAID

The University of North Carolina financial administration staff processes some $10,000,000 a year in grants from various partners and so is quite adept at the process The only difficulty has come with communications Wire transfers from University of North Carolina to an Indian Institute of Health Management Research bank account can take several weeks In one recent instance, the process took almost two months However, this difficulty has produced no funding shortfalls for the linkage as funds are advanced as needed by the Indian Institute of Health Management Research Both linkage and IIHMR staff are satisfied with the present financial management system

Indian Institute of Health Management Research Management and the Executive Program in Health and Population for Developing Countries Measured in terms of expenditures, the Executive Program in Health and Population for Developing Countries represents about ten percent of Indian Institute of Health Management Research activities However, as Indian Institute of Health Management Research Director Dr G Giridhar told the evaluation team, "It is a very important ten percent which adds significant prestige and visibility to the institute "

The Indian Institute of Health Management Research is owned by a six-member board of trustees In 1991, this board voted unanimously in favor of development of the Executive Program in Health and Population for Developing Countries (EPDC) A 23 member

governing board provides overall strategic guidance to the institute and has proved to be ar important forum for interesting civic leaders, business people and donors in the EPDC A seven member management board, appointed by the trustees, sets policies and procedures to implement the governing board's guidance

As unwieldy as this three-board system appears on paper, it works quite efficiently, primarily because many of the key decision makers sit on two or three of the boards The Executive Program in Health and Population for Developing Countries enjoys great support from the three boards This is a function of board members' perception of the quality of the program and the prestige and visibility that the program provides the Institute The board members interviewed by the evaluation team all said that they felt it very important that the linkage continue after 1996 and that the Executive Program in Health and Population for Developing Countries be institutionalized They saw the University of North Carolina's continuing involvement in the Executive Program in Health and Population for Developing Countries as essential to the continuing quality and prestige of the program, at least in the medium term

Executive Program in Health and Population for Developing Countries Management
Management of the Executive Program in Health and Population for Developing Countries has been greatly facilitated by the presence of Dr Jain at the Indian Institute of Health Management Research in Jaipur He is a hands-on manager but has recognized that, as the program grows, it is important that most day to day program management be assumed by other linkage staff so that he can concentrate on teaching and research At present, program management is in transition as Dr Jain and Dr Sharma train new staff As discussed earlier, the greatest managerial difficulty for the Executive Program in Health and Population for Developing Countries has been with transport and communications within the region

The evaluation team's discussions with faculty, staff and students unearthed no significant weaknesses in program management

Question 7 Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreements?

Findings Yes This linkage is unusual in that the director of the linkage has moved to the developing country to assume direct control over the project

Conclusions

Recommendations.

Question 8 Is the project design appropriate to its purpose?

A Findings Perhaps The design is appropriate in that it proposes a degree from a prestigious American university at much lower cost than usual for the developing country Furthermore the requirements for admission and graduation are sufficiently rigorous that the program has strong support on the University of North Carolina campus One professor noted that though he had dropped some material and added some other, still 85 percent or more of the course he offered in Jaipur was the same as the course which he offered in Chapel Hill

The design is inappropriate in that insufficient funding is available Financing a full class of thirty students will require $870,000 per year -- $25,000 for educational expenses and $4,000 for continued salary for each student As it is, USAID is providing only $100,000 per year Director Sagar Jain has already secured a substantial portion of the remaining $770,000 If his current efforts to secure sponsors are successful, he will have secured a substantial portion of the funding needed for the next two or three years, perhaps longer

B Other findings: Part of the attraction of the program is the prestige of the degree from University of North Carolina, and UNC has been careful to insure that the requirements and students were comparable to programs offered on campus The Indian Institute of Health Management Research would like to assume responsibility for the degree in the future, the possibility of such a shift will depend in part on the interest of students in studying for a degree awarded by IIHMR rather than by UNC

C Conclusions. We think that Dr Sagar Jain has the initiative, the skill and the prestige needed to secure sufficient funding to sustain this program for at least the next few years Success in those years may establish the program sufficiently so that it can continue with other leaders and professors

Report prepared by: Eloise Carter and Harriadene Johnson

DRAFT REPORT ON UDLP EVALUATION OVERSEAS AND US SITE VISITS

CASE WESTERN RESERVE UNIVERSITY
CENTER FOR INTERNATIONAL HEALTH
SCHOOL OF NURSING
Cleveland, Ohio
and
MAKERERE UNIVERSITY
INSTITUTE OF PUBLIC HEALTH
DEPARTMENT OF NURSING
Kampala, Uganda

Cooperative Agreement PCE-5063-00-A-2040-00 "Public Health Linkage"

I. Validity of Data

The Quaterly Reports appeared to be accurate Meetings in Kampala and in Cleveland substantiated the reports and indicated that there is a strong working relationship between the two UDLP partners The Desk Survey indicated "no information" on areas that were covered in the Quarterly reports

II SCOPE OF WORK QUESTIONS

Question 1: Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

A Findings

There were four objectives specified in the cooperative agreement These are

1 To strengthen the existing collaboration between Case Western Reserve and Makerere universities,

2 To increase faculty capability at Makerere in public health, concentrating on the Institute of Public Health and on the Department of Nursing,

3 To modernize public health curricula in the Institute of Public Health and the Department of Nursing, and,

4 To strengthen and broaden the capabilities of the Center for International Health at the School of Medicine of Case Western Reserve

B Conclusions:

The linkage is focused on the appropriate areas of course planning, curriculum development, outreach and staff development Progress has been made against each of the specified goals as planned, there is a collegial working relationship with frequent interaction and collaboration

C Recommendations None

Question 2· In doing so, are they strengthening the capacity of the partcipating developing country institutions of higher education (DCHIE's) to help meet the development needs of their societies?

A Findings

New academic programs, curriculum revisions and faculty/staff training have been financed under the UDLP Field research proposals have been financed under the UDLP and by funding obtained from other donors (jointly developed proposals for jointly carried out research)

There has also been an active outreach program to involve other parts of Makerere University Policy level decisions have been influenced The way in which health services are provided has changed Support services and administrative management (library, laboratory, handling of finances, etc) have improved The interaction between the Ministry of Health and the Ministry of Education has improved The Ugandan Director stated that "we are now directly contributing to the health of our people "

B Conclusions

The capacity of the DC institution to help meet development needs has been strengthened, and there is abundent evidence that the DC institution has used that capacity There has been joint research on critical problems such as AIDS and tuberculosis There has been joint planning and implementation of research activities These activities have resulted in changes in curriculum, new manuals to be used at primary health posts, and additional field experience built into the training for all nurses A manual for field health workers has been drafted and is in use at primary health care posts

C. Recommendations

This UDLP is a success story that should be circulated to the other UDLP grantees Their experience in jointly planning field activities ,then jointly seeking funding and then jointly implementing the proposals is a model of what a linkage can do

Question 3: Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A Findings

Participation of faculty from the US institution in collaborative research and curriculum development activities has expanded their knowledge of the reality of working in Africa, specifically in Uganda which is trying to rebuild after 20 years of civil war The US institution has also sponsored participation of faculty from other departments such as the School of Management

B Conclusions

There has been an outreach to the rest of the University This encourages exchange of ideas and academic linkages

C. Recommendations None

Question 4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

A Findings

The DC institution has expanded its staff and has upgraded its faculty Funding has been received for joint research projects from the Center for Disease Control, the National Institute for Health, the Rockefellor Foundation, the World AIDS Foundation
and other public and private donors

B Conclusions

By building into the grant a specific component to develop Makerere's capacity to write up funding proposals to grant institutions and by making joint submissions and solicitations for projects, the linkage and linkage activities will proably be
sustained

By incorporating central university staff that would not normally be part of such a project, the long term linkages have been expanded and the internal support for the continuation of joint efforts and links has been strengthened

C Recommendations

This UDLP is a success story that should be circulated to the other UDLP grantees

Question 6· Are the linkage activities being appropriately managed?

A Findings

The DC institution felt that the UDLP was appropriately managed The ability to use e mail and fax definitely improved management and financial administration Technical assistance required face to face interaction The project provided for frequent interaction and reciprocal visits between the two campuses The DC institution noted that the key is the American co-ordinator - how knowledgable is the US side Given a four year history of working together, there was a solid foundation

The Ugandan Director of the Institute of Public Health at Makerere (Dr Gilbert Bukenya) noted that the UDLP, unlike grants from other donors, called for specific and precise objectives with reports on activities as well as finances Dr Bukenya felt that this helped keep the project on track

Both universities have local advisory boards to provide guidance and monitor progress These boards also provide a mechanism to keep other university and health institutions informed and actively involved in the UDLP

B Conclusions

This linkage seems to be working because a partnership seems to exist based on real respect between the DC and the US institutions Case Western Reserve recognized that they needed to allow Makerere to have the final word as to what were their priorities and what needed to be done to enhance public health training and service delivery

C. Recommendations

This linkage could serve as a model for other linkage partners, especially in the way the linkage was conceived - on a partnership basis They shared from the development of the proposal to budget details, including having the maximum budget allocation in country and under the DC institution's control _

III EVIDENCE CONCERNING HYPOTHESES Question 5 from SOW Are the six hypotheses proving to be valid? The hypotheses are

(1) Higher educational insitutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities such as applied research and specialized training

All three UDLP grants in Uganda and Mozambique involve partners who fully agree with and support this hypothesis Measured by mission statement and allocation of staff time these higher

educational institutions are expanding beyond teaching They are actively seeking donor support for curriculum changes that would encourage applied research and other outreach activities

(2) New information technologies, such as e mail and Internet, are changing the basis of technical assistance

The evidence from these three UDLP partners does not support this hypothesis In Mozambique the grant has not introduced new information technology The Mozambique medical stafff find communications to be slow and unreliable Phone calls (and faxes) are expensive and frequently not available In Uganda at the Law School, phones and faxes are unreliable (both technically since the fax machine was hit by lightning and due to interruptions for non-payment of bills) In Uganda at the Institute of Public Health, the UDLP has funded computers, faxes and e mail, and both partners feel that this technology has significantly improved project administration and financial management But, in the words of the Uganda project director, nothing substitutes for face to face contact in conveying technical assistance

(3) It is time for US higher education institutions to expand their develpment efforts by including departments not previously involved in international development work

All three UDLP grantees have used the linkage as a rationale and an opportunity to reach out to other parts of the US institution and increase their involvement in development

(4) Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

The findings on these three examples of the UDLP are mixed A strong sustained linkage with demonstrated practical impact has apparently been established by Case Western and Makerere (Institute of Public Health) The University of Florida and Makerere (School of Law) are struggling with hard problems in a new area (the rule of law and human rights) where there is no "old development effort" And, in Mozambique, the original personal contacts that led to the initiation of the linkage have moved on to other efforts and it is unlikely that the link will be maintained

(5) It is now time to expand the participation of applied education institutions in international development work

These three UDLP grants are all with developing country "trade schools" (law, medical and nursing) who seek greater involvement The three US institutions are also already dedicated to "internationalization" the Center for Population and Development Studies at Harvard, the African Studies Center at the University of Florida, and the Center for International Health at Case Western Reserve At both ends of the link, these UDLP actors have taken advatage of the existence of the UDLP to reach out to other faculties within their respective institutions These faculties with no previous involvement in development represent the positive move to expand and thus provide strong evidence of support for this hypothesis

(6) A partnership project among USAID, US institutions and developing country institutions will result in next generation "spin-off" activities

Confirmation and/or negation of this hypothesis depends more on the reader's theory of how change happens than on objective findings People trained under these grants should become agents of change within their respectives institutions/countries Follow up with other project activities will strengthen and expand the ability of these change agents to plan and implement new "next generation" programs The linkage formula is essential to generate ideas and introduce change, but additional support will be needed to implement changes in country

Training and research were conceptualized under colonial regimes as very separate functiions Training of legal and medical personnel was established in Universities basically affiliated with Ministries of Education Practical work assignments for the health professionals is under the control of Ministries of Health whereas the legal students must attend the legal institute prior to practicing law in Uganda Improved cooperation among the theoretical and practical institutions is built into all three UDLP grants

IV. CASE PRESENTATION

Case Western Reserve and Makerere have established a collegial relationship during the past four years through working on programs that include research on AIDS, education in epidemiology and improvements in primary health care nursing The two institutions built on these pre-existing relationships by concentrating the UDLP on curriculum development and faculty enhancement at the Institute of Public Health and the Department of Nursing

Makerere University was once the premier institution in East Africa The Medical School provided training for physisians and nurses throughout Frica By 1989 they had ceased to perform this function With Case Western Reserve's help, Makerere has once again started building the Faculty of Medicine and the Faculty of Nursing Initial programs involved research on AIDS, epidemiology and primary health care When the RFP for the UDLP was distributed, Case Western Reserve contacted Makerere and suggested that ""We have another opportunity to build on the collaborations that we already have Are you interested?" Makerere said "yes" and a joint proposal was developed The proposal focusses on improving public health by concentrating on curriculum development and faculty enhancement

Science and Technology Partnership for Industrial Competitiveness
Northwestern University and
Universidad Autonoma de Yucatan (UADY)

Report from Allison Herrick and Bill Teska

CASE PRESENTATION

"Credibility, image, and prestige " With these words, Dr Hernan Cruz summarized the intangible benefits that UADY has derived from their UDLP linkage with Northwestern University Spearheaded by the linkage, UADY crafted their "Yucatan Model" for extension services to the manufacturing community in the Yucatan Peninsula As Dr Cruz elaborated, "The reputation of this model has allowed us to get funds and to be the host of national meetings, thereby building the prestige of the University " The ultimate goal of UADY's activity is to help new businesses become established Though work toward that goal has only begun, the participants are already working toward building sustainability

The foundations of this linkage were laid in 1987 when representatives from the state government of the Yucatan went to Northwestern University to talk with members of CISST, The Center for Interdisciplinary Study of Science and Technology Created about 15 years earlier, CISST worked with investment promotion The representatives were interested in stimulating industrial development in the region through international industrial promotion and match-making programs Fernando Ponce, who was the Secretary of Economic Development, wanted to establish a business incubator CISST played a role in the creation of the incubator, El Centro de Desarrollo de Negocios Internacionales de Yucatan (International Business Development Center of the Yucatan), which promotes entrepreneurship and technological innovation in manufacturing and facilitates the creation of foreign operations in the region At about the same time that the Yucatan representatives went to Evanston, Illinois, UADY's chemical engineering faculty began an outreach to the local businesses in association with the local chamber of commerce In 1989, they studied the needs of Mérida and its environs for the formulation of an academic program in Technical Management They ascertained a need for more skills training programs and in 1990 established a one and a half year degree certification program With this background three principal players, Drs Atul Wad (Northwestern), Hernan Cruz (UADY), and Octavio Garcia (UADY) were brought together into a working relationship In 1991 a contract was formalized between the state of the Yucatan and Northwestern, and a Northwestern student, Thomas Vonk began interviewing local companies and developing case study research in association with UADY In 1992 this led to the beginning of the UDLP linkage Though CISST was disbanded in 1994, its work is continuing under the newly established Institute for International Entrepreneurship (IIE) established at the Northwestern University/Evanston Research Park

The proposal between these two universities stated that their partnership activity was expected to expand the internationalization of Northwestern University by establishing a long-term relationship with a Latin American university Heretofore parts of the University had ties to institutions in Europe and Asia, the African Studies Department had maintained ties with countries with whom it was engaged in training and research, and the Technology Innovation

Center of the University's Research Park had been involved in small business incubator development projects in Poland and Czechoslovakia

Perhaps surprisingly, aside from its Program for African Studies, Northwestern had not focused upon international programs until recently Therefore, the UDLP stood somewhat isolated The University is now taking steps to expand its mission from that of a highly regarded national university to one with international expertise The new president, who took office in January 1995, has announced that he will internationalize the University To date, the linkage has not fostered expansion of international activities to other elements of the university Nor has it had significant influence on the curriculum Under the leadership of the new president and with a new attitude on campus, there is some possibility that the UDLP will have a greater influence on the academic community in the future

The linkage is enabling Northwestern University to collaborate with UADY in conducting the additional research needed to provide the foundation for expansion of the curriculum in technology management and of the outreach of the School of Chemical Engineering to local enterprises The mission of the School includes the training of professionals in chemical engineering, industrial chemistry, food science and technology, and technology management The school also seeks to develop and adapt technologies to meet needs in its areas of specialty and services in response to community demand The linkage is supporting research in the Yucatan on the needs of technology-based enterprise, expansion of the curriculum to enable greater outreach to local businesses and training of industrial management professionals, as well as direct outreach to development local industry

In terms of the development needs of Mexico, the linkage is directed ultimately at the creation of globally competitive manufacturing enterprises that will contribute to national economic growth and foreign exchange earnings With the passage of NAFTA and an increased interest in business ventures in Mexico, this linkage is especially timely

The specific objectives of the linkage are

1 To develop a joint research capability between Northwestern and UADY to explore the role of technology as an agent in the modern development process

2 To develop and expand the curriculum at UADY in Technology Strategy and Organization Performance

3 To establish and expand UADY extension programs to assist local manufacturers

The universities have recognized the essential interconnections and sequential nature of research, education, and public service Activities to meet the three objectives are designed to be overlapping, but with the first receiving most attention during the first two years, thereby establishing the foundation for the other two Work toward the second objective, initiated through assessment of the training needs of the local constituency, is moving toward revision of the curriculum for the post-graduate diploma in technology management Further work is required to achieve the development of an MSc program in technology management The third objective, that of extension, will remain the most demanding and challenging throughout the remainder of the linkage period As part of the third objective, linkage partners helped to create a business incubator for technology-based companies in the Yucatan (IEBT-Y), which has been established as part of the broader, International Business Development Center The focus of IEBT-Y is toward technology-based ventures, especially those that emphasize products that have a high potential for value-added profits and have an expanding export market These would include businesses that deal with computer software, air pollution control, certification laboratories, agricultural technology, and environmental engineering Four businesses have occupied the business incubator in its first ten months of existence

Frequent interactions via electronic communication and faculty exchanges contribute to a close-knit, enthusiastic, core of linkage participants The linkage represents a prominent activity within the Department of Chemical Engineering at UADY Benefits stemming from achievement of the objectives appear to have favored the developing country partner, by helping it develop relevant academic offerings and consulting mechanisms and by encouraging its involvement in the actual creation and nurturing of new technology-based enterprises In this linkage the participants have concentrated their activities on developing case studies, involving preceptorships, and building demonstrative models The participants believe that for the situation in the Yucatan these activities are better suited than seminars and workshops for faculty and students In summary, Dr Hernan Cruz said, "All this work has moved our program into a relevant position within our society, and therefore other societal needs will be able to be met "

Science and Technology Partnership for Industrial Competitiveness
Northwestern University and
Universidad Autonoma de Yucatan (UADY)

Report from Allison Herrick and Bill Teska

BACKGROUND

The purpose of the partnership is to support the modernization of Mexican manufacturing through joint research, curriculum and academic program development at UADY, and development and expansion of UADY extension services to the manufacturing community in the State of Yucatan and the neighboring states of the Yucatan peninsula

The proposal stated that partnership activity was expected to expand the internationalization of Northwestern University by establishing a long-term relationship with a Latin American university Heretofore parts of the University had ties to institutions in Europe and Asia, the African Studies Department had maintained ties with countries with whom it was engaged in training and research, and the Technology Innovation Center of the University's Research Park had been involved in small business incubator development projects in Poland and Czechoslovakia

The Center for the Interdisciplinary Study of Science and Technology (CISST) of Northwestern University had been working on a series of industrial development projects in Yucatan since 1987, seeking to promote global industrial competitiveness through international matchmaking of local manufacturers and the creation of El Centro de Desarrollo de Negocios Internacionales de Yucatan (International Business Development Center), which promotes entrepreneurship and technological innovation in manufacturing and facilitates the creation of foreign operations in the region The work of CISST, which was disbanded in 1994, is continuing under the newly established Institute for International Entrepreneurship (IIE) established at the Northwestern University/Evanston Research Park

The linkage was expected to enable Northwestern University to collaborate with UADY in conducting the additional research needed to provide the foundation for expansion of the curriculum in technology management and of the outreach of the School of Chemical Engineering to local enterprise The mission of the School includes the training of professionals in chemical engineering, industrial chemistry, food science and technology and technology management in response to the needs of the region, the school also seeks to develop and adapt technologies to meet needs in its areas of specialty and services in response to community demand The linkage was to support research in Yucatan on the needs of technology-based enterprise, expansion of the curriculum to enable greater outreach to local businesses and training of industrial management professionals, as well as direct outreach to development local industry

In terms of the development needs of Mexico, the linkage is directed ultimately at the creation of globally competitive manufacturing enterprises that will contribute to national economic growth and foreign exchange earnings

The specific objectives of the linkage are

1 To develop a joint research capability between Northwestern and UADY to explore the role of technology as an agent in the modern development process

2 To develop and expand the curriculum at UADY in Technology Strategy and Organization Performance

3 To establish and expand UADY extension programs to assist local manufacturers

The annual work plans of the universities have recognized the essential interconnections of the missions of research, education, and public service Activities to meet the three objectives are designed to be overlapping but sequential, with the first receiving most attention during the first two years, thereby establishing the foundation for the other two Work toward the second objective, initiated through assessment of the training needs of the local constituency, is moving toward revision of the curriculum for the post-graduate diploma in technology management Further work is required to achieve the development of an MSc program in technology management The third objective, that of extension, will remain the most demanding and challenging throughout the remainder of the linkage period

VALIDITY OF LINKAGE REPORTS

Visits to the School of Chemical Engineering at UADY in Yucatan and Northwestern University in Evanston, Illinois verified the reports submitted by the linkage partners

ASSESSMENT OF PROGRESS, HYPOTHESES AND PROJECT MANAGEMENT

1 Is the linkage making progress toward the objectives stated in its cooperative agreement?

Findings

1a The first objective, to develop a joint research capability to explore the role of technology as an agent in the modern development process, has proceeded largely as planned

- Research, through case studies, on the actual operations and needs of technology-based industry in Yucatan has been completed, though the number of case studies was fewer than projected, and teaching notes have been prepared from each study The studies, which have been completed in English and Spanish and summarized in a paper submitted for publication, showed that

  established local firms required financing to modernize equipment and expand operations, but also needed help in production management and marketing,

banks could not be expected to offer venture capital to new enterprises, but only to offer lines of credit with very high collateral requirements,

traditional financing institutions do not understand the issues of intellectual property and technical proprietorship that are vital to many prospective new enterprises, and

successful incubation of newly created enterprises involves more than the provision of space and services, pro-active recruitment of candidates is essential, and must be followed by a period of nurturing

- A summary review of important factors to be considered in meeting the needs of technology-based enterprise through enterprise incubators have been drafted, the draft is intended for eventual publication

- Results of research have been presented at a number of national and international conferences

1b Progress toward the second objective, to develop and expand the curriculum at UADY in Technology Strategy and Organization Performance, is in accordance with schedule

- The library facilities of the School for Chemical Engineering has been expanded by addition of journal subscriptions, books, copies of relevant articles and electronic access to appropriate sources of materials

- Additional seminars for business people have been developed to respond to the needs for training in operations and management identified by linkage-supported research, the number of seminars in the continuing education program grew from five in 1992 to 14 in 1994 Eighteen seminars are planned for 1995

- The results of research carried out under the linkage have been fed into revisions of the curriculum of the post-graduate diploma program, these revisions were approved by the University Council in February 1995

- As a result of its research the linkage partnership has concluded that offering an MSc in technology management is more appropriate than creating a PhD program The School is assessing the demand for an MSc program Past experience and current research have indicated that the resistance of companies to release or sponsor workers for full-time studies is a barrier to the viability of graduate programs in applied fields The new degree program may be extended to four years to accommodate the fact that most students will be able to participate only on a part time basis

- Faculty exchanges have taken place as planned, and have been effective

- Only one of the three U S members of the academic advisory board was active, but he made outstanding contributions to research, development of extension programs and workshops

1c Actions to achieve the third objective, to establish and expand UADY extension programs to assist local manufacturers, are well underway and promise to go farther than originally projected

- See *Finding* 1b, above, regarding seminars for manufacturers

- The School of Chemical Engineering has established the "PROMOTORA" as its consulting arm to offer services to manufacturers in business assessment, research and technology

- The Dean and faculty of the School have been active in helping establish the Yucatan International Business Development Center (CEDENIY), which is sponsored by 15 local firms, and the Incubator for Technology-Based Enterprise, which is located at the Center (IEBT) The School plans to help establish three to four additional new enterprises in each of the next several years, starting work with firms on the list of some dozens of potential businesses that has been developed by the Incubator Firms of the Incubator will benefit from the market research and international contacts of the Center

1d Because the School had already begun its business outreach before funds from USAID were available, it was able to use the linkage effectively to expand the program

1e An important factor in the achievements of the linkage to date has been the joint planning and execution of activities

- The partners identified areas of mutual interest and reached agreement on a collaborative approach prior to the beginning of the UDLP

- The partners would have worked together in the absence of the UDLP

- The UDLP enabled a more efficient implementation of their mutual objectives

1e The faculty and graduate students working with the School of Chemical Engineering at UADY have furthered the School's understanding of business behavior and needs and have helped establish the principles under which its extension services will operate

1f Benefits stemming from achievement of the objectives appear to have favored the developing country partner, by helping it develop relevant academic offerings and consulting mechanisms and by encouraging its involvement in the actual creation and nurturing of new technology-based enterprises For the U S participating individuals of the partner, the linkage has expanded understanding of the operations of technology-based enterprise in Mexico and opportunities for further direct investment and promotion of enterprise throughout the country

Conclusions

1a The success of a linkage depends upon its being a two-way street, with mutual aims, establishment of objectives for the linkage period, review of progress, and modification of plans in accordance with experience

1b A partnership that is already in existence and has had some mutual experience is more likely than a newly established partnership to succeed in establishing, and meeting, realistic objectives under a USAID-supported linkage

1c The fact of a pre-existing relationship between linkage partners allows a quick start, supports persistence through times of trouble, maximizes the effectiveness of USAID funds, and makes it possible to establish the basis for sustainability within the five-year period of the linkage

Recommendations

1a USAID could draw upon lessons from this linkage, as they relate to working relationships and achievement of the objectives of the developing country institution, in reviewing pending applications for support by the UDLP, and in preparation of future university-to-university projects

1b USAID might draw upon the findings and experience of the Northwestern University linkage with UADY to inform its involvement in promotion of new enterprises in developing countries

2 Is the linkage strengthening the capacity of the developing country institution of higher education to help meet the development needs of its society?

Findings

2a The National Science and Technology Council (CONACYT) of Mexico, with funding from the Interamerican Development Bank, has expanded its program of support to universities to include promotion of technology-based enterprise

2b See also *Findings* 1b and 1c, above

2c The establishment of an incubator for new enterprises, though an important achievement of the business and academic community with help from the linkage partners, is not itself enough to assure the building of new enterprise The space in Yucatan remains basically empty, further pro-active efforts on the part of the sponsors will be necessary to ensure establishment of viable businesses

See attachment 1, a *schema* illustrating the focus of the linkage on extension

Conclusions

2a This linkage has already, in its first two years, demonstrated its effectiveness in strengthening the capacity of the School of Chemical Engineering to foster development of the business community

2b It is not necessary for an institution to be large in size to have sufficient drive and capacity to succeed in development outreach

Recommendations

2a See *Recommendation* 1b, above

3 Is the United States institution of higher education internationalizing in ways that use and expand its international development expertise?

Findings

3a The linkage was established in response to a proposal prepared by an individual affiliated with an isolated center at Northwestern University, at a time when the University was not at all internationally minded

3b The linkage is now sponsored by the newly formed Institute of International Entrepreneurship, which is located at the Northwestern University/Evanston Research Park

3c Active involvement in the linkage is limited to the staff of the Institute, who are financed by the linkage, and a single professor who because interested in linkage activities as one of its advisors and was instrumental in preserving the activity through its new institutional arrangements These individuals are simultaneously involved in a business, located in the Research Park as an incubator business, that is venturing into technology-based enterprise in several states of southern Mexico

3e The subject matter of the linkage—promotion of entrepreneurship in technology-based businesses—is specific, and relatively narrow Few faculty at Northwestern University are interested beyond the lead professor, and a professor at the Kellogg School of Management who heads the Transportation Center (which is also located at the Northwestern University/Evanston Research Park)

3f To date the linkage has not fostered expansion of international activities to elements of the University that had previously not been involved Nor has it influenced the curriculum, except for certain courses given by the Principal Investigator in which he refers to the significance of cultural factors in sponsoring entrepreneurship in Mexico

3g In recent years, Northwestern University has taken steps to expand its mission from that of a regional university to that of a national university, but has not seen itself as having a role in the international arena In fact, the former President, who concentrated his attention on the financial status of the University, did not favor international programs The new President, who took office in January 1995, has announced that he will internationalize the University

3h If the Kellogg School implements its new strategy to establish alliances with business schools overseas (starting in industrialized nations), it is possible that a broader interest in cultural and other factors affecting entrepreneurship will be developed at the university

Conclusions

3a Although the proposal to USAID suggested that the linkage would internationalize curricula and training at the University, as long as University leadership was hostile to international efforts the linkage could have no effect on internationalization of the University Under the leadership of the new President the climate is far more favorable, and there is some possibility for influence on academic and other programs

3b Although its sponsors have plans to expand their contacts to promote broader participation in linkage activities, the academic foundation of the linkage remains thin at present

3c The physical isolation of the sponsoring Institute of International Entrepreneurship diminishes the potential impact on undergraduates of association with the linkage and limits the potential for contact with graduate students to those business students who undertake an internship with a business located at the Research Park

Recommendations

(none)

4 Are the linkage partners taking the necessary actions to make their linkage or their linkage activities sustainable by the end of the USAID funding period?

Findings

4a The personnel at the School of Chemical Engineering of UADY involved in the linkage form a true working team Reassignment of one or more of the personnel might slow the activity but would not stop it

4b The leadership of the UADY School has demonstrated ability to attract resources

4c The UDLP has brought "credibility image and prestige" to UADY that extended its ability to attract funds, especially from CONACYT (which requires evidence of matching from the institution's own funds as well as from outside sources), UNIDO, UNDP and the State of Yucatan

See Attachment 2, a model of the relationships of the School with public and private sector bodies, academic institutions, and funding agencies

4d UADY's Access to documentary and electronically transmitted materials is assured

- The library materials from NU were selected by a UADY faculty member
- The library materials provided by NU have been accessed and are freely available for use
- The UADY budget will continue the new subscriptions introduced to the library collection by the partnership
- The university as a whole is now committed to electronic communication and is establishing work stations for all of its components
- The faculty involved in the partnership and the librarian of UADY are Internet-literate

4e The PROMOTORA established by the School of Chemical Engineering as its consulting arm brings income to the School and its faculty members through consultancy fees and equity investment in new firms at the enterprise incubator

4f The faculty at the School is already engaged in further outreach, 1) to build on and establish linkages with U S universities located in Gulf States, and 2) to promote new enterprises beyond the State of Yucatan, especially in relatively poor states

4g At NU, neither dissolution of the sponsoring institution nor a six-months' stoppage of program expenditure by administrative fiat derailed the activity The new Principal Investigator, a professor in the Department of Industrial Engineering and Management Sciences, was instrumental in the creation of a new Institute of International Entrepreneurship, located at the Northwestern University Research Park, to manage linkage activities

4h The new linkage sponsor at NU is well placed to gain broader University support and to create links to academic programs of the University if, as now anticipated (1) the J L Kellogg Graduate School of Management implements its new policy that international experience is a fundamental part of the degree program, (2) expanding contacts with the association of Latin American students yield ideas for enrichment of curricula from the point of view of entrepreneurial experience, and (3) the Research Park and the Institute are able to reach out to the Mexican and other foreign communities of Evanston and Chicago Each anticipated step will take time, and will require step-by-step attention on the part of the Institute An even longer term prospect would include collaboration with the Program of African Studies, whose new director is seeking avenues for outreach related to political and economic issues

Conclusions

4a The academic and consulting programs of the School of Chemical Engineering of UADY are well established and very likely to be sustained

4b Continuing frequent personal interaction among linkage personnel has built a partnership strong enough to persevere throughout the period of USAID support to the linkage and, probably, beyond

4c An established partnership seems to be able to sustain itself through various vicissitudes, such as changes in one or another sponsoring institution or fluctuations in political support to the joint objectives

4d In a country subject to relatively frequent shifts in political leadership, a project based at a university is likely to have a relatively better probability of maintaining continuity, and therefore of achieving success

4e Multiple sources of funding for the Yucatan partner are likely to continue and to expand

4f Even though an innovative activity established early in a linkage period gets off to a good start, a further period will be required for the activity to become independently viable

Recommendations

USAID should recognize the accomplishments in developmental outreach of this linkage, neither the modification of objectives (for example, by reassessing plans for advanced degree programs) nor the possible failures of newly established enterprises (due to problems in the industrial culture of the country) should be seen as delinquencies of the linkage

5 Are the six hypotheses of the project proving to be valid?

Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

- Mexico's Program for the Development of Further Education (PROIDES) sets as objective for the nation's public universities to improving the links between research and education, and social and developmental needs, specifically citing the need for technical education and the appropriate assessment of technology as a promoter of social goals

- The Ministry of Education of Mexico offers direct support to programs focused on social and development issues

- Universities in Mexico are receiving advice and financial support from the National Science and Technology Council (CONACYT), which has established an Academic Linkage Program to support graduate education that is responsive to the technological needs of the Mexican private sector, as well as programs that increase productivity and management efficiency in Mexican firms CONACYT specifically supports the incubation of new technology-based companies

- A number of higher educational institutions in Mexico have initiated programs to promote technology-based enterprise in the communities in which they are located

- The School of Chemical Engineering of the Autonomous University of Yucatan (UADY), before the UDLP linkage, had established outreach programs involving

  services using school laboratories and faculty expertise to perform chemical analyses related to food production,

  use of classroom facilities and audio-visual equipment by local firms, and

  advisory services in technology and enterprise development and management from the PROMOTORA established in 1992 to draw upon the expertise of faculty members

New information technologies are changing the basis of technical assistance

- The linkage offered to the School of Chemical Engineering of UADY a route to the Internet (most hardware and software were acquired through other sources) and training in how to access and use it for teaching and outreach purposes

- Under the linkage the School is accessing the libraries of Northwestern University and other institutions available through the Internet to

  review the contents of relevant journals to identify articles the School might want to acquire electronically, and

  make specific searches for data required for student or faculty research, or on behalf of local enterprises

- The University as a whole is committed to providing electronic communication services to all its administrative and teaching elements As of February 1995, it has established access to Internet

It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work

The Trustees of Northwestern University have appointed a new President who has announced his determine to internationalize the university

Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

- The linkage between Northwestern University and the Autonomous University of Yucatan (UADY) was built upon previous activities commitments by both institutions Those activities were supported by the National Science and Technology Council of Mexico, the Universities themselves, the government of the State of Yucatan, local businesses, and a number of multilateral development agencies

- The previous efforts had not been supported directly by USAID

- The hypothesis is correct in that the financial commitments by USAID need not necessarily be large, but sustained programs and structures must have financial support as well as the commitment of institutions and their leadership

It is now time to expand the participation of applied education institutions in international development work.

(no comment based on field investigation)

A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spinoff" activities

- The particular interested parties at Northwestern University have had a strong academic interest in technology as an agent in the modern development process, as well as personal interests as investors in a company located at the Research Park that is promoting new technology-based industry in Yucatan and other parts of Mexico They can be expected to continue to expand their involvement

- The School of Chemical Engineering of the Autonomous University of Yucatan (UADY) plans to expand its outreach in the field of technology-based enterprise to other states of Mexico and states of the United States that are located on the Gulf Coast

- The training and experience in electronic communication received under the linkage will have enabled the School of Chemical Engineering to expand its services to local firms

6 Are the linkage activities being appropriately managed and funded?

Findings

6a Collaborative joint management is the *modus operandi* for this linkage Regular meetings to agree on work plans are held on a timely basis, and there is weekly or daily electronic communication to address questions of linkage activity as required and as opportunities arise

6b Implementation of the first two years of activity has proceeded according to schedule The foundation for future work is so solid that the partners are now considering expanding their sights for the last two years of the linkage

6c Funds available to this linkage are allocated approximately one-third each to the expenses of Northwestern University, to the School of Chemical Engineering and to joint activities Each university manages and accounts for funds following established procedures Funds are expended in accordance with the annual work plans

6d From the point of view of the Mexican partner, disbursement of funds by the U S partner in response to their justifications is too slow

6e The linkage has been strong enough to withstand a hiatus in funding for a six-month period, when the financial controller of Northwestern University determined that no more commitments could be made to any activity in the State of Yucatan until the new government of the State paid to Northwestern all the debts incurred by the previous government

6f Matching funds have been allocated to the activity in accordance with plans and in response to needs The contribution of Northwestern University may have been heavier at the outset, but as the activity has taken off, the contribution of UADY has increased proportionally

Conclusions

Linkage activities are well managed

Recommendations

None

7 Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreement?

Yes

8 Is the project design as a whole appropriate to its purpose?

In the case of the linkage between Northwestern University and the Autonomous University of Yucatan, the partnership shows every sign of being effective in reaching its mutual objectives The activities appear to be sustainable, and UADY has plans for continuing linkages with a number of U S universities

Cost sharing has been possible, responsible and effective

Mutual involvement in the design of linkage activities by the two partners has ensured its success

The competitive peer review process may have given too much credit to the proposal's projections of internationalization at Northwestern University

USAID, by supporting development outreach by the developing country university, is promoting continuity in commitment to development activities by building upon the leadership and expertise located at that university

A partnership may find greater benefit in attracting particularly interested individuals to help fulfill its objectives, or in financing exchanges among the working personnel of the partnership, than in financing advisory groups The NU-UADY linkage partners found that the advisory group originally planned was costing a good deal in travel and preparation of background briefings but was bringing little benefit The partners concluded that it was preferable to support the participation of a particular U S member who was keenly interested and was willing to travel, to prepare presentations for workshops and to organize support for linkage activities

VOCATIONAL TRAINING IN INDIA

University Development Linkage Project, linking Sinclair Community College, Eastern Iowa Community College, Community Colleges for International Development and the Center for Vocational Education

Report by Douglas Daniell and David Leuthold

Summary Statement

A bit late for the conference luncheon, Professor Jean Cook took the last empty seat at the table and introduced herself Seated next to her was Professor Adrian Almeida, Fulbright scholar from Madras, India, who told her of the need in Madras for vocational education programs for school drop-outs, women and the poor Out of this chance meeting in Champaign, Illinois in 1989 developed a center to provide those vocational education programs

Almeida returned to Madras where he founded a Center for Vocational Education, operating out of his own bedroom and using his own funds Cook, Professor at Sinclair Community College, Dayton, Ohio, won a Fulbright lectureship and lectured in Madras on the relevance of experience-based education in developing nations In Madras, she and Almeida outlined a proposal for a linkage between their institutions, later she submitted the completed proposal to the United States Agency for International Development for consideration under the University Development Linkages Program

The competition was keen, however, and USAID did not fund their proposal Almeida searched for local support for his center and found some support from the Roman Catholic archdiocese His university, A M Jain College, allowed use of college facilities for initial classes in tailoring, automobile repair and office procedures, programs which lasted six weeks to six months

Cook and Almeida resubmitted their proposal to USAID in 1992, and this time were successful Their proposal envisioned a center which would stimulate various communities or groups to offer vocational training programs needed by the disadvantaged in their communities The USAID funds would allow the establishment of the center, the recruiting of personnel, and the development of curricula for courses that could be offered in various communities, taught by local teachers, and sponsored by local groups

On the American side, Cook developed a consortium including Sinclair Community College, Eastern Iowa Community College, Davenport, Iowa, and Community Colleges for International Development, a consortium of fifty community colleges in the United States and Canada concerned with international development Faculty from these institutions would assist in the development of the center and its curricula

In Madras, the Archdiocese continued to provide support, offering a lease on property once used to house retired priests and a group of sisters The location was excellent and the walls were thick and sturdy, but vines had grown in the abandoned building and extensive renovation was needed With considerable effort from staff and volunteers the ceilings were lowered, the walls cleaned and painted, and a headquarters established with a training room, conference room, office, dining room, sitting room, kitchen and three bedrooms for visiting faculty and other guests Used furniture for the offices was contributed by the United States Information Service

Faculty from Sinclair Community College, Eastern Iowa Community College and other community colleges began spending four to six weeks at Madras, helping to design curricula for new vocational education courses Each lived in the renovated building

A typical Center for Vocational Education course is the household electrical course offered at St Pauls school in a poverty-stricken section of northern Madras St Pauls maintained, on its campus, schools for several age groups, but had no program for the young men who had dropped out of school and were unemployed or underemployed, earning perhaps 10 rupees (30 cents) per day The Center for Vocational Education conducted a needs assessment and recommended that a household electrical course be offered St Pauls offered the space and a willingness to supervise the course The Center for Vocational Education leased equipment and secured funding from a Roman Catholic organization The costs were largely the salary for an instructor

The Center for Vocational Education interviewed potential instructors and selected an individual who taught in the local polytechnic and lived in the neighborhood Being from the neighborhood, he will continue to be a resource for the students after completion of the course The Center provided the teacher with a syllabus for the course, four days of training in its implementation, and several hours of consultation with a teacher who had previously taught the course Part of the teacher training effort was designed to help the polytechnic teacher learn how to teach drop-outs who have fewer study skills and shorter attention spans than polytechnic students Twenty-seven young men applied for the course, twenty-two were interviewed and seventeen were selected and enrolled Five dropped out part way through the course and twelve will graduate These students average twenty-one years of age and come from families with incomes ranging from $400 to $1200 per year

We visited the course near the end of the program, when students were engaged in internship activities, learning by doing They had rewired the neon lights in the cathedral and were installing wiring in the annex which they had used as their classroom for three months We looked at student journals and found neat and clear illustrations of wiring patterns, such as wiring for a three way switch or for a doorbell Each journal contained extensive notes and instructions in the Tamil language The instructor explained how periodic monitoring visits by the Center's program coordinator had provided support and guidance for the program

After graduation, these students are likely to search for casual labor jobs, offering for example to make electrical repairs in their neighbor's houses Some may secure positions as electrician's assistants Each is more employable than before, in part because all courses in which the Center is involved include components on work skills, such as punctuality, appropriate dress, and appropriate demeanor At graduation, each student will receive a small set of electrician's tools, during the course, each student contributed 30 cents per month, and this contribution was matched by the Center for Vocational Education The combined funds will be used to purchase the tools

St Paul's school is quite pleased with the success of this course, and plans to offer the same course for young women Already twenty women have indicated an interest In addition St Paul's may offer a more advanced course to further develop the skills of students who have graduated from the first course

This then is the pattern utilized by the Center for Vocational Education -- stimulating local organizations to offer courses in their localities, developing curricula for those courses, often with the help of community college faculty from the United States, securing instructors and funding, and monitoring the offering of the course

The USAID grant which has financed these activities will end in 1997 USAID, however, has emphasized the development of programs which can and will continue after the expiration of the grant In this case, Professors Cook and Almeida have developed procedures to help assure continuance of the program One of the most important procedures was the establishment of an endowment fund, utilizing revenues derived from Center activities Interest from the endowment fund will be used to meet some of the Center expenses after 1997 A second important procedure is the development of relationships with sponsoring organizations which will continue their support after 1997 As one example, the Roman Catholic Archbishop has granted the Center a fifteen year lease on the building which was renovated, helping to insure availability of office and classroom facilities Other regular supporters include Rotary clubs, Lions clubs, and government organizations, which have furnished monetary and material support for training programs and associated costs

These procedures provide strong indicators that the Center for Vocational Education will continue to offer vocational education courses after the USAID grant ends in 1997 The ties with the American colleges are less certain On the one hand, the Center, having developed many curricula, will not have as much need for the American expertise, and the American colleges will have less funding available for travel On the other hand the American colleges are willing to provide some funding to stimulate international awareness of their faculty, and the interest in visiting India is moderately high among the faculty (quite high among faculty who have already visited India and would be pleased to return and develop or offer another set of courses) Furthermore the economic development of India will continue to open new vocational training needs, often in areas in which community college faculty have special expertise

Validity of Data

The quality of the data supplied by the desk study instrument was quite high In his review of the instrument, the director of the Center for Vocational Education discovered only a few minor errors and inconsistencies However, the documentation available in Washington was far from complete, so that the desk study instrument did not reflect all patterns, especially the most recent patterns The evaluation team has collected all relevant additional documentation

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Scope of Work Write-Ups

Question 1: Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

Findings *Objectives stated in their cooperative agreement*

1 *Create the required infrastructure at the Center for Vocational Education (CVE)*

1 1 *Construct a building* A 15 year lease was secured for a building owned by the Roman Catholic Archdiocese The building was extensively renovated, and is in daily use The building includes a classroom, two offices, a conference room, three bedrooms, a kitchen, dining room, sitting room, and entrance area On the grounds are additional structures providing living quarters for some employees, parking space for automobiles, space for laundry and cooking facilities, as well as space for outdoor classes or meals for large classes The Center has also purchased a minivan which is in regular use

1 2 *Recruit and train a staff* (This objective is not formally listed except for the mention of establishing a project office, but is obviously essential) Permanent staff for the Center for Vocational Education include the director, the director of resource development/program coordinator, an accountant, a secretary, a driver, an office assistant, and a facilitator The staff are well-trained and smoothly facilitate the operation of the Center

1 3 *Create a computer data base to track personnel, equipment, volunteer, and space resources in the Madras area that can be used to deliver short and medium term training for the disadvantaged in the Madras area* This proposed computer base has yet to be fully established The first computer was not received until September 1993 and training the staff to use the computer took additional time A second computer, an MS-DOS 386 model, was purchased in October 1994, has been installed and is in use This computer is being used for some elements related to the proposed computer data base, such as an inventory of the Tools and Equipment Bank, and a

listing of personnel, space and equipment used for classes with which the Center for Vocational Education has been associated

2 *Develop the resource development capability at the Center for Vocational Education*

2 1 Develop a resource development plan, to professionalize fund raising and grants development

A resource development plan has been developed, with valuable help and stimulation from Dr Jean Cook, Sinclair Community College, director of this project A director of resource development (Mr Vengatesh) was hired in February 1992 soon after the UDLP grant was funded The resource development plan envisions fund raising by securing grants, charging fees for courses, renting sleeping rooms and conference halls, and providing other occasional services, such as fax or copy machine All of these procedures have been utilized Much of the money received has been deposited in a corpus grant which is in effect an endowment fund In 1994 110,000 rupees ($3,550) were put into the fund, in 1995, the goal is to put 200,000 rupees (about $6,500) into the fund

The plan continues to be developed During the visit of the UDLP evaluation team to Sinclair Community College, faculty and administrators were exploring other ideas for development, such as support in the Dayton and Eastern Iowa areas from local India foundations, Indian-American business and professional leaders, Rotary clubs and Roman Catholic church groups

3 *Create and implement a human resources development plan for the Center for Vocational Education*

3 1 The human resources development plan will design five new vocational training programs per year to assist disadvantaged individuals in their immediate vocational needs

In the March 1993 through December 1994 period, the Center for Vocational Education has had organizational and financial roles in twenty-five to thirty courses including auto electricity (3 courses), career guidance (2 courses), carpentry, computer skills, doing business with the USA, electric appliance repair, electronics, environment awareness, fund raising (3 workshops), geriatric care, health care, physiotherapy, management development, mentoring, roles and responsibilities of the parish priest, small business management, total quality management (3 courses), women's development program (2 courses), vocational education and the undergraduate curriculum

In addition, the Center for Vocational Education has loaned tools and equipment, or served as a resource to the following programs AIDS awareness, animators, auto

electricity (2 courses), geriatric care, household electricity, motor mechanics, the role of the church in service of the poor, tailoring (2 courses) and vocational training for spastics

Other Findings

Programs which have been developed with the aid of USAID faculty include

(1) Small business development Developed under the leadership of Jon Ryan, Director of the Eastern Iowa Small Business Development Center, Eastern Iowa Community College, this course emphasizes the skills needed to start and successfully run a micro or small enterprise, such as a sidewalk bicycle repair business This one week sequence is now included in many of the vocational education courses offered by the Center, since many of the people being trained will end up self-employed

(2) Home health care, developed under the leadership of Linda Hoogendijk, instructor in nursing at Spokane Community College

(3) Child and family welfare program, developed with consultation from Jeff Armstrong, dean of Muscatine College, Eastern Iowa Community College In a five day session in January and February of 1995, training was given to about 30 social workers, so that each could offer such a course

Conclusions

This partnership has made excellent progress in accomplishing the objectives established in their cooperative agreement The Center for Vocational Education has created the necessary infrastructure, renovating a building, hiring a staff, and securing furniture and equipment The Center for Vocational Education has also generated a resource development plan and hired a director of developmental activities As a result there is a continuing, though modest, flow of income

Progress in the human resources development plan has been substantial The Center for Vocational Education has had a major role in vocational education courses on twenty-five different topics Three of those programs were designed with the assistance of USAID faculty, the joint development of each of these curricula has helped staff at the Center for Vocational Education become familiar with principles of curriculum design utilized in American community colleges These principles have subsequently been utilized in development of other courses

A nagging problem is the completion of curricula Visits by USAID faculty are fairly short –

four to six weeks -- and much of that time is spent learning about the needs and abilities of prospective students and the resources available Upon return to the United States, USAID faculty need to catch up on work left undone while they were abroad, complete their trip reports, and focus on their next class of students These demands limit the time available for completion of a curriculum in a form easily usable in India As a result, some curricula are in a "partially completed" stage Similarly in India there is a continuing need to develop complete files and lecture notes for the curricula developed by Center personnel, completely developed curricula are more readily usable by newly hired instructors

D Recommendations

A A change already being instituted in the program is earlier and more extensive orientation of visiting USAID faculty, including more orientation by the director of the Center and preparation of a workplan by USAID faculty Hopefully the more extensive orientation and planning will help visiting USAID faculty to be even more productive The obstacles are formidable however To be most effective, USAID faculty need to be prepared not only for the rigors of travel and the immersion in Indian culture, but also for the differences they will find in technical procedures and resources and in student abilities and learning styles Furthermore someone must develop the resources to be utilized by visiting faculty, such as recruiting a group of trainers to be taught by the visiting faculty or finding the tools that will be needed for the class

B Funding for a larger Tools and Equipment Bank The Center for Vocational Education is oriented particularly toward the poor and disadvantaged, people who have no funds to purchase equipment for a training program As a result a supply of tools must be loaned to an instructor for the duration of a program If funds were available to double the size of the Tools and Equipment Bank, twice as many classes could be offered These funds could be secured from existing sources, by, for example, reducing the number of visiting USAID faculty or reducing the amount put into the corpus grant ("sustainability fund"), but such diversions of funds would reduce the impact of other valuable portions of this linkage

The need for tools becomes more acute if more advanced courses are offered More advanced courses require more advanced tools, perhaps tools shipped from the United States, and thus subject to the vagaries of customs decisions

Question 2 In doing so, are they strengthening the capacity of the participating developing country institutions of higher education (DCHIEs) to help meet the development needs of their societies?

A Findings

The Center for Voluntary Education had organized, financed or provided significant support for forty or more vocational education courses during the twenty-one months prior to our visit More than 1600 students have taken these courses, which have ranged in length from one day workshops to six month classes given four hours a day, five days a week For those programs which focus directly on vocational training, the director estimated that 30 percent to 40 percent, perhaps less, of the unemployed graduates secure some employment Most of these courses include information on the skills needed to get and hold a job, such as punctuality, orderliness and following directions Aside from those courses focusing on training the trainers, the vast majority of the students are unemployed or earning very little money from their employment

The population of India is so large and the needs are so great that any program seems inadequate, little more than a drop in the bucket (The number of illiterates in India is equal to the total population of Latin America including the Caribbean) This program is one of the proverbial drops in a bucket The ability of this linkage to help meet the development needs of India will depend in part on the extent to which this program becomes a model which is replicated elsewhere in India The replicability of the model may be tested if similar programs are established in Bangalore and New Delhi The attractiveness of the model may be indicated by the attendance and enthusiasm at a national conference in India planned for 1997, to be sponsored by this linkage program

B Other Findings

While the major focus of the Center has been vocational training for the disadvantaged -- school drop-outs, illiterates and women-- a secondary focus has been on Indian businesses wishing to compete in the international marketplace Some Indian businesses are eager to learn how to meet international quality standards and to penetrate markets in the developed world That eagerness is reflected in the views of CVE advisory board members, who were strongly supportive of the short courses in total quality management offered by visiting USAID faculty The needs and opportunities are indicated also by the numerous roadside placards suggesting a booming cottage industry in computer instruction

C. Conclusions

This question receives a "yes" and "no" answer The "yes" answer is based on the 1600 students who have taken vocational education courses, some, perhaps many, of those students are now more productive and earn more income

The "no" answer reflects the fact that the Center for Vocational Education is not an

institution of higher education, and is largely independent of the local institutions of higher education However, four of the local institutions of higher education which are partners of the CVE have repeatedly invited USAID faculty to provide guest lectures and workshops, and perhaps have strengthened their capacity in that way

D Recommendations

As will be discussed under Question 4, we encourage further testing of "middle class" programs, that is programs for computer usage and for export businesses While such programs will help meet the development needs of India, the principal reason for providing them would be to provide income for the Center, taking advantage of the skills of the USAID faculty The risk in offering such "middle class" programs is that they will begin to consume much of the energy and resources of the Center, and thus divert the Center from its original purpose of helping the disadvantaged, a purpose which has infused the Center with energy and zeal

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Question 3: Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A. Findings

Ten faculty from United States institutions of higher education have visited the Center for Vocational Education under this program Almost every faculty member has acquired more extensive understanding about international development In some cases, the effects have been dramatic, for example, one of the USAID faculty, Professor Jon Ryan has been stimulating businesses in his region to develop export programs to India In most cases, the impact is much more limited, faculty have summarized their experiences, reported to their colleagues, then re-assumed their normal responsibilities, leaving limited time and energy for international activities Nevertheless these faculty report that they now include many more international illustrations and examples in their lectures and teaching assignments, and that they are more sensitive to the problems faced by international students and visitors

B Other Findings

Each visiting faculty member has contributed to some aspect of the Center's program The visitors and the contributions include

Jean Cook, Sinclair Community College, prepared the resource development plan for the Center for Vocational Education

Nancy Pfahl, College of DuPage, Glenn Ellen, Ill , helped create the resource

development plan and led a series of workshops on grants development and proposal writing

Jon Ryan, Eastern Iowa Community College, prepared a curriculum on "Taking Management Education to the Tiny Entrepreneur and the Street Vendor "

Linda Hoogendijk, Spokane (WA) Community College, developed a curriculum for geriatric aides, a program oriented to persons who cannot read or write

David Streifford, St Louis (MO) Community College, helped develop a Tools and Equipment Bank Program, but had to leave early because of illness in his family

Tom Singer, and James Houdeshell, engineering faculty from Sinclair Community College, offered programs on total quality management and helped develop further the plan for the Tools and Equipment Bank Program

Gene Kesterson, Tri-County Technical College (SC), helped with programs in total quality management, and presented classes for the Jain Institute, a local vocational technical college

Russell Marcks, engineering faculty from Sinclair Community College, developed a curriculum on air conditioning, including installation and repair

Jeff Armstrong, dean of Muscatine Community College, Eastern Iowa Community College District, specialist on curriculum design, gave workshops on curriculum design, and helped design the curriculum for the course designed to reduce the rate of female infanticide

In addition the linkage has stimulated and supported other ties between these community colleges and India Examples include lectures and extended visits by visiting scholars and diplomatic personnel from India, and contacts with Indian ethnic groups in the region served by the college

Sinclair Community College and Eastern Iowa Community College have applied for grants in other international programs which would build upon the experience and skills developed in this program

C Conclusions

The community colleges involved in this consortium had previously made commitments and allocated resources to internationalize their campuses This linkage has expanded those efforts, involving more faculty on each campus, and providing a focus on a particular country, in this case India

The internationalization has particularly involved an expansion of the number of faculty with international experience and orientation A few of those faculty already had some international background, and this program provided experience in another country Typically these faculty expanded their already high international orientation Another group of faculty had little or no international experience, but were stimulated by this program to become much more involved, and have continued to be involved in international activities

D Recommendations

We recommend continued USAID support for programs involving community colleges, in order to use and expand their international development expertise Students in community colleges constitute almost half of all students in higher education International opportunities are limited for many of these students, limited not only by finances but also by their family and job responsibilities As a result, such international orientation and understanding as they have is very likely to come from their professors USAID can increase the number of professors with international development experience by continuing support for programs involving community colleges

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Question 4: Are the linkage partners taking the necessary steps to make their linkage and/or their linkage activities sustainable by the end of the USAID funding period?

A Findings.
A series of steps are being taken or are planned to make the linkage-supported activities sustainable beyond the end of USAID linkage financing in 1997

A1 An investment fund has been created In 1994, 110,000 rupees ($3,550) in receipts from workshops, rental of rooms at the center, and miscellaneous income were invested in this fund The center director anticipates that 1995 additions will total 200,000 rupees ($6,500) The director hopes to have set aside one million rupees ($32,250) by the end of 1997, and to use the interest earnings from the fund to support the center in subsequent years

A2 Program costs will be reduced when the linkage funding is no longer available The center's director will return to full time teaching at his university and will no longer receive a salary from the Center In addition, communications costs will drop significantly as telephone and fax contacts with Sinclair Community College and other U S partners become less frequent

A3 After 1997, most of the linkage-sponsored curriculum development will have been completed, leaving more staff time available for development and training activities As a result, receipts from training activities should increase

A4 Receipts from accommodations rental may increase as additional bedrooms are renovated at the center

This process of moving the center to self-sufficiency is detailed in the resource development plan which includes budget projections showing how non-linkage revenues will increase and Center for Vocational Education operating costs will decrease between 1995 and 1997

At present, community support is strong and multifaceted The Center's advisory board is made up of influential members of the local government and business communities Technical support (instructors and training materials) comes from several local educational institutions including A M Jain College, the A M Jain Institute of Management, Loyola College, Stella Maris College, Madras Christian College and Ethraj College Financial and material support comes from local government agencies, Rotary, Lion's Clubs and other community organizations

Other Findings

Sinclair Community College and Eastern Iowa Community College each have a strong commitment to continued internationalization of their programs, a commitment which can be implemented by a continuing linkage program For example, Sinclair Community College has available grants of $750 which can be used to help finance international travel by faculty Presumably some faculty may use these grants and other support to continue some of the linkage activities after conclusion of the grant In addition, Sinclair Community College is doubling from 2 percent to 4 percent the portion of its budget to be utilized for staff development, faculty are encouraged to use these funds to develop expertise in international development Eastern Iowa Community College is establishing an international faculty development fund, designed to stimulate travel opportunities to non-European countries

The Center for Vocational Education director would like to see continued relationships between the CVE and USAID faculty, and the Center can provide living facilities for visiting faculty at comparatively low cost

Conclusions

1 The Center for Vocational Education is taking steps to become a viable and self-sustaining organization by the end of 1997 At that time, while the Center's director will be devoting less time to Center activities, the rest of the staff will have additional time available for training activities Some funding will be available from the sustainability fund, and additional funding from government and community sources should continue Community support may decline, particularly because some support has been a function of CVE director Adrian Almeida's personal contacts, and he will be less fully involved in the Center

Nevertheless commitment from church groups, civic clubs and village communities seems sufficiently strong to continue for an extended period

2 The linkage may or may not continue The Center for Vocational Education will no longer need as many visiting faculty because the basic curricula will have been developed The funding for continued linkage activities would need to come from the United States colleges, donor organizations, or individual faculty The key personnel may no longer be involved in that the director of the project, Professor Jean Cook, will have retired, and the director of the Center, Adrian Almeida, may have turned to other projects or returned to his university post

On the other hand, visiting faculty could continue to contribute to Center activities, the Center can provide excellent living facilities at comparatively low cost, and the community colleges have strong interest in expanding their international development activities The key factors in determining the continuation of the linkage will probably be the presence of a committed administrator or faculty member on the community college campuses who will continue to encourage international development activity in general and this linkage in particular, and a director of the Center who encourages and facilitates the continuing activities of American faculty

Recommendations

The sustainability of the Center, and even of the linkage, might be aided by increased emphasis on "middle class" programs such as total quality management and computer usage Visiting community college faculty could offer such courses, and Indian businesses eager to export to developed countries would probably pay for their employee's tuition Alternatively, community college faculty could provide consultation for specific Indian businesses While the principal purpose of such courses or consulting would be to provide the income needed to sustain the Center, secondary benefits would be the contribution toward the development of India, the increased visibility of the Center, the continuation of the linkage, and the further internationalization of the community college faculties Such courses and consulting would be enthusiastically endorsed by members of the Center advisory board, or at least those members interviewed by the evaluation team

Question 5 Are the six hypotheses described in Section III proving to be valid?

Hypothesis 1 Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

The data do not prove or disprove this hypothesis The whole focus of this linkage is public service, but the public service is being carried out by a newly created institution holding only loose links with local higher education institutions

Hypothesis 2 New information technologies, such as e-mail and Internet, are changing the basis of technical assistance

The fax provided by the linkage has proved to be very useful in maintaining the linkage At present, however, usage of the Center for Vocational Education fax machine otherwise is limited, indicating that usage will be very limited once the linkage traffic declines The Center for Vocational Education director does not at present see a need for e-mail or Internet technologies, and he believes that the value added from their use would not justify their cost In contrast, faculty at the community colleges believe that e-mail would be useful now, and could be particularly valuable in the future when numerous curricula should be readily available on the internet

Hypothesis 3 It is time for US higher education institutions to expand their development efforts by including departments not previously involved in international development work

At first blush, this linkage would seem to prove the validity of this hypothesis, because the linkage involves community colleges, not previously widely recognized for their international development work A longer look however belies that view because the two leading U S institutions, Sinclair Community College and Eastern Iowa Community College, have had substantial international development experience For each campus the emphasis on international development was stimulated in part by the international orientation of major employers in the community The third U S partner, Community Colleges for International Development, has operated for twenty years, helping implement international programs

Hypothesis 4 Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

This hypothesis is supported by this linkage In 1990 the Center director, Adrian Almeida, while visiting the United States as part of a visiting delegation concerned with technical education, met Jean Cook at a conference in Champaign, Illinois Later Jean Cook was awarded a Fulbright which allowed her to develop an understanding of the needs for vocational education in Madras During that Fulbright, Cook and Almeida began to

develop a proposal for the University Development Linkage Program

Hypothesis 5 It is now time to expand the participation of applied education institutions in international development work

This hypothesis is supported by our findings in that both the American community colleges and the Center for Vocational Education are "applied education" institutions

Hypothesis 6 A partnership project among USAID, US institutions, and developing country institutions will result in next generation "spin-off" activities

This hypothesis will probably be supported by this linkage Both Sinclair Community College and Eastern Iowa Community College are developing "spin-off" activities Eastern Iowa Community College has submitted a grant proposal under Title VI of the Education Act to stimulate business activity in India by 15 American companies in the college's service region Sinclair College has submitted a grant proposal to USIA for a joint project with Stella Maris college, one of the Madras colleges serving as a formal sponsor of the Center for Vocational Education, proposing a three year grant for faculty development focused on literacy

Another possibility envisioned by the director of the Center for Vocational Education, is the development of additional or "satellite" programs in the cities of New Delhi and Bangalore

Question 6 Are linkage activities being appropriately managed and funded?

Findings
The linkage is appropriately managed and funded The project director, Jean Cook, has organized the project extremely well USAID grants have extraordinary management requirements, so that project directors usually need extensive support from other administrators at the college Sinclair College administrators have provided such support, helping to insure appropriate management of this linkage Sinclair College handles communication with USAID, providing quarterly reports The project directors appreciate the excellent relations with Ruth Frischer, UDLP director

Other Findings·
For the Center for Vocational Education, a simple linkage reporting and funding process is in place The CVE director and the program coordinator prepare monthly statements of accounts and activity reports for Sinclair Community College and communicate with Sinclair by fax or phone on a weekly basis

Linkage funding levels are based on quarterly funding requests prepared by the program coordinator and the accountant Linkage funds are deposited directly into a separate CVE bank account In the year since the institutionalization of this system, there have been no delays or other difficulties with funding

The six person staff of the center includes Director Adrian Almeida, a program coordinator/development director, an accountant, a secretary, a driver, a facilities manager, an office assistant, and two security guards The Center's role in the linkage is managed by the director with the help of the program coordinator and accountant

If additional funding were available, the Center for Vocational Education would emphasize three projects

First, the purchase of additional computers and software programs to allow for computer training and development of a curriculum database (Sinclair Community College is investigating the availability of unused computers on campus, and the possibility of leasing them to the Center for Vocational Education, which might allow the transfer of the computers to India without payment of tariffs)

Second, coverage of the cost of time spent by center staff assisting the USAID faculty when they are in India

Third, funds for the direct costs of some training programs, at times, implementation of new curricula has been delayed while the Center searched for local funding sources

Conclusions.
Program management is appropriate, responsive and efficient Program funding is adequate in most areas

Question 7. Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreements?

Findings: Yes

Conclusions. The monthly reports and the frequent communications from India provide the basis for quarterly reports prepared at Sinclair Community College, reports which appear to be accurate and appropriate

Recommendations:

Question 8 Is the project design appropriate to its purpose?

Findings: Yes The linkage has provided the Center for Vocational Education with funds and resource personnel which have been critical to the success of this project The linkage has stimulated further internationalization by the U S institutions of higher education The project is contributing to the development of India, and should result in a continued contribution for many years

Other findings USAID grant proposals require enormous amounts of information in great detail, the requirement of extensive detail and documentation probably reduces the number of proposals, screening out institutions which are either not able or not prepared to assume the costs of preparation

Though we evaluators received only part of the original proposal, the portion we received was sufficiently long that we skimmed and skipped through the sections We suspect that the original reviewers and the USAID administrators had also skimmed and skipped If so, was there sufficient value received to justify the requirement of such detail? One response to that question is that the detail was helpful if it stimulated the applicant to think through more clearly the implications of the proposal Even that justification would probably allow elimination of some detail For example, the original proposal included one hundred fifty pages of attachments, including fifty pages of college tenure and promotion policies Were those fifty pages of help to anybody?

Conclusions.

Recommendations

Texas A&M University (TAMU)
College of Agriculture and Life Sciences
College of Veterinary Medicine

Universidad Nacional Autonoma de Mexico (UNAM)
College of Veterinary Medicine and Zootechnology
Institute of Biotechnology

Solutions to Some Livestock, Poultry and Plant Health and Production Problems that are of Concern to Free Trade between Mexico and the U S

Report by Allison B Herrick and Bill Teska

CASE PRESENTATION

Based on the premise that for free trade to become safe trade, agricultural commodities must be rid of infectious pathogens and parasites Moreover, scientific knowledge is needed to eliminate these threats to international trade Because of the proximity of Mexico and the US and the volume of trade between the two countries, it is in our mutual national interests to encourage research in biosafety The overall goal of the UDLP linkage is to enhance already existing collaborations to

1 strengthen the technical capabilities of UNAM scientists in diagnosing diseases and in developing management systems that include appropriate disease control strategies, and

2 support the internationalization objectives of Texas A&M by fostering self-sustaining collaborative research programs of mutual benefit to scientists at both institutions

The main strategy is to use modern biotechnology-based methods for the detection and prevention of plant and animal diseases that affect the Mexican capability to increase production and that are subject to import bans by the United States The livestock and plant diseases selected for attention are the subjects of national eradication campaigns in both Mexico and the US For example, *Tilletia* is a fungus (resulting in commonly called bunt or smut diseases) that negatively affects the quality of wheat and rice Some species of *Tilletia* are present in Mexico, but not in the US Therefore, the US government has established rigorous bans on the import of shipments containing *Tilletia* The mere trace of *Tilletia* on or in a vehicle entering the US will stop the import of its cargo and provoke a lifetime ban on entry by that vehicle Furthermore, scientists are not permitted to bring the specific pathogens into the US for study The same sorts of issues surround the UDLP-supported research with tuberculosis, brucellosis, and salmonellosis

Thus, scientists on both sides of the border are interested in promoting research on the diseases in Mexico, Mexicans because they want to eradicate the diseases for economic reasons, and North Americans because they want to protect the United States from the diseases and because

they cannot carry out research in the United States on pathogens that they cannot import for their laboratories

The four specific objectives of the linkage and the departments responsible for them are as follows

1 Development of improved diagnostic tests for tuberculosis in cattle, deer and other wildlife Department of Microbiology and Immunology

2 Development of beef breeding and management systems to respond to current market changes Center for Teaching, Research and Extension in Tropical Animal Husbandry, Martinez de la Torre, Veracruz State

3 Implementation of *Salmonella* eradication programs and practical application of non-antibiotic prophylaxis to zoonotic and avian-specific salmonellosis in commercial poultry Department of Poultry Science

4 Development of molecular probes for specific detection of viral, bacterial and fungal diseases of plants Institute of Biotechnology, Cuernavaca, Morelos State

This linkage stems from a natural connection between the state of Texas and Mexico and from longstanding relationships between the faculty of UNAM and Texas A&M, especially the Project Director, Dr G Gale Wagner The Colleges of Veterinary Medicine and of Agriculture and Life Science had collaborated with universities in Mexico since 1979 During the 1980's the university policy of Texas A&M actually discouraged engagement in international programs Under a new president, in 1990, the University reversed that policy, establishing a mission to prepare university graduates for a world of global relationships and to engage in international programs, especially ones that would focus on Mexico The president appointed an Assistant Provost for International Programs who established working committees, policies and procedural guidance to implement the international mission The assistant provost's office includes staff specializing in regional programs including one dedicated to Mexico and Latin America

This activity has a broad base of support among the faculty and administrations of both institutions Furthermore, during the first two years of the linkage, that base has strengthened In the beginning, there were four or five enthusiastic faculty members at either school who decided to form working partnerships Now, those at Texas A&M can count over 40 faculty who are directly or indirectly involved The number of departments affected by the linkage at Texas A&M has also expanded from its initial three to nine The active participation and commitment of Dean Paasch of UNAM and his counterpart at Texas A&M, Dean Shadduck, have been instrumental in establishing an institutional commitment for this partnership Dr Paasch cites this linkage as an example his faculty should emulate He refers to the linkage as the kind of institutional and financial arrangements he would like to see expanded Dr Shadduck seeks to further the relationship of his school with that of UNAM and wishes to use it as an opportunity for his students and faculty The linkage if providing a conduit for student and faculty exchanges that reaches beyond the linkage objectives

The linkage centers on an enthusiastic core of scientists on both sides of the border, partnered into working research groups The first objective concerns the Departments of Microbiology, and the work specified in the linkage proposal is essentially complete It has established a biosecurity lab at UNAM for the study of tuberculosis and brucellosis The first goal is to devise monoclonal antibody diagnostic tests for these diseases to be able to identify infected cattle Work on the development of vaccines and the genetic resistance to treatments are an important target of the research Linkages researchers have been instrumental in establishing depositories for samples that possess genetic variants The research has formed the basis of workshops at Panamerican veterinary conferences and training sessions for some 60 Mexican state and district livestock extension supervisors The collaborators have drafted a bovine TB control and eradication program for Mexico that has also been adopted by a number of states within the US

A cattle and dairy research station, Martinez de la Torre, in Veracruz is the site of another linkage activity This one involves research and community outreach Computerization and analysis of genetic data has elucidated the effects of various cattle breeding crosses and production management systems on milk production Changes in production management alone can increase milk production by up to 100 percent UNAM is setting up demonstration farms as an extension service

A vigorous partnership between the faculty of the Departments of Poultry Science is leading to progress in eradication of *Salmonella* and in minimizing the effects of the "ascitis syndrome" One aspect of the program for the prevention of *Salmonella* is an evaluation of the efficacy of various natural compounds, such as plant extracts One of these is capsaicin, which is an extract from paprika pepper seeds, a plant source of which Mexico has an abundance The story goes that the researchers decided to investigate this compound over a couple bottles of beer Upon seeing the Mexican put Tabasco sauce in his beer, the North American mentioned that his grandmother used hot peppers to treat infections The wife's tale being that when someone is sick one wants to "sweat out the fever" With this statement, it was declared, "Well, why don't we test pepper extracts to see if there is any basis to their antibiotic properties!" Other research concerns the use of immunoprophylaxis of lymphokines against these pathogens The "ascitis syndrome" kills poultry Chickens raised at higher elevations, such as in Mexico, are particularly susceptible Although little applied research has been done to reduce the problem, genetic selection promises significant reduction in mortality and production costs

The work with *Tilletia* is being done at the Institute of Biotechnology in Cuernavaca This state-of-the-art research facility has dozens of researchers working in a number of fields Before this linkage activity, however, no work was been conducted in Mexico with this organism, it causes smut and bunt fungal diseases in wheat and rice Until now, because of unavoidable delays in obtaining research equipment and supplies, progress toward the development of DNA molecular probes for the detection of *Tilletia* has been slow

The strong relationships between the US and Mexican colleagues and a high level of esprit de corps have stimulated high productivity As one Mexican said, "The linkage has allowed a loose collaboration to become tighter " In particular, the scientists at UNAM have achieved more than would have been possible without the linkage partnership The Mexicans have been able to garner additional funding sources for their programs by leveraging the USAID grant

Furthermore, research results are impacting decision makers by providing information to make risk assessments The end result is to help make free trade, safe trade USAID should view this linkage as a model in terms of its impact and its demonstrated sustainability

Texas A&M University (TAMU)
College of Agriculture and Life Sciences
College of Veterinary Medicine

Universidad Nacional Autonoma de Mexico (UNAM)
College of Veterinary Medicine and Zootechnology
Institute of Biotechnology

Solutions to Some Livestock, Poultry and Plant Health and Production Problems that are of Concern to Free Trade between Mexico and the U S

BACKGROUND

Based on the premise that for free trade to become safe trade of agricultural commodities, free of infectious disease agents and ectoparasites, scientific knowledge is needed to eliminate the threat of infectious diseases, the program goal is stated to be to enhance already existing collaborations to

1 strengthen the technical capabilities of UNAM scientists in diagnosing diseases and in developing management systems that include appropriate disease control strategies, and

2 support the internationalization objectives of TAMU by fostering self-sustaining collaborative research programs of mutual benefit to scientists at both institutions

The main strategy is to use modern biotechnology-based methods for the detection and prevention of plant and animal diseases that affect Mexican capability to increase production and are subject to import bans by the United States The livestock diseases selected for attention are the subject of national eradication campaigns in Mexico The presence of the fungus that attacks wheat (Karnal bunt) on any vehicle about to enter the United States provokes a complete ban of that vehicle

Thus, scientists on both sides of the border are interested in promoting research on the diseases in Mexico, Mexicans because they want to eradicate the diseases for economic reasons, and Americans because they want to protect the United States from the diseases and because they cannot carry out research in the United States on causes of disease that they cannot import to their laboratories

The four specific objectives of the linkage, and the departments responsible for them, are as follows

1 Development of improved diagnostic tests for tuberculosis in cattle, deer and other wildlife Department of Microbiology and Immunology

2 Development of beef breeding and management systems to respond to current market changes Center for Teaching, Research and Extension in Tropical Animal Husbandry, Martinez de la Torre, Veracruz State

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4 Development of molecular probes for specific detection of viral, bacterial and fungal diseases of plants Institute of Biotechnology, Cuernavaca, Morelos State

VALIDITY OF LINKAGE REPORTS

Information in the reports was verified in the field

However, the reports concentrate on inputs and do not fully describe the Mexican partner's outreach to farmers, industry and policy-makers

ASSESSMENT OF PROGRESS, HYPOTHESES AND PROJECT MANAGEMENT

1. Is the linkage making progress toward the objectives stated in its cooperative agreement?

Findings

1a Their confidence that the linkage would be available for equipment and needed laboratories triggered departmental decisions by the School of Veterinary Medicine of UNAM to expand their research and teaching into areas they could not previously handle or afford

- The Department of Microbiology and Immunology, which had stopped admitting graduate students in 1990, was able to admit more students after receiving equipment provided under the linkage

- Expansion of research under the linkage stimulated the development of at least one new graduate level course on special molecular techniques

- The decision to build a securely quarantined facility for work on brucellosis was triggered by the availability of linkage funds

1b The high dedication of UNAM faculty members to their research is evident in their enthusiastic support of their research group, including students and professional colleagues

1c The research stimulated by the linkage involves faculty and students together and has stimulated a strong esprit de corps and pride of accomplishment

1d Funding for each of the objectives ranges from $15,000 to $120,000, most of the funds are allocated to equipment required for the first and third objectives

1e Work in the first, second and third areas of concentration shows substantial progress toward stated objectives

1f Progress toward the fourth objective has been slower than anticipated, however, because the incubator to be used for isolating the research on Karnal bunt has not yet been delivered Furthermore, funds for the local costs of the research have not yet been transferred, due to the continuing inability of TAMU to approve the use of State of Texas funds for investment purposes (must clarify with TAMU)

1g Partners of this linkage include 10 faculty members from TAMU and at least six from UNAM, through past relationships, TAMU faculty had become friends and mentors of key UNAM partners

1h The linkage with UNAM has enabled TAMU scientists to be associated with research in areas of U S national interest that they are not able to conduct in the United States because of restrictions on imports (for example, on brucellosis, bovine TB and the Karnal bunt fungus that attacks wheat)

1i The Mexican faculty also has strong personal and professional relationships with faculty members at other universities, such as Cornell, Washington State University, University of California at Davis, Guelph University in Canada and a university in the Netherlands

1j Research under the linkage is supported by dozens of agencies, such as poultry producers, agro-feed and drug companies, the U S Feed Grains Council, other U S universities, and private foundations Support comes also from Mexico's National Council for Science and Technology (CONACYT), the Ministry of Agriculture, Animal Husbandry and Rural Development, and other government agencies

1k The research directors are confident that they will each complete all planned work toward their respective objectives

Conclusions

1a Linkage activities on the whole are moving forward very well

1b Strong relationships with their TAMU colleagues and a high level of esprit de corps have stimulated high productivity at UNAM, more than they would have achieved without the linkage partnership

1c Linkages that involve more than one researcher in a department tend to have impacts at a department-wide level

Recommendations

None

2 Is the linkage strengthening the capacity of the developing country institution of higher education to help meet the development needs of its society?

Findings

2a The partners, in their statement of goals and objectives for the linkage, concentrated on research outputs and neglected the potential impacts on policy, agricultural outreach and economic growth which are already evident as outcomes of the linkage

2b Individual Mexican faculty members use their well-established informal relationships with faculty members of several U S universities to discuss their findings and enhance the significance of their work

2c Linkage activities, and work related to them, have stimulated publication of dozens of articles, reports of proceedings, abstracts and presentations as well as several instruction manuals

2d Results of the bovine disease research have formed the basis of workshops at Panamerican veterinary conferences and training sessions for some 60 state and district livestock extension supervisors

2e Results of research on Salmonella have been applied to the elaboration of a national program on avian salmonellosis that has been approved by the Ministry, also, one immunological treatment is to be patented

2f Completion of a Mexican data base on milk production and cattle breeding has triggered identification of at least four further studies for which proposals are under development

2g The Poultry Science department has expanded its diagnostic services to industry It has undertaken multi-disciplinary research in conjunction with industry on the "ascitis syndrome" (which had received little applied research attention in the past) and published an update of a manual on control of the syndrome

2h Strong working relationships and interlocking board and committee memberships among UNAM, the Ministry of Agriculture, Livestock and Rural Development, and the National Advisory Council on Animal Health reinforce the ability of UNAM to influence the translation of research results into national policy

Conclusions

The linkage has been successful already in producing scientific and applied research results that have been incorporated into the national campaigns designed to rid Mexico of livestock diseases that threaten the United States

Recommendations

The proposal for this linkage did not fully describe its potential for outreach USAID should assure that any Request for Application for projects of this nature expresses fully the objective for development outreach

3 Is the United States institution of higher education internationalizing in ways that use and expand its international development expertise?

Findings

(pending visit to Texas A&M University)

Conclusions

(pending)

Recommendations

(pending)

4. Are the linkage partners taking the necessary actions to make their linkage or their linkage activities sustainable by the end of the USAID funding period?

Findings

4a The Mexican research and teaching departments involved in the linkage conducting first class work in relatively well equipped laboratories have gained broad recognition for their work in the form of scientific awards, invitations to congresses and financial support

4b Work carried out under the linkage has attracted wide attention, the resulting increase in confidence in the work of the School of Veterinary Medicine has enabled it to attract additional financing from a variety of sources

4c The linkage has strong support from the Dean of the School of Veterinary Medicine, who holds it up as an example of the kind institutional and financial arrangement he would like to see expanded

4d Faculty of each of the departments involved in linkage activities has developed additional research proposals for which they expect to attract financing

4e Personal and professional interactions among Mexican faculty and TAMU have been strengthened by the linkage

4f Linkages of TAMU with UNAM fulfill the mission of the State of Texas to promote the economic development of Mexico, and its capacity to benefit from NAFTA If animal and plant diseases can be controlled, Mexico will be able to export livestock and botanical products to the United States

4g UNAM, through its office to process goods through goods through customs at Hidalgo and its system to transport imported equipment to its schools and institutes, is in a position to continue to support linkages with the United States

Conclusions

4a Highly dedicated and award-winning faculty of UNAM are bound to sustain their level of professional productivity

4b Faculty members with strong ties to U S researchers will continue to engage in academic exchanges and collaborative research

4c The linkage will have made UNAM more competitive in the never-ending search for public and private sector support to sustain its programs

4d The kind of scientific work and outreach carried out with support from the linkage is sure to continue, based on the high class quality of the research departments, relationships with scientists in the United States and abroad and support from Mexican institutions

Recommendations

USAID should view this linkage as a model, in terms of its demonstrated sustainability and its potential for enabling Mexico to benefit from export of agricultural products that are now barred from the United States

5 Are the six hypotheses of the project proving to be valid?

Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities, such as applied research and specialized training

The National Autonomous University of Mexico is actively engaged in applied research that serves the private sector and contributes to national agricultural policy The capacity of this university for outreach rivals that of major U S universities

New information technologies are changing the basis of technical assistance

The research departments of the National Autonomous University of Mexico located in Mexico City and Cuernavaca are well equipped with facilities for electronic communication, including fiber optic linkages, and engage in regular communication with U S researchers

It is time for U S higher education institutions to expand their development efforts by including departments not previously involved in international development work.

Texas A&M University is very active in international development work, especially in Mexico, and needs no outside stimulus For example, the Department of History has expressed its interest in working with the UDLP linkage to study the impact on farm women of improved in the efficiency of livestock production

Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

As between Texas A&M University and the National Autonomous University of Mexico, the linkage has evolved directly from a history of long term interactions Some earlier interactions were financed by USAID

It is now time to expand the participation of applied education institutions in international development work

(no comment based on field investigation)

A partnership project among USAID, U S institutions, and developing country institutions will result in next generation "spinoff" activities

Evidence of spinoff activities already underway during the linkage period, and of successful applications for grants, predicts an expanding level of activities in future years

6 Are the linkage activities being appropriately managed and funded?

Findings

6a The outlines of work toward each of the objectives were developed in interaction between UNAM and TAMU scientists who had mutual interests Once the linkage was approved, the two Principal Investigators and the leaders of the four research efforts met to plan their approach as a whole

6b UNAM researchers individually work in close harmony with their respective colleagues at TAMU to plan and manage their activities

6c During the course of their work the scientists from the two institutions have been in close touch However, there has been no further meeting of the group as a whole A meeting is planned for 1995

6d Although the proposed Technical Steering Committee and Program Advisory Committee were never formally constituted, coordination between the two universities is productive

6e Each of the Mexican research directors has had frustrations from slow reimbursement for expenses, inability to obtain travel advances, inability to access funds for procurement, or lack of understanding of obstacles in the procurement process

Conclusions

Considering the technical and managerial expertise at UNAM, the linkage has not suffered from the lack of a formal advisory committee

Recommendations

The Principal Investigator at TAMU should identify, in consultation with USAID all possible measures to expedite procurement, travel advances and reimbursement for expenditures

7 Does project management receive the information it needs to ensure expenditures are for agreed objectives and activities and that linkage activities are being undertaken as described in the cooperative agreement?

7a Quarterly and Annual Reports are detailed and timely However, the documents tend to report inputs rather than outcomes

7b One must read closely to realize that the long lists of publications and titles of theses listed in the reports are not necessarily direct products of the linkage, although they are indeed associated with the work supported by the linkage

8 Is the project design as a whole appropriate to its purpose?

This linkage supports the assumptions underlying the project design

Report prepared by: Eloise Carter and Harriadene Johnson
DRAFT REPORT ON UDLP EVALUATION OVERSEAS AND US SITE VISITS

CENTER FOR HUMAN RIGHTS AND PEACE
SCHOOL OF LAW
UNIVERSITY OF MAKERERE
Kampala, Uganda
and
CENTER FOR AFRICAN STUDIES
UNIVERSITY OF FLORIDA
Gainesville, Florida

Cooperative agreement PCE 5063-A-00-2037-00 "The Enhancement of Human Rights and Democracy in Uganda"

I Validity of Data

The Desk Survey seeemed to be an accurate summary of the Quarterly Reports Unfortunately the Quarterly Reports, in reporting on progress and achievements, tended to be a cumulative report on everything that happened in Uganda that related to Human Rights and the Rule of Law

It did not limit itself to progress against a specified performance plan within a given time frame or to activities funded under this grant As a result, although all of the facts were presented truthfully, there was little analysis of the importance of the facts or interpretation of the impact of the facts on the UNDLP It was only after the site visit and discussions in Uganda and Florida that the reports could be reread and better understood Subsequently, the US institution submitted a response to the Desk Survey that did provide the analysis and interpretation

II SCOPE OF WORK QUESTIONS

Question 1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

A Findings·

There are five objectives in the grant These are

1 To construct a new curriculum in human rights under the auspices of the new Center for Human Rights and Peace within the Faculty of Law at Makerere University,

2 To enhance competency in teaching and research in human rights issues at the University,

3 To address the systematic study of what research priorities should be adopted, and then seek to address those priorities by funding research proposals solicited in an annual competition,

4 Create an outreach program, and,

5 Help upgrade library resources at Makerere

The US institution stresssed that progress has been significant under all five objectives even though it had not been precisely the progress anticipated in the original technical proposal and annual work plans Progress has been slowest under the first objective and spectacular under the fifth objective

Because the available information aggregates activities funded by the UDLP grant with activities funded by other sources, it was not possible to identify progress under each objective

Although most of the activities, regardless of funding source, appear to support the basic goal of strengthening the capacity of the legal educational institution to support the rule of law and the promotion of human rights, there is a funding question regarding the "Florida House"

In order to provide housing for the exchange of long term faculty, Florida agreed to provide funds for the constuction of a guest house cum staff offices Eligibility of this under the UDLP grant should be reviewed

B Conclusions

The US institution has used a pragmatic and flexible approach in working with the DC institution The US institution describes the original implementation plan as " an idealized document, meant not as a concrete and rigid schedule, but as a set of goals, objectives and activities that were intended to show the direction of what would be an ideal approach " Because the Center for Human Rights and Peace in the Law Faculty at Makerere University in Uganda is "an embryonic institution" which is still sorting out its relationships within the University and with other governmental and non-governmental agents concerned with the rule of law and governance issues, this evolutionary approach is probably the only way in which this UDLP could have gotten off the ground

C Recommendations.

1 The UDLP project intended the grantees to exercise a great deal of autonomy and encouraged flexibility and creativity Substantive and significant changes, however, should have been reflected in the project documentation At a minimum, the annual work plan should be used to reflect actual plans and implementation schedules rather than continuing to use unchanged "idealized" objectives for the first three years of this grant

2 The eligibility of construction under the UDLP grant should be reviewed

Question 2 In doing so, are they strengthening the capacity of the partcipating developing country institutions of higher education (DCHIE's) to help meet the development needs of their societies?

A Findings

The new Center for Human Rights and Peace will add ten staff dedicated to working on these kinds of activities Under the UDLP, faculty exchanges, applied research, improved library resources and an expansive outreach program will all contribute to enhancing the capacity of the DC institution to respond to development problems

B Conclusion

The UDLP is focused on the right substantive areas of teaching, curriculum changes, applied research, library upgrading and outreach A capacity is being created that will significantly stregthen the DC institution's ability to help meet develpment needs

C Recommendations None

Question 3 Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A Findings

The UDLP US partner is the Center for African Studies which is making an effort to expand an interest in Africa throughout the University of Florida Through other grants, the University has established itself as a Center of Excellance for African library materials, has developed its expertise on East Africa and Southern Africa and has encouraged other departments (Law, Anthropology, Political Science, History, Environment, etc) to develop African interests and interact with African exchange faculty and students
The Center has enhanced the incorporation of African material in these other faculties, and, by sponsoring several lecture series each year on Africa and African issues, the Center has further encouraged student interest

B Conclusion

There is a strong and growing committment to internationalizing with a focus on developing countries in Latin America and Africa combined with some activities in Eastern Europe Because of the number and variety of international grants, an Office of International Studies and Programs has been given an over all coordinating and monitoring role for coordination within the University

C Recommendation

The "problems of success" do lead to coordination problems on campus The next meeting on UDPL should include a panel on different ways in which US institutions have attempted to solve this internal coordination problem

Question 4 Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

A Findings

Makere University has officially approved the Center for Human Rights and Peace as a separate division within the Faculty of Law, has budgeted for ten staff positions and is competitively hiring for those positions Their involvement in human rights and the rule of law will continue The major potential problem would come if political instability in Uganda led to political oppression and deterioration in the rule of law on a major scale Financially the Makerere University (and the Law School) has accepted the reality of dwindling government support and is undertaking a variety of fund raising activities (allumni groups, student charges, fees, etc)

The links between the University of Florida and Makerere University are strong and predated this grant The University of Florida has approved an innovative arrangement whereby funds generated by exchange programs are partially "dedicated" to continuation of such programs A full description of this program has been made available In summary, students are registered at the University of Florida so that there is no problem with receiving credit for their overseas work A portion of the fees paid to Florida
are then administratively set aside to cover costs incurred by Ugandan faculty and/or students attending Florida

B Conclusions

Both UDLP partners are treating financial sustainability of the linkage activities very seriously Their financial initiatives could sustain the linkage activities The link itself has probably reached the "critical mass" of committed people within both institutions so that a substantive, programmatic relationship will continue Clearly both partners will seek additional donor funding in order to attract grants and expand activities

C Recommendations

The arrangement whereby exchange programs generate reources which are dedicated to the continuation of exchange programs offers a promising model for other US institutions Full information should be made available to other US institutions at the next UDLP meeting

Question 6 Are the linkage activities being appropriately managed?

A. Findings

At Florida the African Center is the UDLP responsible agent, but there is an intra university management committee drawn from the university wide Governance Working Group There are regular consultations and active participation by representatives from Law, Anthropology and Political Science There are two to three trips a year to Uganda (sometimes financed by the UDLP grant but often financed by other grants which take advantage of Florida staff being in or near Kampala) There is at least one annual formal management meeting at Makerere attended by Florida which has gone over plans, achievements and budget/expenditures

Although the UDLP grant begin in October 1992, the Center for Human Rights in Uganda was officially approved and formally established in December 1993 Permanent staff (of ten people) is currently being recruited, and the Director is expected to be chosen in March 1995 In the mean time, personnel changes at Makerere have been extensive The Vice Chancelllor, who suggested this link and was its strongest supporter, has been replaced There have been changes in the Dean of the Law School There have been at least two "Acting" Dirctors of the Center and extensive changes in key positions (directors of research and outreach)

Leadership of the UDLP effort at Makere was originally assigned to the Dean of the Faculty of Law, Fred Jjuuko Since the Center had not yet been approved, staff dealing on human rights or probable future Center issues worked directly for Dean Jjuuko There was a concern expressed by both Florida staff and Ugandan staff that the Dean's management style was a problem Dean Jjuuko kept the project tightly controlled with little information sharing or inclusion of other faculty members or other relevant institutions
There is a Human Rights Committee at Makerere University which includes (at the insistence of Florida and the Vice Chancellor at Makerere) representatives of the Law School, other faculties from the social sciences, the women's center, and other institutions engaged in legal education, governance and the rule of law The evaluation team did not meet with this committee as it did not seem active at the time of our visit Florida stated that this was an active management committee

Initially the Quarterly Reports were drafted and submitted solely by Florida After the first year, the Uganda participants were invited to comment and received copies of the report Both the Makerere and the Florida staff confirmed that everything was done in collaboration on linkage activities

B Conclusions

On paper there is a sophisticated and sensitive management system, but there are major management issues which have the potential to outweigh any achievements made or planned

The Quarterly reports noted that there were issues with the Dean over his management style In addition, the Dean objected to the caandidate, Dr Sylvia Tomale, proposed as director of outreach activities Florida went ahead with her appointment on the grounds that she was the most accomplished and committed female faculty member The Dean indicated that he was unwilling to continue the project The issue was ultimately resolved when Dr Tamale received a grant to go to Minnesota

Although a replacement director of outreach, Sam Tindifa, was appointed and both Florida and Uganda were apparently satisfied, the management of the project and, specifically, of the outreach component continued to deteriorate An ambitious outreach program was jointly designed by Ugandan staff visiting Florida University and Floridian faculty Florida seemed to believe that this outreach agenda is being vigorously pursued The evaluation team was introduced to a new outreach director, not Sam Tindifa, and was informed that the objectives and activities under the UDLP were being reviewed by the new Director and the new Dean of the

Law School Although outreach activities were being undertaken, it was not clear that the outreach plan was being followed

The evaluation team first became aware of the extent of the management issues when it was not possible to arrange meetings with the Center or the Law School prior to the team's arrival in Uganda The US manager, on leave from Florida on a sabbatical in California, advised that the Director of the Center, Dr Joseph Onyango, was in Minnesota with his wife, Dr Sylvia Tomale It was suggested that the evaluation team meet with the Vice Chancellor at Makerere

Upon our arrival the team was contacted by Sam Tindifa who offered to set up a meeting with the former Dean, Fred Jjuuko, to discuss the problems of the project The team was also contacted by the new Director of the Center (who did not describe himself as "Acting") who offered to set up meetings with the new Dean of the Law School (who had been elected by the faculty to replace Dean Juukko)

The team met briefly with Tindifa who felt that the project was being hampered by severe management problems The team felt that the main meeting should be arranged thru the new Director A subsequent four hour meeting was held with the new Dean of the Law School, the new Director of the Center and his staff (including another Dirctor for program outreach who apparently replaced Tindifa) A subsequent meeting with the Vice Chancellor was extremely cordial The entire Ugandan staff felt that changes in the legal education system and involvement in human rights and development would not have happened in the absence of the UDLP and the US institutional partner However, the transfer of management responsibilities has been hampered by the absence of major project documentation

In discussions in Gainesville with Dr Schmidt, the Director of the African Center, Dr Joseph Onyango, who has been involved in the UDLP from the beginning, the two Ugandans students attending the Master in International Law program at Florida, Dr Winston Nagan, an active participant in the project from the Law School, and representatives of the Library who have been to Uganda and who stay active, it was acknowledged that the law school and Makerere University are still suffering from the past two decades of turmoil in Uganda The many positive steps should be given even more weight when considered in context

Florida stated, in a subsequent written submission, that departures from the original schedule should be seen " as important, as successes--not as failures and partially realized goals "

The US institution has stated that "the most difficult matter in being responsive and innovative, however, is the original schedule and complex goals and objectives that the project was required to set out at its beginning Given the modest budgets, it would be best to eliminate this part of the UDLP package and allow universities to execute their programs with their own best judgement , trying innovative ideas that spontaneously take advantage of local opportunities "

The US partner offers no means of allocating limited funds, no competitive basis for ranking requests is suggested, and, there is no system for gauging performance

C. Recommendations

1 Florida should accept that shifts in personnel and management responsibilities in Uganda mean that Florida needs to take a proactive approach to providing copies of all past discussions, action plans and budgetary plans and expenditures to the new staff

2 Florida needs to submit revisions in the grant's activities to AID so that there is a full sharing of information

3 AID should recognize that a no cost extension may be necessary given the difficulties involved in getting the Center started

4 A joint "tripartite" team from Uganda, Florida and the G Bureau should develop an operational plan for the remaining life of the grant

III EVIDENCE CONCERNING HYPOTHESES Question 5 from SOW Are the six hypotheses proving to be valid? The hypotheses are·

(1) Higher educational institutions in developing countries are ready to expand beyond traditional teaching programs to public service and other constituency building activities such as applied research and specialized training

All three UDLP grants in Uganda and Mozambique involve partners who fully agree with and support this hypothesis Measured by mission statement and allocation of staff time these higher educational institutions are expanding beyond teaching They are actively seeking donor support for curriculum changes that would encourage applied research and other outreach activities

(2) New information technologies, such as e mail and Internet, are changing the basis of technical assistance

The evidence from these three UDLP partners does not support this hypothesis In Mozambique the grant has not introduced new information technology The Mozambique medical stafff find communications to be slow and unreliable Phone calls (and faxes) are expensive and frequently not available In Uganda at the Law School, phones and faxes are unreliable (both technically since the fax machine was hit by lightning and due to interruptions for non-payment of bills) In Uganda at the Institute of Public Health, the UDLP has funded computers, faxes and e mail, and both partners feel that this technology has significantly improved project administration and financial management But, in the words of the Uganda project director, nothing substitutes for face to face contact in conveying technical assistance

(3) It is time for US higher education institutions to expand their develpment efforts by including departments not previously involved in international development work

All three UDLP grantees have used the linkage as a rationale and an opportunity to reach out to other parts of the US institution and increase their involvement in development

(4) Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

The findings on these three examples of the UDLP are mixed A strong sustained linkage with demonstrated practical impact has apparently been established by Case Western and Makerere (Institute of Public Health) The University of Florida and Makerere (School of Law) are struggling with hard problems in a new area (the rule of law and human rights) where there is no "old development effort" And, in Mozambique, the original personal contacts that led to the initiation of the linkage have moved on to other efforts, and it is unlikely that the link will be maintained

(5) It is now time to expand the participation of applied education institutions in international development work

These three UDLP grants are all with developing country "trade schools" (law, medical and nursing) who seek greater involvement The three US institutions are also already dedicated to "internationalization" the Center for Population and Development Studies at Harvard, the African Studies Center at the University of Florida, and the Center for International Health at Case Western Reserve At both ends of the link, these UDLP actors have taken advatage of the existence of the UDLP to reach out to other faculties within their respective institutions These faculties with no previous involvement in development represent the positive move to expand and thus provide strong evidence of support for this hypothesis

(6) A partnership project among USAID, US institutions and developing country institutions will result in next generation "spin-off" activities

Confirmation and/or negation of this hypothesis depends more on the reader's theory of how change happens than on objective findings People trained under these grants should become agents of change within their respectives institutions/countries Follow up with other project activities will strengthen and expand the ability of these change agents to plan and implement new "next generation" programs The linkage formula is essential to generate ideas and introduce change, but additional support will be needed to implement changes in country

Training and research were conceptualized under colonial regimes as very separate functions Training of legal and medical personnel was established in Universities basically affiliated with Ministries of Education Practical work assignments for the health professionals is under the control of Ministries of Health whereas the legal students must attend the legal institute prior to practicing law in Uganda Improved cooperation among the theoretical and practical institutions is built into all three UDLP grants

IV. CASE PRESENTATION

The Center for African Studies at the University of Florida is an interdisciplinary unit that is campus wide in scope Because of its other activities in Uganda, the Center initiated discussions with Makerere University at the Vice Chancellor level regarding the possibility of developing a UDLP proposal in environment, law or

the library The Vice Chancellor noted that the Makerere Law School had beeen working on an initiative to create a Center for Human Rights and Peace and suggested that Florida work with the Law School on this initiative Florida agreed, partly because of the strong interest of several Florida law faculty members in Uganda and the existence of a strong campus wide interest in governance and the rule of law, and partly because of the importance of these issues in Uganda during a period of reconstruction after 20 years of dictatorship, mass killings and near destruction of civil society

Because the available information aggregates activities funded by the UDLP grant with activities funded by other sources, it was not possible to identify progress under each objective Most of the activities, regardless of funding source, appear to support the basic goal of strengthening the capacity of the legal educational institution to support the rule of law and the promotion of human rights in Uganda

DRAFT REPORT ON UDLP EVALUATION OVERSEAS AND US SITE VISITS

CASE WESTERN RESERVE UNIVERSITY
CENTER FOR INTERNATIONAL HEALTH
SCHOOL OF NURSING
Cleveland, Ohio
and
MAKERERE UNIVERSITY
INSTITUTE OF PUBLIC HEALTH
DEPARTMENT OF NURSING
Kampala, Uganda

Cooperative Agreement PCE-5063-00-A-2040-00 "Public Health Linkage"

I Validity of Data

The Quaterly Reports appeared to be accurate Meetings in Kampala and in Cleveland substantiated the reports and indicated that there is a strong working relationship between the two UDLP partners The Desk Survey indicated "no information" on areas that were covered in the Quarterly reports

II SCOPE OF WORK QUESTIONS

Question 1 Are the individual linkages making progress toward the objectives stated in their cooperative agreements?

A Findings.

There were four objectives specified in the cooperative agreement These are

1 To strengthen the existing collaboration between Case Western Reserve and Makerere universities,

2 To increase faculty capability at Makerere in public health, concentrating on the Institute of Public Health and on the Department of Nursing,

3 To modernize public health curricula in the Institute of Public Health and the Department of Nursing, and,

4 To strengthen and broaden the capabilities of the Center for International Health at the School of Medicine of Case Western Reserve

B Conclusions

The linkage is focused on the appropriate areas of course planning, curriculum development, outreach and staff development Progress has been made against each of the specified goals as planned, there is a collegial working relationship with frequent interaction and collaboration

C Recommendations· None

Question 2 In doing so, are they strengthening the capacity of the partcipating developing country institutions of higher education (DCHIE's) to help meet the development needs of their societies?

A. Findings

New academic programs, curriculum revisions and faculty/staff training have been financed under the UDLP Field research proposals have been financed under the UDLP and by funding obtained from other donors (jointly developed proposals for jointly carried out research)

There has also been an active outreach program to involve other parts of Makerere University Policy level decisions have been influenced The way in which health services are provided has changed Support services and administrative management (library, laboratory, handling of finances, etc) have improved The interaction between the Ministry of Health and the Ministry of Education has improved The Ugandan Director stated that "we are now directly contributing to the health of our people "

B Conclusions

The capacity of the DC institution to help meet development needs has been strengthened, and there is abundent evidence that the DC institution has used that capacity There has been joint research on critical problems such as AIDS and tuberculosis There has been joint planning and implementation of research activities These activities have resulted in changes in curriculum, new manuals to be used at primary health posts, and additional field experience built into the training for all nurses A manual for field health workers has been drafted and is in use at primary health care posts

C Recommendations

This UDLP is a success story that should be circulated to the other UDLP grantees Their experience in jointly planning field activities ,then jointly seeking funding and then jointly implementing the proposals is a model of what a linkage can do

Question 3: Are the participating United States institutions of higher education (USIHEs) internationalizing in ways that use and expand their international development expertise?

A. Findings

Participation of faculty from the US institution in collaborative research and curriculum development activities has expanded their knowledge of the reality of working in Africa, specifically in Uganda which is trying to rebuild after 20 years of civil war The US institution has also sponsored participation of faculty from other departments such as the School of Management

B Conclusions

There has been an outreach to the rest of the University This encourages exchange of ideas and academic linkages

C. Recommendations None

Question 4· Are the linkage partners taking the necessary actions to make their linkages and/or their linkage activities sustainable by the end of the USAID funding period?

A Findings

The DC institution has expanded its staff and has upgraded its faculty Funding has been received for joint research projects from the Center for Disease Control, the National Institute for Health, the Rockefellor Foundation, the World AIDS Foundation
and other public and private donors

B Conclusions

By building into the grant a specific component to develop Makerere's capacity to write up funding proposals to grant institutions and by making joint submissions and solicitations for projects, the linkage and linkage activities will proably be
sustained

By incorporating central university staff that would not normally be part of such a project, the long term linkages have been expanded and the internal support for the continuation of joint efforts and links has been strengthened

C. Recommendations

This UDLP is a success story that should be circulated to the other UDLP grantees

Question 6. Are the linkage activities being appropriately managed?

A Findings

The DC institution felt that the UDLP was appropriately managed The ability to use e mail and fax definitely improved management and financial administration Technical assistance required face to face interaction The project provided for frequent interaction and reciprocal visits between the two campuses The DC institution noted that the key is the American co-ordinator - how knowledgable is the US side Given a four year history of working together, there was a solid foundation

The Ugandan Director of the Institute of Public Health at Makerere (Dr Gilbert Bukenya) noted that the UDLP unlike grants from other donors, called for specific and precise objectives with reports on activities as well as finances Dr Bukenya felt that this helped keep the project on track

Both universities have local advisory boards to provide guidance and monitor progress These boards also provide a mechanism to keep other university and health institutions informed and actively involved in the UDLP

B. Conclusions

This linkage seems to be working because a partnership seems to exist based on real respect between the DC and the US institutions Case Western Reserve recognized that they needed to allow Makerere to have the final word as to what were their priorities and what needed to be done to enhance public health training and service delivery

C Recommendations

This linkage could serve as a model for other linkage partners, especially in the way the linkage was conceived - on a partnership basis They shared from the development of the proposal to budget details, including having the maximum budget allocation in country and under the DC institution's control _

III. EVIDENCE CONCERNING HYPOTHESES Question 5 from SOW: Are the six hypotheses proving to be valid? The hypotheses are

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educational institutions are expanding beyond teaching They are actively seeking donor support for curriculum changes that would encourage applied research and other outreach activities

(2) New information technologies, such as e mail and Internet, are changing the basis of technical assistance

The evidence from these three UDLP partners does not support this hypothesis In Mozambique the grant has not introduced new information technology The Mozambique medical stafff find communications to be slow and unreliable Phone calls (and faxes) are expensive and frequently not available In Uganda at the Law School, phones and faxes are unreliable (both technically since the fax machine was hit by lightning and due to interruptions for non-payment of bills) In Uganda at the Institute of Public Health, the UDLP has funded computers, faxes and e mail, and both partners feel that this technology has significantly improved project administration and financial management But, in the words of the Uganda project director, nothing substitutes for face to face contact in conveying technical assistance

(3) It is time for US higher education institutions to expand their develpment efforts by including departments not previously involved in international development work

All three UDLP grantees have used the linkage as a rationale and an opportunity to reach out to other parts of the US institution and increase their involvement in development

(4) Linkage partners can build inexpensively on the remaining parts of old development efforts to produce strong, sustained programs and structures

The findings on these three examples of the UDLP are mixed A strong sustained linkage with demonstrated practical impact has apparently been established by Case Western and Makerere (Institute of Public Health) The University of Florida and Makerere (School of Law) are struggling with hard problems in a new area (the rule of law and human rights) where there is no "old development effort" And, in Mozambique, the original personal contacts that led to the initiation of the linkage have moved on to other efforts and it is unlikely that the link will be maintained

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Confirmation and/or negation of this hypothesis depends more on the reader's theory of how change happens than on objective findings People trained under these grants should become agents of change within their respectives institutions/countries Follow up with other project activities will strengthen and expand the ability of these change agents to plan and implement new "next generation" programs The linkage formula is essential to generate ideas and introduce change, but additional support will be needed to implement changes in country

Training and research were conceptualized under colonial regimes as very separate functions Training of legal and medical personnel was established in Universities basically affiliated with Ministries of Education Practical work assignments for the health professionals is under the control of Ministries of Health whereas the legal students must attend the legal institute prior to practicing law in Uganda Improved cooperation among the theoretical and practical institutions is built into all three UDLP grants

IV. CASE PRESENTATION

Case Western Reserve and Makerere have established a collegial relationship during the past four years through working on programs that include research on AIDS, education in epidemiology and improvements in primary health care nursing The two institutions built on these pre-existing relationships by concentrating the UDLP on curriculum development and faculty enhancement at the Institute of Public Health and the Department of Nursing

Makerere University was once the premier institution in East Africa The Medical School provided training for physisians and nurses throughout Frica By 1989 they had ceased to perform this function With Case Western Reserve's help, Makerere has once again started building the Faculty of Medicine and the Faculty of Nursing Initial programs involved research on AIDS, epidemiology and primary health care When the RFP for the UDLP was distributed, Case Western Reserve contacted Makerere and suggested that ""We have another opportunity to build on the collaborations that we already have Are you interested?" Makerere said "yes" and a joint proposal was developed The proposal focusses on improving public health by concentrating on curriculum development and faculty enhancement

Annex I

Sample Request for Application

Issuance Date March 6, 1992

Closing Date

Letters of Intent March 23, 1992

Applications 45 days from date of invitation

Closing Time 2 00 p m ET

Place (By Regular U S Mail)

Agency for International Development
Office of Procurement
FA/OP/B/PCE
Attn Thomas Stephens/Jim Nindel
Room 1504, SA-14
Washington, D C 20523-1422

- Or -

(By Express Mail and All Other Means of Delivery)

Agency for International Development
Office of Procurement
FA/OP/B/PCE
1100 Wilson Blvd
15th Floor Receptionist
Attn Thomas Stephens/Jim Nindel
Arlington, VA 22209

Subject Request for Applications (RFA) No B/PCE-92-001, University Development Linkages Project (UDLP), Project No 936-5063

Gentlemen/Ladies

The United States Government, represented by the Agency for International Development (A I D), is seeking applications for cooperative agreements from U S Institutions of Higher Education (USIHEs), or consortia thereof, interested in collaborating with developing country institutions of higher education (DCIHEs) These linkages between institutions should seek to strengthen the capabilities of developing country institutions and support the internationalization objectives of USIHEs

It is important that the U S university and college community continues to support foreign aid objectives, contributes to A I D programs, develops their own self-sustaining international development programs and fosters mutually beneficial linkages with developing country educational

institutions It is equally important that developing country institutions have collaborative linkages with U S educational institutions Effective public and private institutions of higher education in developing countries are essential to support the education, research, and public service needs of their societies and to achieve sustainable economic growth in a rapidly changing global environment

It is anticipated that under the UDLP, institutions will expand and sustain productive linkages beyond the limited life of the project The direct beneficiaries of the UDLP will be the participants and institutions in the project In a larger sense, however, the beneficiaries are the societies that both contribute to and reflect the values of the U S and host country institutions UDLP is not an "education" project nor an "institutional development" project, per se, but it is an activity and a means through which A I D supports U S and developing country institutions of higher education in A I D priority areas These include their varied activities in promoting private sector economic growth, democratic initiatives, human resources development, and environment and natural resources management See Section A 7 and Appendix 5 of this RFA for additional information on priority areas for assistance activities <u>The linkage program of U S and developing country educational institutions must be in one or more of these A I D priority area(s)</u>

Linkage, in the sense used in this project, is defined as a direct operational and collaborative tie between a U S degree-granting college or university and a developing country degree-granting institution, arrived at through mutual agreement, providing mutual benefit, and requiring mutual investment of resources in specified activities Cross-linkages, that is those between U S universities and among developing country institutions, may also take place as a result of the linkage plan

The project will fund linkages between U S and developing country educational institutions in order to initiate or strengthen a variety of long term sustainable and collaborative university relationships Purely for illustration, collaborative linkages could include one or more of the following

- Work on specific research problems of interest to U S institutions through collaboration with a host country institution which shares the interest,

- Improvement of curricula, organizational structure, research and teaching methodologies, linkages to wider academic communities, and faculty revitalization,

- Collaborative development of training courses (perhaps with extension purposes), surveys, and pilot programs for education and information delivery, and

- Joint activities which increase interest and experience of faculty members in development issues which fall within A I D 's interests and contribute to development cooperation and internationalization objectives of universities in both countries

The outputs can be measured by review of published research, surveys of student knowledge and post graduate performance, the number and kinds of training and extension programs, changes or improvements in institutions' organization, management, and administration, long term impact of linkages on developing country economic and social development, and viability and sustenance of linkages

A I D is seeking high quality linkage arrangements meritorious of funding The criteria for evaluating and selecting applications have been designed so that there is no advantage or disadvantage for experience except insofar as it is reflected in the quality of the applications

A I D considers this program to be assistance to an institution or an organization for a public purpose, rather than the acquisition of services Accordingly, an assistance instrument (i e , a grant or cooperative agreement), in lieu of a contractual instrument, has been determined to be the most appropriate means for implementation of the UDLP An assistance instrument is used when the principal purpose of the relationship between A I D and the other party or parties is the transfer of funds or services to the recipient in order to accomplish a public purpose, through support or stimulation of the recipient's own program or project Consequently, A I D policy does not permit payment of a fee or profit under assistance instruments Amongst assistance instruments, we choose to use cooperative agreements A cooperative agreement entails substantial involvement by A I D The nature of A I D 's involvement is described in paragraph 1F of Appendix 1 of this RFA

Subject to the availability of funds, the A I D Bureau for Research and Development/University Center (R&D/UC), intends to provide up to approximately $1,600,000 in FY 1992 funds to be allocated through up to 15 cooperative agreements under the UDLP More cooperative agreements will be funded if additional funds become available The cooperative agreements to be awarded as a result of this RFA will be incrementally funded on an annual basis <u>Note Only one application per university will be invited, and no more than one primary award per institution will be made this fiscal year</u> Further details on RFA conditions and funding may be found in Section B 6 of this RFA

To this end, this RFA is being issued and consists of this cover letter and the following

Section	Title
A	Program Description
B	RFA Conditions
B 1	Definitions
B 2	Recipient Eligibility
B 3	Eligibility of Developing Country Institutions
B 4	Acceptability of Proposed Linkage Activities
B 5	Procedures
B 6	Funding
B 6 (a)	A I D Funding
B 6 (b)	Cost-Sharing (Matching)
B 7	Other Conditions
C	Application Instructions
C 1	General Instructions
C 2	Instructions for Letters of Intent
C 3	Instructions for Applications
C 3 (a)	General Instructions for Applications
C 3 (b)	Specific Instructions for the Technical Portion of Applications
C 3 (c)	Specific Instructions for the Cost/Management Portion of Applications
C 3 (c) (2)	Cost Information
C 3 (c) (3)	Management Information
C 4	Instructions for Revised Applications
C 4 (a)	Technical Portion
C 4 (b)	Cost/Management Portion
D	Review and Evaluation Criteria
D 1	Letters of Intent
D 2	Applications
D 2 (a)	Technical Portion of the Application
D 2 (b)	Cost/Management Portion of the Application
D 2 (c)	"Shortlisting" and Negotiations
D 3	Revised Applications
D 3 (a)	Technical Portion
D 3 (b)	Cost/Management Portion
D 4	Award Criteria

Section	Title
E	List of RFA Appendices
Appendix 1	Cooperative Agreement Format
Appendix 2	List of Countries with Prior UDLP Awards
Appendix 3	List of Developing Country Institutions With Prior UDLP Awards
Appendix 4	List of U S Institutions With Prior UDLP Awards
Appendix 5	List of Priority Areas
Appendix 6	Face Sheet - Letter of Intent
Appendix 7	Outline for the Technical Portion of the Application
Appendix 8	Face Sheet - Application
Appendix 9	Workplan Outline
Appendix 10	Implementation Plan Outline
Appendix 11	Initial Letter of Intent Review Instrument
Appendix 12	USAID Mission Letter of Intent Review Instrument
Appendix 13	Initial Application Review Instrument
Appendix 14	Application Mail Peer Review Instrument
Appendix 15	Employee Biographical Data Sheets
Appendix 16	Training Cost Analysis (TCA) Proposal Worksheet
Appendix 17	Standard Provisions for Non-U S , Nongovernmental Grantees
Appendix 18	Certifications, Assurances, and Other Statements of Applicant/Grantee
Appendix 19	RFA Mailing List
Appendix 20	List of Eligible Countries

If you wish further information on A I D , you may write to A I D Bureau for External Affairs, Room 4889, Agency for International Development, Washington, D C , 20523-0056

Applicants are being requested to initially submit only letters of intent in accordance with the instructions in Section C 2 of this RFA If you decide to submit a letter of intent, five (5) copies must be received at the time, place and date indicated at the top of this letter If you receive an invitation and decide to submit an application, fifteen (15) copies of the technical portion and five (5) copies of the cost/ management portion must be received no later than 2 00 p m Eastern Time, no later than 45 days from the date of the invitation to submit an application Five (5) copies of revised applications, if requested, must be received no later than 2 00 p m Eastern Time, no later than the date indicated in the request for a revised application Letters of intent, applications (if invited), and revised applications (if requested), and modifications thereof, shall be submitted in

sealed envelopes with the name and address of the applicant, the time specified for receipt, and the RFA number

Letters of intent will be reviewed in accordance with Section D 1 of this RFA Please note that, while this RFA addresses applications and revised applications in addition to letters of intent, the application and revised application are only to be submitted upon invitation from A I D to do so

There are essentially three stages with which the applicant should be concerned (a) Letters of Intent, (b) Applications, and (c) Revised Applications The RFA, to the extent possible, is subdivided between these three stages Applicants are cautioned that failure to observe all guidelines such as submission deadlines, page limits, type size, and use of prescribed outline, may result in the letter of intent or application being rejected

Issuance of this RFA does not constitute a commitment by A I D to award any cooperative agreements, and A I D reserves the right to reject any or all applications received A I D shall not be liable for any costs incurred by applicants in the preparation and submission of an application

Any questions concerning this RFA should be directed to Thomas Stephens, Agreement Officer, and/or Jim Nindel, Agreement Specialist, who may be reached by phone at (703) 875-1091 However, applicants should note Section C 1 (g) of this RFA

Telegraphic applications or telegraphic notices of intent to apply are not authorized for this RFA and will not be accepted

Applicants should retain for their records, at least one copy of their letter of intent, application (if invited), and revised application (if requested), including any and all enclosures thereto

Sincerely,

Thomas M Stephens
Agreement Officer
Chief, FA/OP/B/PCE Branch
Office of Procurement

SECTION A

PROGRAM DESCRIPTION

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PROGRAM DESCRIPTION

A. PROGRAM DESCRIPTION

A.1 The linkage program is designed to foster sustainable institutional relationships in education, research, and extension between U S colleges and universities and counterpart institutions in developing countries To be sustainable, such linkages must produce tangible benefits for all parties It must serve the internationalization needs of U S colleges and universities and the development needs of developing country institutions and the societies they serve Cross linkages, among U S and among developing country institutions, may also be fostered

A.2. Goal

To assist public and private institutions of higher education in U S and developing countries to meet the education, research, and public service requirements of their societies

A 3 Purpose

To enhance long-term, sustainable collaboration between U S and developing country universities which strengthen the institutions, their international programs, and their mutual efforts in fields considered important within A I D 's global mission

A.4. Outputs

The project will fund linkages between U S and developing countries educational institutions in order to strengthen a variety of long term, collaborative, mutually beneficial university relationships Illustrative examples of anticipated products of these collaborative linkages could include

- Specific research of interest to host and U S institutions through collaborative work involving a host country institution and a USIHE,
- Improvement of curricula, organizational structure, research and teaching methodologies, faculty revitalization and linkages to wider communities, including alumni associations, private sector groups and private voluntary organizations,

- Collaborative development of training courses (possibly within extension programs), surveys, and pilot programs for education and information delivery, and

- Joint activities which increase interest and experience of university faculty in development issues which relate to A I D 's interest and to the development cooperation objectives of U S universities

The outputs can be measured by review of published research, surveys of student knowledge and post graduate performance, the number and kinds of training and extension programs, changes or improvements in institutions organization, management, and administration, long term impact of linkages on developing country economic and social development, viability and longevity of linkages by the institutions themselves

A 5 Inputs

The project will make grant funds available to U S universities to foster sustainable, long-term mutually beneficial linkages with developing country institutions Executed through cooperative agreements, and depending upon the terms of each individual cooperative agreement, the project will finance technical assistance, training, student and faculty exchanges and a very small amount of commodity procurement It is expected that most funds will be used for linking activities such as faculty travel and transportation, faculty per diem, communications, and publications Faculty salaries will generally be borne by the U S institution

The project will require each recipient to provide matching resources to achieve the mutually beneficial outputs The project anticipates collaborative or correlative participation from USAID Mission projects, and the UDLP will accept funding transfers from Missions and other A I D offices to finance approved linkage applications not otherwise funded Regional or international organizations, private foundations, and the private sector will be encouraged to cooperate with and complement this project with their own partnership activities

A 6 Desirable Attributes

Particularly desirable attributes of applications are those that

- emphasize attention to development, including outreach endeavors, on the part of developing country institutions,

- enhance U S university support for internationalization of the U S institution,

- use creative ways to economize the use of A I D funds while still accomplishing the purposes of the linkage,
- demonstrate that the linkage is not an end in itself, but an instrument for accomplishing a sustainable relationship of benefit to the institutions involved and to development,
- reflect that the linkage activities are in harmony with Mission strategies/interests,
- show a significant portion of total resources expended in or for the benefit of the linked developing country institution, and
- incorporate gender issues and the integration of women into activities as participants and beneficiaries wherever possible

A 7. Priority Areas

A I D programs in developing countries provide the priority areas or objectives in which proposals are welcome They are

- Private Sector Economic Growth which includes
  - instituting broad-based economic policy reforms
  - promoting institutional reform and development
  - improving physical infrastructure
  - increasing production and productivity (agricultural and non-agricultural)
  - increasing international trade
  - strengthening the technical and management skills of the work force
- Democratic Initiatives including
  - strengthening democratic representation
  - supporting human rights
  - promoting lawful governance
  - encouraging democratic values
- Human Resources Development that includes
  - improving child survival and maternal and child health care
  - improving health
  - improving basic education
  - improving family planning
  - improving access to shelter and related urban services
  - improving technical and management skills
- Environment and Natural Resources Management which includes
  - improving environmental quality
  - improving natural resources management

SECTION B

RFA CONDITIONS

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RFA CONDITIONS

B 1 DEFINITIONS

B.1 (a) "USIHE" means a U S public or private degree-granting institution of higher education (post-secondary level) which is engaged in education, research, and public service programs Included are universities, colleges, community and junior colleges

B.1.(b) "Consortium" means a formal or informal organization formed by two or more USIHEs, including an organization formed for the express or sole purpose of submitting a joint application in response to this RFA

B 1.(c) "Developing Country Institution of Higher Education (DCIHE)" (equivalent to U S post-secondary level) or "Developing Country Institution" means a public or private degree-granting institution of higher education, engaged in education, research, and outreach activities, and located in a country that is on the country eligibility list (Appendix 20 of this RFA) Letters of intent and applications for linkage awards must clearly certify that the DCIHE(s) qualify under this definition Institutes, agencies, organizations or international centers that are headquartered in a Developing Country but serving mainly an international purpose and receiving international donor funds and are not integral parts of a DCIHE will <u>not</u> qualify under this definition

B 1.(d) "Matching" or "Cost-Sharing" means non-Federal funds or quantifiable non-Federal in-kind contributions provided by a USIHE and/or USIHE collaborators or by the linked developing country institution and its collaborators in direct support of the specific linkage activities described in the application See also Section B 6 (b) below, and the Standard Provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Cost Sharing (Matching) "

B.1.(e) "Letter of intent" means a short description of the proposed linkage and a face sheet together not to exceed four pages, (see Section C 2 below) submitted by the applicant

B.1.(f) "Application" means a fully-described development activity submitted by the applicant upon A I D 's invitation, based on review of the letter of intent (see Section C 3 below)

B 1 (g) "Revised application" means a revision or addendum to the application which A I D may request following evaluation of the application and negotiation/discussion thereof

B 1 (h) "Lead institution" means a single USIHE submitting an application or the USIHE designated in an application submitted by a consortium as being the primary U S linkage partner and/or responsible and accountable for the linkage Alternatively, if no USIHE is so designated, the consortium itself may be the lead institution However, it should be noted that the objectives of the UDLP relate to the internationalization of USIHEs and the developmentally-relevant growth of developing country institutions While consortia may be lead institutions or participating institutions in a linkage activity in order to facilitate the attainment of the UDLP objectives and assist in the management of a linkage activity, their internationalization is not an objective of the UDLP and will not be considered in reviewing and evaluating letters of intent, applications, and revised applications

B.1.(i) "Applicant" means a USIHE or consortium, which submits a letter of intent in response to this RFA, or which submits an application in response to the Agreement Officer's invitation, or which submits a revised application in response to the Agreement Officer's request

B 1 (j) "Recipient" means any applicant to which a cooperative agreement is awarded The recipient will be responsible for the financial and program management of the cooperative agreement, including timely submission of all reports, execution of sub-agreements, and compliance with other terms and conditions specified in the cooperative agreement (Appendix 1 of this RFA) It is anticipated that the recipient or lead institution will implement the linkage partnership through a sub-agreement with the developing country institution(s) with which the recipient or lead institution is partnered

B.2. RECIPIENT ELIGIBILITY

B.2.(a) To be eligible as a recipient of a cooperative agreement under the UDLP, an applicant must be a USIHE or consortium of USIHEs and related institutions, as defined in Section B 1 of this RFA

B 2.(b) A USIHE applicant may be awarded no more than two separate cooperative agreements during the five-year life of the UDLP (FY 1991-1995) Only one UDLP cooperative agreement will be awarded to a USIHE in any one year Any USIHE which is a non-lead institution in an application submitted by a consortium can participate in an unlimited number of cooperative agreements, subject to other terms and conditions of this RFA and availability of funds Refer to Appendix 4 of this RFA for a list of USIHEs with prior UDLP awards

B.2.(c) No more than four cooperative agreements will be awarded for linkages in any individual developing country during the life of the UDLP Refer to Appendix 2 of this RFA for a list of countries with prior UDLP awards

B 2 (d) Applicants must already have or must establish a primary linkage with a developing country institution(s) of higher education Applicants can also establish secondary or collaborative linkages with U S or developing country private voluntary organizations, private businesses, foundations, or regional/international organizations in support of the primary linkage

B.2.(e) A USIHE may submit only one letter of intent and, upon invitation, submit one application Multiple letters of intent from any one USIHE may lead to rejection of all letters of intent from that USIHE

B.2 (f) A USIHE will not be eligible to be a recipient of a UDLP cooperative agreement if they have received FY 1992 funding to continue activities under an R&D/UC Program Support Grant (PSG) or Matching Support Grant (MSG)

B 2.(g) To be eligible as a recipient of a UDLP cooperative agreement, the recipient must meet the cost-sharing requirements described in Section B 6 (b) of this RFA

B.3. ELIGIBILITY OF DEVELOPING COUNTRY INSTITUTIONS

B.3.(a) To be eligible as a linkage partner (see Section B 2 [d] above), a developing country institution must be a developing country institution of higher education, as defined in Section B 1 (c) above

B.3 (b) An individual developing country institution may be a linkage partner in no more than two separate cooperative agreements during the five-year life of the UDLP (FY 1991-1995) Refer to Appendix 3 of this RFA for the list of DCIHEs with prior UDLP awards

B.3.(c) The developing country institution must be located in a country that is found on the country eligibility list (Appendix 20 of this RFA)

B.3.(d) The developing country institution is not eligible if located in a developing country that has received four UDLPs (see Section B 2 [c] above)

B 4. ACCEPTABILITY OF PROPOSED LINKAGE ACTIVITIES

B 4.(a) Linkage activities must be in any field of international development that relates to the broad objectives outlined in Section A 7 and Appendix 5 of this RFA These include private sector economic growth, democratic initiatives, human resource development and natural resources and management

B.4.(b) A I D 's experience shows that development efforts are enhanced by careful attention to gender issues and the inclusion of women into all phases of programs and projects as participants and beneficiaries Proposed linkages should include plans to integrate gender considerations and women in development wherever possible

B 4.(c) Applicants are encouraged to learn about USAID Mission views and priorities early in the development of their applications Note, however, that applicants should not expect logistical or management support from Missions in carrying out proposed linkage activities

B 5 PROCEDURES

B 5.(a) Only letters of intent are being solicited initially Applications will not be accepted without a letter of intent first being submitted, and will then be accepted only if so invited by A I D

B.5.(b) Letters of intent will be reviewed by A I D for responsiveness to the requirements set forth in Section C 2 of this RFA and for developmental relevancy pursuant to Section B 4 above (see Appendix 11 of this RFA)

B.5.(c) Letters of intent will be reviewed by appropriate A I D personnel in applicable USAID overseas Missions to ensure they 1) are consistent with U S national interests, 2) are in keeping with the Foreign Assistance Act of 1961, as amended, and 3) do not include a DCIHE which has unacceptable characteristics (see Appendix 12 of this RFA)

B.5 (d) Applications will be reviewed by A I D for responsiveness to the requirements set forth in Section C 3 (see Appendix 13 of this RFA)

B 5.(e) Applications will be reviewed by appropriate A I D personnel in applicable USAID overseas Missions for any comments they may wish to make with regard to developmental relevance, harmony with Mission interests/strategies, sustainability, realism of linkage objectives, and evaluation of the DCIHE Characteristics and Capabilities Related to the Linkage portion of the application

B.5.(f) For the first part of a two-tier peer review process, the applications will be sent to mail reviewers selected by the Board on Science and Technology for International Development (BOSTID) of the National Research Council or a similar organization which can mobilize disinterested international development expertise Mail reviewers will evaluate applications according to the criteria set forth in Section D 2 (a)(4) (see Appendix 14 of this RFA)

B.5.(g) In the second part of the two-tier peer review process, applications, the mail review evaluations, and USAID Mission comments, if any, shall be submitted by R&D/UC to an external peer review panel for evaluation according to the criteria set forth in Section D 2 (a)(5) of this RFA The external peer review process will be organized and conducted by the BOSTID or a similar organization which can mobilize disinterested international development expertise Every effort will be made to balance panel membership based on institution size, type, disciplines appropriate to the applications, and international experience Wherever possible, developing country academic representatives will be included

B 5 (h) Peer Review recommendations will be used by R&D/UC in determining a "shortlist" of potential awardees This list will then be sent to the Agreement Officer Upon receipt, the cost/management portion of the application submitted by all such applicants will be screened by the Agreement Officer according to the criteria set forth in Section D 2 (b) of this RFA Technical and cost negotiations will then be conducted by the Agreement Officer, as necessary, with the recommended applicants Those applicants will then be requested, as deemed appropriate by the Agreement Officer in his/her sole discretion, to submit a revised application (or an addendum to the original application)

B.5.(i) The results of the negotiations of the Agreement officer shall be submitted by R&D/UC to the Assistant Administrator of the A I D Bureau for Research and Development (AA/R&D), or his designee, who shall determine, in his/her sole discretion, which revised applications offer the greatest value and are to be funded in FY 1992

B.5 (j) Award of FY 1992 UDLP cooperative agreements will be made by the Agreement Officer in accordance with Section D 4 of this RFA

B 6. FUNDING

B 6.(a) A I D Funding

B.6 (a)(1) A I D funding for cooperative agreements to be awarded under the UDLP will be limited to one-half or less of the funds required for the linkage activity being supported by the cooperative agreement, and will not exceed

- $100,000 per year, for a maximum of five years, when the cooperative agreement is awarded to a sole USIHE, or
- $150,000 per year, for a maximum of five years, when the cooperative agreement is awarded to a consortium involving two USIHEs or consortia thereof (in this case up to $100,000 may be apportioned to the lead USIHE and $50,000 to the participating USIHE), or
- $200,000 per year, for a maximum of five years, when the cooperative agreement is awarded to a consortium involving three or more USIHEs or consortia thereof (in this case up to $100,000 may be apportioned to the lead institution and the remainder apportioned as mutually agreed on by the USIHE participants)

B.6 (a)(2) An application for A I D funding in excess of the limits in Section B 6 (a)(1) above may result in the application being categorized as unacceptable, thereby eliminating it from further consideration

B.6 (a)(3) Cooperative agreements will be funded by A I D incrementally on an annual basis, subject to the terms and conditions of the cooperative agreement (Appendix 1 of this RFA)

B.6 (a)(4) A I D anticipates that up to $1,600,000 will be available to fund UDLP cooperative agreements in FY 1992 If additional funds become available, they will be used to fund additional awards

B 6.(a)(5) Up to 25% of FY 1992 funds will be reserved for cooperative agreements in support of linkage applications from Historically Black Colleges and Universities (HBCUs) For cooperative agreements awarded to a consortium in which an HBCU is participating, only the amount of funds allocable to the HBCU(s) and its developing country institution linkage partner(s) will be included in this reservation

B.6.(a)(6) Indirect costs (overhead) will not be funded by A I D However, indirect costs allocable to both A I D and non-A I D funds may be used to partially fulfill matching requirements (see Section B 6 [b] below)

B.6.(b) Cost-Sharing (Matching)

B 6 (b)(1) To be considered for award of a cooperative agreement, the applicant must match A I D funds on at least a one-to-one basis using non-federal funds or in-kind contributions This cost-sharing or matching must be quantifiable and must be expended specifically for linkage activities (i e , for the specific linkage activities to be described in the application [if invited] and revised application [if requested] and to be conducted under the cooperative agreement, but not for the general internationalization of the USIHE or general strengthening of the developing country institution)

B.6.(b)(2) Paragraph 1L of Appendix 1 of this RFA and the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Cost-Sharing (Matching)," both of which apply to non-federal funds, describe the conditions which must be met for costs to qualify as cost-sharing or matching funds, in addition to those described below To qualify as cost-sharing or matching, please note that in-kind contributions may qualify as cost-sharing or matching funds

B.6 (b)(3) The cost-sharing or matching must include direct costs totalling at least 25% of the A I D funds provided under the cooperative agreement Other expenditures of non-federal funds which can be used for cost-sharing or matching are

- Indirect costs (overhead) up to 50% of the cost-shared or matched amount (note that, since A I D funds cannot be used for the recipient's indirect costs, the recipient's indirect costs allocable to A I D -funded direct costs and recipient-funded direct costs will be borne by the recipient), See section C 3 (c)(2)(C)

- In-kind contributions, including tuition and/or fee waivers, which can be designated, described, and quantified in terms of U S dollars Local currency should be converted to the market exchange rate Note The applicant should refer to the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Cost Sharing (Matching)" for further guidance on in-kind contributions, and

- Direct non-federal third-party contributions

B.6.(b)(4) Applicants are encouraged to exceed the required cost-sharing or matching of this RFA related to using either non-federal or other federal (but non-A I D) funds

B.6 (b) (5) All non-A I D contributions or cost-sharing pledged for the linkage will be considered to be an integral part of the total resources for the linkage Accordingly, the cooperative agreement will require the recipient to provide at least the amount of non-A I D contributions which the recipient may propose To qualify, such funds must be expended as described in Section B 6 (b) (1) above

B 6 (b) (6) The responsibility for providing the proposed non-A I D contributions may be shared amongst the U S and non-U S institutions as the parties may mutually agree

B 7 OTHER CONDITIONS

B 7.(a) Release of Application Data

Data contained in an application, other than financial data, may be made available by A I D under the Freedom of Information Act to interested colleges and universities for use in public workshops, training sessions, and other programs which further university internationalization

B.7 (b) Acceptance Period

Letters of intent, applications, and revised applications offering less than 90 days for acceptance by A I D from the date set for receipt thereof may be considered unacceptable and may be rejected

B 7 (c) Authority to Obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds No costs allocable to the proposed cooperative agreement will be reimbursed by A I D before receipt of either a fully executed cooperative agreement or a specific written authorization from the Agreement Officer

B 7 (d) Order of Precedence

In the event of inconsistencies between the various Sections of this RFA, they shall be resolved by applying the following descending order of precedence (1) Appendix 1 - Cooperative Agreement Format, (2) Section B - RFA Conditions, (3) Section C - Application Instructions, (4) Section D - Review and Evaluation Criteria, (5) Appendices 2-20, and (6) Section A - Program Description

B 7.(e) Cooperative Agreement Award

B 7.(e)(1) A I D will award cooperative agreements resulting from this RFA in accordance with Section D 4 and other relevant terms and conditions of this RFA

B.7.(e)(2) A I D may (A) reject any or all applications, (B) accept other than the lowest cost application, and (C) waive informalities and minor irregularities in applications received

B.7 (e)(3) A I D may award a cooperative agreement on the basis of applications received, without discussions or a request to submit a revised application Therefore, each application should contain the applicant's best terms from a cost and technical standpoint

B 7.(e)(4) A written award mailed or otherwise furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a binding cooperative agreement Before the application's specified expiration time, A I D may accept a full application whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award Negotiations conducted after receipt of an application do not constitute a rejection or counter-offer by A I D

SECTION C

APPLICATION INSTRUCTIONS

C.1 (e) Submission of Applications

C.1 (e)(1) Letters of intent, applications, and revised applications, and modifications thereof, shall be submitted in sealed envelopes or packages (A) addressed to the office specified in the Cover Letter of this RFA, and (B) showing the time specified for receipt, the RFA number, and the name and address of the applicant

C 1 (e)(2) Telegraphic or facsimile letters of intent and applications are not authorized for this RFA and will not be accepted Revised applications may be authorized for submission by facsimile at the sole discretion of the A I D Agreement Officer

C.1.(e)(3) Letters of intent, applications, and revised applications may be modified by written, telegraphic, or facsimile notice, if that notice is received by the time specified for receipt of applications

C.1 (f) Late Submissions, Modifications, and Withdrawals of Applications

C 1 (f)(1) Any letter of intent, application, or revised application received at the office designated in the Cover Letter of this RFA after the exact time specified for receipt will not be considered unless it is received before award is made and it

- Was sent by registered or certified mail not later than the fifth calendar day before the date specified for receipt of the letter of intent, application or revised application (e g , a letter of intent submitted in response to an RFA requiring receipt of letters of intent by the 20th of the month must have been mailed by the 15th),

- Was sent by mail and it is determined by the Government that the late receipt was due solely to mishandling by the Government after receipt at the Government installation, or

- Was sent by U S Postal Service Express Mail Next Day Service - Post Office to Addressee, not later than 5 00 p m at the place of mailing two working days prior to the date specified for receipt of letters of intent, applications, or revised applications The term "working days" excludes weekends and U S Federal holidays

SECTION C

APPLICATION INSTRUCTIONS

C.1. GENERAL INSTRUCTIONS

C.1.(a) Preparation of Applications

C.1 (a)(1) Each applicant shall furnish the information required by this RFA The applicant shall sign the letter of intent, the application, and the revised application, and print or type his/her name on the Face Sheet of each Erasures or other changes must be initialed by the person signing Letters of intent and applications signed by an agent shall be accompanied by evidence of that agent's authority

C.1 (a)(2) Letters of intent, applications, and revised applications must be directly responsive to the terms, conditions, specifications, and provisions of this RFA Letters of intent, applications, and revised applications not conforming to this RFA may be categorized as unacceptable, thereby eliminating them from further consideration

C 1.(b) Unnecessarily Elaborate Applications

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective letter of intent, or application, or revised application in response to this RFA are not desired, and may be construed as an indication of the applicant's lack of cost consciousness Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted

C 1.(c) Acknowledgement of Amendments To This RFA

C 1 (c)(1) If this RFA is amended, then all terms and conditions which are not modified remain unchanged

C.1 (c)(2) Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment A I D must receive the acknowledgment by the time specified in the amendment

C.1 (d) Receipt of Applications

Letters of intent, applications, and revised applications must be received at the place designated, by the date and time specified, in the cover letter of this RFA

C 1 (f)(2) Any modification of a letter of intent or application, except a modification resulting from the Agreement Officer's request for a revised application, is subject to the same conditions as in Section C 1 (f)(1)

C 1.(f)(3) The only acceptable evidence to establish the date of mailing of a late letter of intent, application, or revised application, or modification thereof, sent either by U S Postal Service registered or certified mail is the U S Postal Service postmark both on the envelope or wrapper and on the original receipt from the U S Postal Service Both postmarks must show a legible date or the letter of intent, application, or revised application, or modification thereof, shall be processed as if mailed late "Postmark" means a printed, stamped, or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable without further action as having been supplied and affixed by employees of the U S Postal Service on the date of mailing Therefore, applicants should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper

C.1 (f)(4) The only acceptable evidence to establish the time of receipt at the A I D office specified in the Cover Letter of this RFA is the time/date stamp of that office on the letter of intent, application, or revised application wrapper or other documentary evidence of receipt maintained by that office

C.1 (f)(5) The only acceptable evidence to establish the date of mailing of a late letter of intent, application, revised application, modification, or withdrawal sent by Express Mail Next Day Service - Post Office to Addressee is the date entered by the post office receiving clerk on the "Express Mail Next Day Service - Post Office to Addressee" label and the postmark on both the envelope or wrapper and on the original receipt from the U S Postal Service "Postmark" has the same meaning as defined in Section C 1 (f)(3) above Therefore, applicants should request the postal clerk to place a legible hand cancellation bull's eye postmark on both the receipt and the envelope or wrapper

C.1.(f)(6) Notwithstanding Section C 1 (f)(1) above, a late modification of an otherwise successful letter of intent, application, or revised application that improves its value will be considered at any time it is received and may be accepted

C 1.(f)(7) Letters of intent, applications, or revised applications may be withdrawn by written notice or telegram (including mailgram) received by the Office designated in the Cover Letter of this RFA at any time before award of a cooperative agreement Revised applications, if facsimile submission is authorized by the Agreement Officer (see Section C 1 [e] above), may be withdrawn via facsimile received at any time before award Letters of intent, applications, and revised applications may be withdrawn in person by an applicant or an authorized representative, if the representative's identity is made known and the representative signs a receipt for the letter of intent, application, or revised application before award of the cooperative agreement

C.1 (g) Explanation to Prospective Applicants

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing soon enough to allow a reply to reach all prospective applicants before the submission of their letters of intent, applications, or revised applications Oral explanations or instructions given before award of the cooperative agreement will not be binding Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants if that information is necessary in submitting letters of intent, applications, or revised applications if the lack of it would be prejudicial to any other prospective applicants

C 2 INSTRUCTIONS FOR LETTERS OF INTENT

C 2 (a) Additional details pertaining to the UDLP are outlined in the cover letter of this RFA to assist the applicant in providing all information required for evaluation of the letters of intent The letters of intent will be evaluated for acceptability in accordance with Section D 1 of this RFA If a letter of intent is determined by A I D to be acceptable, the applicant will be invited to submit an application

C.2.(b) Only one letter of intent per USIHE as a lead institution shall be submitted Multiple letters of intent from any one USIHE may lead to rejection of all letters of intent from that USIHE

C.2.(c) Five copies of the letter of intent must be submitted

C.2.(d) Letters of Intent will consist of a face sheet and no more than three (3) single spaced typed (10 or 12 pitch only), 8½" X 11" pages These 3 (three) pages will make up the body of the letter of intent

C.2.(e) The applicant shall follow the instructions, and supply all information required below (other information should not be appended or attached to the letter of intent) Failure to provide all information may result in the letter of intent being categorized as unacceptable, thereby eliminating it from further consideration (see Appendix 11 of this RFA) Letters of intent must comply with Section C 1 above, and must be indicative of concepts which will be more fully articulated in applications (see Section C 3 [a][7] below)

C 2.(f) The letter of intent shall begin with a face sheet (see Appendix 6 of this RFA) which must include

- Name of the applicant institution,
- Name of the lead institution (if different from the applicant institution),
- Contact person for the reply to the letter of intent,
- Name and location of all participating U S institution(s) (other than applicant and lead mentioned above),
- Developing country(ies) where linked developing country institutions are located,
- Name and location of all participating developing country institutions,
- Linkage project title (one descriptive sentence),
- The subject matter, field or discipline(s)/sector(s) of the linkage activities to be undertaken, and
- Signature, name and title of the person authorized to commit applicant institution internationally (e g , Academic Vice President or equivalent)

C.2.(g) The <u>body</u> of the letter of intent, not to exceed three pages, must provide

- A section labeled "Rationale" which describes the rationale for undertaking this linkage Include the objectives of the linkage and activities within each objective along with anticipated outcomes
- A section labeled "Benefits" which describes the expected benefits to the linked institutions

- A section labeled "Sustainability" which describes how it is envisioned that the proposed linkage will be sustained after 5 years?

- A statement certifying that the DCIHE linkage partner(s) is eligible under the criteria set forth in Sections B 1 (c) and B 3 of this RFA, and

- An acknowledgement of accepting the need to provide matching funds

C.3 INSTRUCTIONS FOR APPLICATIONS

C 3.(a) General Instructions for Applications

C 3 (a)(1) An application shall only be submitted upon invitation from the Agreement Officer, and if invited, shall be submitted in two separate parts (1) technical, and (2) cost/management

C 3 (a)(2) Only one application per USIHE as a lead institution will be invited

C 3.(a)(3) Fifteen (15) copies of the technical portion and five (5) copies of the cost/management portion must be submitted

C 3 (a)(4) The applicant, upon invitation from the Agreement Officer to submit an application, shall follow the instructions, and supply all information required below for the technical and cost/management volumes of the application PLEASE NOTE THAT AN APPLICATION IS TO BE SUBMITTED ONLY UPON INVITATION FROM THE AGREEMENT OFFICER TO DO SO Additional details pertaining to the UDLP are outlined in the cover letter of this RFA, to assist the applicant in providing all information required for evaluation of the application Failure to provide all information may result in the application being categorized as unacceptable, thereby eliminating it from further consideration

C.3 (a)(5) The application shall only be stapled and/or clipped, not bound

C.3 (a)(6) The application must comply with Section C 1 above Applicants must set forth full, accurate, and complete information as required by this RFA The penalty for making false statements in applications to the U S Government is prescribed in 18 U S C 1001

C 3 (a)(7) The application must be consistent with the concepts set forth in the letter of intent which was the basis for the Agreement Officer to invite submission of an application No new USIHE or DCIHE linkage participants may be added to those which were specified on the face sheet of the letter of intent

C.3 (b) Specific Instructions for the Technical Portion of Applications

C.3.(b)(1) Overview

The technical portion of the application will be of key importance in consideration for award of UDLP cooperative agreements It should be specific, complete, and presented concisely Applicants are advised that lack of completeness, or superficiality, in the technical portion of the application may constitute grounds for excluding the application from further consideration The technical portion of the application must set forth in detail the applicant's conceptual approach, methodology, procedures, and activities for the accomplishment of the stated objectives

The technical portion of the application shall consist of a face sheet, an executive summary, the body of the application, and supporting documentation affixed as annexes The body of the application will consist of three major sections describing (I) The Linkage, (II) USIHE Institutional Characteristics and Capabilities Related to the Linkage, and (III) Developing Country Institution Characteristics and Capabilities Related to the Linkage It must have a well thought out workplan (strategy) for achieving program objectives, and an implementation plan showing when activities will be conducted (appended to the technical portion as Appendices 2 and 3)

C 3.(b)(2) The technical portion of the application will be evaluated for technical merit in accordance with Section D 2 (a) of this RFA The technical portion of the application, as modified by the revised application (if requested), will be incorporated into the awarded cooperative agreements of the selected applicants

C.3.(b)(3) Application Face Sheet

The application shall begin with a face sheet (see Appendix 8 of this RFA) which must include

- Name of the applicant institution,
- Name of the lead institution (if different from the applicant institution),
- Name, title, address, telephone number and fax number of the Principal Investigator/Project Director,
- Name, title, address, telephone number and fax number of the primary person authorized to negotiate with the A I D Contracting Officer,

- Name and location of all participating U S institution(s) (other than applicant and lead mentioned above),
- Developing country(ies) where linked developing country institutions are located,
- Name and location of all participating developing country institutions,
- Linkage project title (one descriptive sentence),
- The subject matter, field or discipline(s)/sector(s) of the linkage activities to be undertaken, and
- Signature, name and title of the person authorized to commit applicant institution internationally (e g , Academic Vice President or equivalent)

C 3 (b)(4) Executive Summary

The technical portion of the application shall include an Executive Summary which may not exceed four single-spaced (10 or 12 pitch only) typed 8½" X 11" pages

C 3.(b)(5) The Body of the Application

The maximum length of the body of the technical portion of the application shall not exceed twenty-five (25) typed (10 or 12 pitch only) 8½" X 11" pages, excluding the Face Sheet described in Section C 3 (b)(3) above, the Executive Summary described in Section C 3 (b)(4) above, the annexes described in Section C 3 (b)(7) below, and the cost/management portion of the application described in Section C 3 (c) below

C 3 (b)(6) The body of the technical portion of the application must be divided into sections corresponding to and labeled as described throughout Section C 3 (b)(6) (see Appendix 7 of this RFA) The relative order of importance of the technical evaluation criteria described in section D 2 (a)(4) is indicated by approximate weighing, so that applicants will know which areas require emphasis in the preparation of the body of the technical portion of applications Failure to furnish all information may disqualify or reduce competitiveness of an applicant The body of the technical portion of the application must include the following

C 3 (b)(6)(A) Section I - The Linkage

The body of the technical portion of the application shall include a section labeled "Section I - The Linkage," which must include

C.3.(b)(6)(A)(i) A Rationale Section I of the technical portion of the application shall include a subsection labeled "A Rationale" which must

- Be explicit about the development issue(s) on which the applicant has decided to focus, and how the linkage will address this issue(s)
- Define, in realistic terms, what the institutions expect to accomplish through this linkage, and how the linkage will further the USIHE's (s') internationalization endeavors and increase the capacity of the developing country institution(s) in meeting its (their) community/societal needs and development goals
- Explain how the project is of value, both in terms of development issues and in terms of the benefit to the institutions involved
- Clearly and adequately describe how the linkage will draw on and enhance the strengths of each institution involved
- Identify benefits that are greater than those that might be achieved by the institutions separately

C 3.(b)(6)(A)(ii) B Implementation and Management Section I of the technical portion of the application shall include a subsection labeled "B Implementation and Management" which must

- Clearly describe the major specific objectives of the linkage, and detail a series of specific activities and outcomes which will lead to the accomplishment of these objectives Note that, while the objectives of the UDLP are to support the internationalization of USIHEs and the strengthening of developing country institution capabilities, the specific objectives of the linkage must be more narrowly articulated
- Outline a management plan for effective implementation of the linkage, including program, management and administration, and coordination processes, identify types and quantities of expected outcomes or achievements, describe how the applicant will be able to measure them, and when they will be accomplished

- Describe the timing, location(s), and duration of project activities, to include time frames for project activities and major milestones

- Define the nature and level of specific resources (personnel, institutional, financial, equipment, etc) needed to conduct project activities, and explain where these inputs will come from To the extent the linkage anticipates involving other institutions and organizations as participants and/or contributors, the plan for obtaining their participation should be outlined

- Discuss the extent to which the consideration of gender issues and Women in Development are relevant to the proposed linkage To the extent that gender issues are relevant, describe how this linkage has been designed to address them Also, describe any steps that have been taken to increase the inclusion of women as both beneficiaries and participants in linkage activities

- Indicate which individuals, departments, and institutions will be responsible for which functions, describe the nature and level of staff support which will be available from other parts of the institution(s), set forth the division of responsibility amongst various parts of the linked institutions, and assure a level of effort which is sufficient to conduct the activities described

C.3 (b)(6)(A)(iii) C Monitoring and Evaluation Section I of the technical portion of the application shall include a subsection labeled "C Monitoring and Evaluation" which must

- Describe the applicant's plan for monitoring and evaluating the anticipated accomplishments

- Describe in sufficiently measurable terms the indicators which the applicant has formulated to assess project performance, and demonstrate that they are appropriate and adequate for determining progress in attainment of linkage objectives

- Adequately define quantitative and qualitative criteria to be used for evaluating the success of the linkage project, and demonstrate that these criteria are appropriate in terms of linkage activities

C.3.(b)(6)(A)(iv) D Sustainability Section I of the technical portion of the application shall include a subsection labeled "D Sustainability" which must

- Describe all participants and the means of attracting them, and demonstrate how resources will be leveraged to ensure the endurance and sustainability of the linkage
- Describe how the financing of this linkage will be provided after the fifth year, including sources, existing commitments, level of support planned
- Describe the applicant's plans, if any, for forming collaborative projects with the private sector, nongovernmental organizations, private voluntary organizations, etc
- Indicate any additional financial resources above the required 1 1 match that will be added to this linkage by the participants or cooperating entities
- Demonstrate that all stakeholders will be involved with each other from the outset of the linkage (e g , annual meetings), and outputs (benefits) will be valued by all linkage partners

C.3.(b)(6)(B) Section II - USIHE Institutional Characteristics and Capabilities Related to the Linkage

The body of the technical portion of the application shall include a section labeled "Section II - USIHE Institutional Characteristics and Capabilities Related to the Linkage" which provides an overview describing institution-wide internationalization activities and how this proposed linkage will relate to them The overview should describe the way the institution is organized for international programs, what office is responsible and how this linkage relates to that point of responsibility Describe briefly the Institutional Administrative Policy Commitment, Faculty Commitment, Resource Commitment, Public Support, and Academic Programs as they relate to this endeavor

The technical portion of the application must describe explicit and verifiable institutional characteristics of each USIHE as they relate to the linkage Applicants are urged to append documented information from their institutions which verifies and supports the description provided in this section of the application (see Section C 3 [b] [7] [E])

C.3 (b) (6) (C) Section III - Developing Country Institution Characteristics and Capabilities Related to the Linkage

The body of the technical portion of the application shall include a section labeled "Section III - Developing Country Institution Characteristics and Capabilities Related to the Linkage" which must provide an overview of the developing country institution's(s') commitment to, and resources for, a sustainable international partnership The technical portion of the application must describe the developing country policies and the developing country institution's(s') policies and programs which relate to its (their) capacity to enter into a sustainable relationship with the USIHE(s) in meeting or furthering the development needs of its (their) community or society Applicants should provide statements which describe Administrative Policy Commitment, Faculty Commitment, Resource Commitment, Outreach Activities, Public Support, Academic Programs, and Societal Context in which the DCIHE Operates, such as

- The developing country's development needs as they relate to the planned linkage,
- The ability of the developing country institution(s) to address these problems,
- The role of the developing country institution(s) in the country's development process, and the development it (they) seek(s) to address,
- The developmental environment in which the institution(s) operate(s), and its (their) role in that environment,
- The contribution the institution(s) is (are) now making, and plan(s) to make, to the country's development objectives

C.3.(b) (7) Annexes

The technical portion of the application shall, in addition to the face sheet and executive summary described in Sections C 3 (b)(3) and C 3 (b)(4) above, and the body of the application described in Sections C 3 (b)(5), and C 3 (b)(6) above, include the following annexes

C 3.(b)(7)(A) Annex 1 - Institutional Concurrences

Demonstrate the concurrence of all participating institutions A high level, responsible administrator (such as the Academic Vice President or equivalent) of each participating institution (including developing country institution[s]) must provide written evidence of general agreement with the application The applicant and the developing country partner(s) must have all required institutional and government authorities to conduct the linkage activities

C.3 (b)(7)(B) Annex 2 - Workplan

In a workplan format (see Appendix 9 of this RFA), the applicant must outline its proposed goals, purposes, objectives, activities, anticipated outcomes and the resources and inputs required

C 3.(b)(7)(C) Annex 3 - Implementation Plan

In a calendar format (see Appendix 10 of this RFA), present a well developed time phased plan, showing the timing and duration for major linkage activities and anticipated milestones

C.3.(b)(7)(D) Annex 4 - Personnel Qualifications and Utilization

Provide sufficient information concerning the person designated to head the project, designate any other key personnel, and demonstrate that these personnel are qualified for their duties As an annex to the technical portion of the application, the applicant shall describe the role of each individual to be involved in the linkage, including the amount of time each will devote to the program A complete and current resume or CV for key U S and developing country personnel, including pertinent bibliographies, shall be included Resumes or CVs shall be submitted for key personnel only, and shall be limited to a maximum of five (5) pages each The names and experience of important managerial and technical personnel to be assigned to this program shall also be included Indicate the total staff which will be required and discuss in the body of the technical portion of the application (see Section C 3 [b][6][A][ii] above) how the applicant proposes to administer the cooperative agreement

C.3.(b)(7)(E) Annex 5 - Supporting Documentation for USIHE Characteristics and Capabilities Relating to the Linkage

Each participating USIHE should append any written materials verifying and supporting the description of the USIHE Institutional Characteristics and Capabilities Related to the Linkage provided in Section II of the application (see Section C 3 [b][6][B] above) However, none of the appended materials should be specifically produced for this application, but, instead, should be drawn from existing documents and/or correspondence

C 3.(b)(7)(F) Annex 6 - Supplies and Equipment

As an annex to the technical portion of the application, the applicant must provide a list of supplies and a list of nonexpendable equipment anticipated to be required by the participating institutions for conducting the linkage activities This list must include types and quantities of supplies and equipment, the method of acquiring such items (purchase, lease, existing excess capacity), and the planned year for purchase or lease The applicant should also identify the probable source and origin of goods and equipment to be purchased, the percentage of U S componentry in each, and the probable nationality of the suppliers of the goods and equipment Applicants are encouraged to seek A I D 's assistance in utilizing government owned/warehoused equipment and furniture in lieu of purchasing new equipment This will enable A I D to seek any necessary waivers to its source, origin, componentry, and/or nationality requirements (see paragraph 1G of Appendix 1 of this RFA) early in the implementation stage of the cooperative agreement (see also paragraph 12 of Appendix 18 of this RFA and Sections C 3 [c][3][E] and C 3 [c][3][G][xii] below) This annex must distinguish between nonexpendable equipment (see Sections C 3 [c][2][F] and C 3 [c][3][E][ii] below) and expendable supplies and materials (see Section C 3 [c][2][H] below)

C.3.(b)(7)(G) Research Involving Recombinant DNA

If the linkage activities include research involving recombinant DNA, the applicant must, in an annex to the technical portion of the application, describe its familiarity, and procedures used for compliance, with (1) the National Institutes of Health Guidelines for Research Involving Recombinant DNA Molecules, (ii) procedures issued by the USDA, EPA, or other appropriate Federal agency regarding testing of genetically engineered organisms, (iii) A I D 's environmental procedures, and (iv) such other Federal guidelines and procedures as may apply during the course of the research to be undertaken (see paragraph 1I 2 of Appendix 1 of this RFA)

C.3.(b)(7)(H) Research Involving Laboratory Animals

If the linkage activities include research involving laboratory animals, the applicant shall describe how it will ensure compliance with the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Care of Laboratory Animals " The applicant must submit, as an annex to the technical portion of the application, evidence of registration with the Secretary of Agriculture of the United States, as required by paragraph (a) of said standard provision This annex to the technical portion of the application will satisfy the documentation requirements of paragraph 6 of Appendix 18 of this RFA (see also Section C 3 [c] [3] [G] [vi] below)

C.3.(b)(7)(I) Research Involving Human Subjects

If the linkage activities include research involving human subjects, the applicant shall include, as an annex to the technical portion of the full application, a written statement of compliance with the requirements of 45 CFR Part 46 regarding initial and continuing review of research involving human subjects, and a description of the applicant's review committee structure, its review procedures, and the facilities and personnel available to protect the health and safety of human subjects If the research involves studies in the U S with unmarketed drugs, the applicant will also indicate whether the Food and Drug Administration has waived the requirement of 21 CFR Subpart 312 1(a) for a 30-day interval or whether the 30-day interval has elapsed, and whether the Food and Drug Administration has requested the applicant to limit the use of such drugs This annex to the technical portion of the full application will satisfy the documentation requirements paragraph 5 of Appendix 18 of this RFA (see also Section C 3 [c] [3] [G] [v] below)

C.3.(b)(7)(J) Family Planning Activities

If the linkage activities include family planning activities, the applicant must describe, in an annex to the technical portion of the application, the efforts made by the applicant to verify the certification and agreement of any foreign nongovernmental organization involved in the linkage, as required by the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Voluntary Population Planning," that the foreign nongovernmental organization does not perform or actively promote abortion as a method of family planning in A I D recipient countries, and does not provide financial support to any other foreign nongovernmental organization that conducts such activities Because foreign nongovernmental organizations shall not be considered separate for the purposes of determining eligibility to act as subcontractors or subrecipients on family planning activities if one is controlled by the other, the

applicant must also submit written justification demonstrating how and why the family planning activities of the organizations are sufficiently distinct as to warrant not imputing the activity of one to the other, if applicable This annex to the technical portion of the application will satisfy the documentation requirements of paragraph 7 of Appendix 18 of this RFA (see also Section C 3 [c] [3] [G] [vii] below)

C.3 (c) Specific Instructions for the Cost/Management Portion of Applications

C 3.(c)(1) The cost/management portion of the applications will be evaluated in accordance with Section D 2 (b) of this RFA

C 3.(c)(2) Cost Information

The cost/management portion of the application must provide, in detail, a line item budget (using the line items discussed below) which sets forth separately, for each of the specific linkage objectives (see Section C 3 [b] [6] [A] [ii] above), the basis for proposed estimated costs for each year of the proposed linkage, including A I D , cost-sharing (matching) required by Section B 6 (b) of this RFA, and any other non-A I D contributions which are proposed to be expended in furtherance of the program (see Sections B 6 [b] [4] and B 6 [b] [5] of this RFA) See Sections B 6 (a)(1) and B 6 (a)(2) of this RFA regarding the amount of A I D funding which may be requested The budget shall contain a separate column for each source of funds and a column for total program costs, and identify each source of funds It shall include whatever schedules are necessary to adequately support and/or explain proposed costs It is recognized that it may be difficult for the applicant to project actual needs and costs Accordingly, estimates, based on assumptions, are acceptable However, the applicant must indicate the basis of the estimate (e g , prior experience, market surveys, quotes, etc), and/or the assumption on which the estimate is based, in order to permit the Agreement Officer to determine whether estimated costs are fair and reasonable, allowable, and realistic Please note that the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Revision of Grant Budget" conveys a great deal of flexibility to the recipient of a cooperative agreement to make budget adjustments during the cooperative agreement period without the need to obtain prior A I D approval Information to be provided includes, at a minimum

C 3 (c)(2)(A) Direct Salaries and Wages

C.3 (c)(2)(A)(i) A detailed analysis of level of effort, including the position titles, names of proposed individuals to fill each position (if known), number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total direct salaries and wages Anticipated salary increases during the term of the cooperative agreement may be included, but the percentage of increase and the anticipated date of increase must be specified The level of effort analysis must be consistent with the annex to the technical portion of the full application described in Section C 3 (b)(7)(D) above

C.3.(c)(2)(A)(ii) Salaries and wages of developing country personnel are permitted under the cooperative agreement (Appendix 1 of this RFA) As an annex to the cost/management portion of the application, an "Employee Biographical Data Sheet" (Form AID 1420-17) (see Appendix 15 of this RFA) for each identified faculty or non-clerical and non-student staff member in the developing country whose compensation will be charged as a direct cost to the cooperative agreement should be provided The applicant should reproduce additional copies as necessary The form must be signed by the individual and the applicant in the appropriate spaces, front and back, with all blocks completed The position titles must be consistent with the budget If a salary is for less than 12 months, please indicate the period for which it is applicable (e g , 9 months)

C.3.(c)(2)(A)(iii) Estimated costs of direct salaries and wages must be in accordance with Section J 6 of OMB Circular A-21, which, inter alia, states that " charges for work performed on sponsored agreements will be based on the individual['s] regular compensation for the continuous period which, under the policy of the institution concerned, constitutes the basis of his salary Charges for work performed on sponsored agreements are allowable at the base salary rate In no event will charges to sponsored agreements, irrespective of the basis of computation, exceed the proportionate share of the base salary "

C 3 (c)(2)(A)(iv) For the purposes of this program, A I D is requesting that reimbursement of salaries and wages may exceed, without specific prior written approval of the Agreement Officer, the maximum rate for a Foreign Service Officer, Class I (FS-1) The maximum rate is based on a 2,087 hour work-year, including paid absences The current maximum rate for a FS-1 is $83,502 per annum or $320 08 per day

C.3.(c)(2)(B) Fringe Benefits

C.3.(c)(2)(B)(i) Fringe benefits, if not included in direct labor or indirect costs, shall be shown as a percentage of salaries, and shall indicate the individuals to whom the fringe benefit rate(s) apply, the salary of each individual, the total fringe benefit costs for each individual, and the total fringe benefits

C.3.(c)(2)(B)(ii) Unless the negotiated indirect cost rate agreement (NICRA) (see Section C 3 [c][2][C][iii] below) specifies the fringe benefit rate(s), the proposed rate(s) shall be supported by a detailed breakdown comprised of all items of fringe benefits (e g , unemployment insurance, retirement, workers compensation, health and life insurance, FICA, etc) and the costs of each, expressed in dollars and as a percentage of salaries

C 3 (c)(2)(B)(iii) The applicant shall also indicate the number of days included in its direct salary year for nonacademic employees, or, for academic employees, the number of months in each individual's academic year appointment period, as well as the number of paid absence days allowed by the college or university's established personnel practices and policies (see Section C 3 [c][3][C] below) If the applicant, under its approved accounting procedures, does not recover paid absences as a direct salary cost, the applicant's direct labor year might then be less than 2,087 hours, which is the work-year on which the FS-1 salary limitation (discussed under Section C 3 [c][2][A][iv] above) is based In such instances, direct salary and paid absences should not exceed the FS-1 limitation on annual salaries

C.3 (c)(2)(C) Indirect Costs (Overhead)

C.3.(c)(2)(C)(i) Estimated indirect costs shall be in accordance with OMB Circular A-21 and the standard provisions set forth in Attachment 3 of Appendix 1 of this RFA entitled "Negotiated Indirect Cost Rates - Provisional" and, if applicable, "Negotiated Indirect Cost Rates - Predetermined " Additionally, overhead amounts or percentages may not be charged against A I D funds provided under this cooperative agreement Applicants may, however, charge overhead to the funds which they cost-share or match under this agreement, provided that the portion of matching funds used for overhead does not exceed 50% of the total amount of matching funds or cost-sharing contributed by an applicant See C 3 [c][2][C][vii] below)

C 3 (c)(2)(C)(ii) The budget shall be structured in such a way as to permit easy identification and application of on-campus and off-campus rates, if applicable, the base to which the rate(s) is (are) applied, and the applicant's fiscal year (e g , October 1 through September 30)

C.3 (c)(2)(C)(iii) To substantiate the rate(s) and the base(s) of application, the applicant must submit, as an annex to the cost/management portion of the application, a copy of its current negotiated indirect cost rate agreement (NICRA), signed by the cognizant U S Government audit agency (e g , the Department of Health and Human Services)

C.3 (c)(2)(C)(iv) If the applicant does not have a negotiated indirect cost rate agreement, the applicant must submit sufficient information to allow A I D to determine the reasonableness of the rates without a full-scale pre-award audit (e g , a breakdown of labor bases and overhead pools, the method of determining the rate, annual financial statements, etc)

C.3.(c)(2)(C)(v) Unless the subject is addressed in the negotiated indirect cost rate agreement, the applicant must describe when the on-campus rate vs the off-campus rate is applied

C.3.(c)(2)(C)(vi) The applicant shall provide, if not included in the negotiated indirect cost rate agreement, the name and address of the cognizant U S Government Audit Agency, and the name and telephone number of the cognizant auditor, if applicable

C.3.(c)(2)(C)(vii) A I D funds may not be used for indirect costs (see Section B 6 of this RFA) However, the recipient will still incur indirect costs allocable to the direct cost being funded by A I D to which the recipient's indirect cost rate is normally applied Thus, the applicant must absorb all of the indirect costs allocable to such direct costs being funded by A I D The budget must therefore include such indirect costs, distributed amongst the non-A I D fund sources, as applicable Because of this, Principal Investigators and Project Directors should ensure that their contracts and grants and/or business or finance offices are in agreement to absorb part or all of the indirect costs allocable to the direct costs being funded by A I D In no event may the portion of matching funds used for overhead exceed 50% of the total amount of matching funds or cost-sharing contributed by an applicant

C 3 (c)(2)(D) Consultants

There shall be no compensation for consultants under these cooperative agreements There is a distinction between a consultant and an employee of the applicant (or a subcontractor or sub-grantee of the applicant) A consultant is an individual acting as an independent self-employed person, or as an employee of another organization

C.3 (c)(2)(E) Travel, Transportation, and Per Diem

C 3 (c)(2)(E)(i) Estimated travel and transportation costs shall be in accordance with the standard provisions set forth in Attachment 3 of Appendix 1 of this RFA entitled "Air Travel and Transportation" and "Ocean Shipment of Goods," and Sections J 42 and J 43 of OMB Circular A-21

C 3.(c)(2)(E)(ii) The budget shall specify, for each traveler, the itinerary (in terms of locations, and, if possible, dates), the estimated air fares (A I D will only reimburse the costs of less-than-first-class travel), any transportation (e g , excess baggage) costs (to include the weights, mode of transportation [air, vessel], and unit prices), and the subtotal of all travel and transportation costs

C 3.(c)(2)(E)(iii) Estimated lodging and subsistence costs may not exceed the U S Government per diem rates set forth in A I D Handbook 22 and/or the applicant's established policies and practices, and should specify, for each traveler and for each trip, the location(s), the number of days in each location, the daily rate for each location, and the total lodging and subsistence costs The lodging and subsistence costs must be consistent with the travel itinerary and the number of work days

C 3 (c)(2)(E)(iv) For miscellaneous travel expenses such as ground transportation/taxis, airport taxes/transfers, or in-country travel, the basis for the estimate must be indicated, rather than a lump-sum amount For example, ground transportation/taxis might be $100, based on 2 round-trips @ $50, airport taxes/transfers might be $40, based on 2 round-trips @ $20, and in-country travel might be $500, based on 20 days @ $25

C 3.(c)(2)(E)(v) The budget must distinguish between domestic (U S) and international travel

C 3.(c)(2)(E)(vi) The budget shall also include the total travel, transportation, and per diem costs

C.3.(c)(2)(E)(vii) Please note that Section J 43 f of OMB Circular A-21 stipulates that expenditures for domestic travel will not be allowed if they exceed the amount specified in the budget by more than 25% or $500, whichever is greater, unless approved in advance by A I D

C.3.(c)(2)(E)(viii) Please note that Section J 43 e of OMB Circular A-21 and the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Air Travel and Transportation" require prior approval by the A I D Project Officer for all international travel

C.3.(c)(2)(F) Nonexpendable Equipment and Other Capital Expenditures

C.3.(c)(2)(F)(i) The budget should indicate the type(s) of equipment, quantity of each, estimated unit price for each, and total amount (and must be consistent with Section C 3 [b][7][F] above), and should also justify the need to purchase the proposed equipment with cooperative agreement funds (other options, such as leasing instead of purchasing, or using non-A I D funds, should be explored and discussed in the application) Because, in most cases, the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Procurement of Goods and Services" requires the recipient to solicit competitive bids for equipment purchases, the budget should identify the equipment with generic, rather than brand-name, descriptions

C.3.(c)(2)(F)(ii) Please note that nonexpendable equipment is separate and distinct from expendable supplies and materials, and nonexpendable equipment should be included as its own budget line item (expendable supplies should be included under the "Other Direct Costs" budget line item, which is discussed in Section C 3 [c][2][H] below)

C.3 (c)(2)(G) Participant Training

Training conducted in the United States or third countries under the linkage is subject to A I D 's regulations as defined in Handbook 10, Participant Training However, in view of the close institutional ties envisaged, applicants are encouraged to find ways to cut costs without reducing quality

C 3 (c)(2)(G)(i) Participant training is defined as the training of a developing country individual outside of his/her country It includes both academic and non-academic training, as well as both short-term and long-term training Pursuant to the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Participant Training," if participant training is to be conducted under the cooperative agreement, the applicant must comply with A I D Handbook 10 Handbook 10 may be obtained by submitting a written request to FA/AS/ISS, Room 1200A, SA-14, Agency for International Development, Washington, D C 20523-1413 (FAX 703-875-1315)

C.3 (c)(2)(G)(ii) A participant training management system entitled "Training Cost Analysis (TCA)" requires the applicant to submit a TCA Proposal Worksheet (Form AID 1382-11 [6/88]) (see Appendix 16 of this RFA) for the participant training component (including associated administrative costs) of the overall budget, if applicable Copies of this and accompanying forms are included as Appendix 16 of this RFA

C.3 (c)(2)(G)(iii) It should be noted that Handbook 10 must be consistently applied with respect to allowances (maintenance, books, typing, etc) for the participants (see Chapter 11 of Handbook 10) For budgeting living/maintenance allowances or per diem permitted by Handbook 10 this allowance may be divided into three general categories

- <u>Training Lasting Longer Than 150 Days</u> - For the first thirty days, each participant receives $65 per night, unless training is in an OIT-designated High Cost City As an attachment to Appendix 16 of this RFA, there is a listing of such cities, and the corresponding rates, as Attachment 3 set forth in the Handbook transmittal memorandum Number 10 136 dated December 6, 1991 These rates are amended from time-to-time Please note that after 9 nights and for up to an additional 21 nights in a designated High Cost City, the rates are reduced by $15 per night, and only if the participant is still housed in high-cost temporary housing, i e , a hotel (otherwise, the rate is reduced to $65) After 30 days, <u>graduate students and other students when student housing is not provided by the training institution</u> receive a monthly maintenance allowance, based on the specific location where the training is being conducted These rates are set forth in Attachment 11D of A I D Handbook 10 The rates as of December 6, 1991 are included as an attachment to Appendix 16 of this RFA These rates are also amended from time-to-time However, <u>undergraduate participants living on-campus and participating in meal plans</u> do not receive the standard monthly maintenance allowance Instead, actual room and board fees of the training

institution should be paid, and the participant is paid a monthly supplemental allowance, as follows (as of September 1, 1991)

If the Standard Monthly Maintenance Allowance is Between	The Monthly Supplemental Allowance Is
$732 - $784	$212
$790 - $814	$219
$825 - $861	$225
$866 - $897	$254
$902 and over	$260

Eligible undergraduates who do not use available student housing and meal plans are to be provided the equivalent amount of money that would be charged by the training institution, plus the monthly supplemental allowance described above However, at any time the participant is unable to stay in student housing (e g , summers and break periods), the standard monthly maintenance allowance is paid

In cases where meals are not available but rooms are, the actual room charges of the college or university plus 40% of the applicable standard monthly maintenance allowance should be paid, up to a maximum of $260 per month In addition, the participant receives the applicable monthly supplemental allowance

In addition, the undergraduate participant whose meal plan does not cover Saturday and Sunday receives $13 per day for days when the meal plan is not offered However, in the case of meal plans that only provide two meals on the weekends, the $13 daily allowance will not be paid

- Training Lasting Between 31 and 150 Days - For the first 30 days, each participant receives $65 per night, unless training is in an OIT-designated High Cost City (see the above discussion under "Training Lasting Longer Than 150 Days" concerning such cities and application of the rates) After 30 days, the participant receives a monthly maintenance allowance For locations not designated as High Cost Cities, the monthly maintenance allowance is $985 Each of the listed High Cost Cities are designated under Categories II through VI As of December 4, 1991, the following are the monthly maintenance allowances for each category of High Cost City (these rates are amended from time-to-time)

CATEGORY				
II	III	IV	V	VI
$1,141	$1,185	$1,236	$1,285	$1,337

- Training Lasting Less Than 30 Days - Each participant receives $65 per night, unless training is in an OIT-designated High Cost City (see the above discussion under "Training Lasting Longer Than 150 Days" concerning such cities and application of the rates)

If the participant is engaged in training lasting longer than 30 days, and, after the first 30 days, he/she travels to another location for short-term (less than 30 days) training as part of his/her training program, the participant continues to receive the applicable monthly maintenance allowance plus he/she receives the daily rate described in the preceding paragraph reduced by an amount equal to 40% of the applicable monthly maintenance allowance calculated by day For example, if the standard monthly maintenance allowance is $640 and the participant travels to a $65 city for short-term training lasting five days, the participant would receive $282 35 in addition to the $640 standard monthly maintenance allowance, as follows

$640
------- = $21 33/day X 40% = $8 53/day
30 days

$65 00/day
- 8 53/day
$56 47/day X 5 days = $282 35

Please note that, pursuant to the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Revision of Grant Budget," the prior approval of the Agreement Officer is required if the recipient plans to transfer funds budgeted for training allowances to any other category of expense

C.3.(c)(2)(G)(iv) Please note that Health and Accident Coverage (HAC) insurance for the participants is required HAC is essentially a self-funded medical insurance program administered by A I D (through a contractor) which is responsible for receiving and reviewing all claims and issuing checks in payment for those claims covered by HAC Pursuant to the standard Provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Participant Training," each participant is required to be enrolled in the HAC program Further details concerning the HAC program may be found in paragraph (f) of the standard provision and in Chapter 25 of Handbook 10 As of January 1, 1992, the rate is $63 per participant-month

C.3.(c)(2)(G)(v) Reporting requirements related to participant training are set forth in Chapters 5 and 24 of Handbook 10

C.3.(c)(2)(H) Other Direct Costs (ODCs)

ODCs include costs such as communications and postage, passports/visas, medical exams/inoculations (for international travel), insurance (extra insurance such as medical evacuation for international travel), expendable supplies and materials (as distinct from nonexpendable equipment), report preparation/reproduction, etc Again, the basis for each estimate should be indicated For example, communications costs might be $600, based on 12 months at $50 Report reproduction might be $40, based on 4 reports of 100 pages each @ $0 10 per page Supplies must be consistent with the annex to the technical portion of the application (see Section C 3 [b][7][F] above), and must indicate the types of supplies, the quantity of each, the unit price for each, and total costs

C.3.(c)(2)(I) Subcontracts/Subagreements

The same forms and cost/management information required from the applicant, as discussed above and below, must be provided for subcontractors and subrecipients The cost/management portion of the application must indicate whether the instrument will be a subcontract or subagreement (see Section C 3 [c][3][E][i] below)

C.3 (c)(2)(J) Cost Sharing (Matching)

C 3 (c)(2)(J)(i) Pursuant to paragraph 4J of A I D Handbook 13, the cooperative agreement budget must reflect the total cost of the program, to include costs to be funded by A I D and charged to the cooperative agreement, as well as costs which will not be funded by A I D (such as fee or overhead) and therefore not charged to the cooperative agreement (which, if they are non-federal funds, may be used to satisfy the cost-sharing [matching] requirements of the UDLP, as described in Section B 6 [b] of this RFA) Accordingly, the proposed budget must separately reflect those costs to be funded by A I D and those which will be funded by other sources

C.3.(c)(2)(J)(ii) Cost-sharing or matching is defined in A I D cooperative agreements as a contribution from non-federal sources toward the total cost of the program Therefore, in the proposed budget, non-A I D funds must further separately reflect those costs to be funded by other (non-A I D) federal sources, as well as those which will be funded by non-federal sources

C.3.(c)(2)(J)(iii) The standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Cost Sharing (Matching)" and Section B 6 (b) of this RFA describe the conditions which must be met for costs to qualify as cost-sharing or matching funds Please note that in-kind contributions may qualify as cost-sharing or matching funds

C.3.(c)(2)(J)(iv) Please refer to Section C 3 (c)(2)(C) above for a discussion of indirect costs (overhead) as they relate to cost-sharing or matching

C.3.(c)(2)(J)(v) It should also be noted that financial reports submitted by the recipient during the period of the cooperative agreement must separately reflect both A I D and non-A I D funds expended

C 3.(c)(3) Management Information

In addition to the budget information discussed above, the following forms and management information are required to be submitted as a part of the cost/management portion of the full proposal

C 3.(c)(3)(A) Salary History

Please submit the "Employee Biographical Data Sheet," which is discussed under Section C 3 (c)(2)(A) above

C 3 (c)(3)(B) Negotiated Indirect Cost Rate Agreement

Please provide a copy of the most recent negotiated Indirect Cost Rate Agreement from the cognizant U S Government audit agency, and the name, address, and telephone number of the auditor, as discussed under Sections C 3 (c)(2)(B) and C 3 (c)(2)(C) above The rate agreement should be available from the applicant's contracts and grants office and/or business or finance office This information will be used by the Agreement Officer to verify indirect costs reflected in the budget, as well as to determine the acceptability of the applicant's accounting system, which, in turn, will affect the method of financing/payment under the cooperative agreement

C 3.(c)(3)(C) Practices and Policies

Please submit one copy of the applicant's travel, procurement, financial management, and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc , and indicate whether such policies and procedures have been reviewed and approved by any agency of the Federal Government If so, please provide the name, address, and phone number of the cognizant reviewing official

C 3.(c)(3)(D) Evidence of Responsibility and Eligibility

C.3 (c)(3)(D)(1) Applicants must submit sufficient evidence of responsibility for the Agreement Officer to make a determination of responsibility The information submitted should substantiate that the applicant

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement (see also Section C 3 [c][3][D][iii] below)

- Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental (see also Section C 3 [c][3][D][ii] below)

- Has a satisfactory record of performance In the absence of evidence to the contrary of circumstances properly beyond the control of the applicant, applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement Past unsatisfactory performance will ordinarily be sufficient to justify a determination of nonresponsibility, unless there is clear evidence of subsequent satisfactory performance The Agreement Officer will collect and evaluate data on past performance of applicants using information on past programs provided by the applicant in paragraph 13 of Appendix 18 of this RFA

- Has a satisfactory record of integrity and business ethics, and

- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations

C 3 (c)(3)(D)(ii) Please indicate whether or not the applicant's accounting system has been approved by any Government agency, if so, please provide the name, address, and telephone number of the cognizant auditor

C 3 (c)(3)(D)(iii) The applicant shall include audited annual financial statements for the last three years

C.3 (c)(3)(E) Procurement of Goods and Services

The following information is provided to, and requested from, the applicant due to special A I D requirements, with which many applicants may be unfamiliar The information requested may be provided by the applicant in paragraph 12 of Appendix 18 of this RFA

C.3 (c)(3)(E)(1) The applicant should indicate in paragraph 12(b) of Appendix 18 of this RFA the total estimated dollar value of goods and services it (and any its subcontractors and subrecipients) will purchase under the cooperative agreement "Purchase" means the procurement of goods and services by the recipient and its subcontractors and subrecipients (i e , contracts, purchase orders, etc) from a supplier of goods and services (see the standard provisions set forth in Attachment 3 of Appendix 1 of this RFA entitled "Procurement of Goods and Services" and "AID Eligibility Rules for Goods and Services"), and not to assistance provided by the recipient (i e , a subagreement) to a sub-recipient (see the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Subagreements") Please note that a subcontract (but not a subagreement) constitutes a "purchase " For a discussion on the differences between procurement (i e , a contractual instrument) and assistance (i e , a subagreement), see the Cover Letter of this RFA

With reference to the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "AID Eligibility Rules for Goods and Services," and the choice of paragraph 1G of Appendix 1 of this RFA, the applicant should also consider whether the total value of goods and services which it (and its subcontractors and subrecipients) will procure under the cooperative agreement will be under or over $250,000

If under $250,000, paragraph (b)(1) of the standard provision applies in lieu of paragraph (b)(2), and the recipient university may simply apply the order of preference set forth in paragraph (b)(1)(i) of the standard provision, and document its files in accordance with paragraph (b)(1)(ii) of the standard provision The first choice of paragraph 1G of Appendix 1 of this RFA would also apply

However, if the total procurement value is over $250,000, paragraph (b)(2) of the standard provision applies This paragraph requires that all goods be produced in ("origin"), and shipped from ("source"), the U S , that all goods be of at least 51% U S componentry, and that suppliers of goods and services be of U S nationality unless this requirement is waived by the Agreement Officer In furtherance of paragraph (b)(2) of the standard provision, the second choice of paragraph 1G of Appendix 1 of this RFA provides some exceptions to the requirement for U S source, origin, componentry, and supplier nationality Accordingly, if the total procurement value will exceed $250,000, the applicant should identify to the extent possible, in paragraphs 12(d) and 12(f) of Appendix 18 of this RFA, those goods or services which will not meet the above requirements This will enable A I D to internally process the required waiver in a timely manner, thereby precluding delays in the conduct of cooperative agreement activities To the extent

that the waiver is internally approved prior to award of the cooperative agreement), it will be so indicated in the cooperative agreement, thereby eliminating the need for subsequent correspondence

C.3.(c)(3)(E)(ii) Pursuant to the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Allowable Costs" and "Revision of Grant Budget," and Section J 13 of OMB Circular A-21, the recipient must obtain the Agreement Officer's approval for the following

- Purchase of general purpose equipment, which is defined as an article of nonexpendable tangible personal property, the use of which is not limited only to research, medical, scientific, or other activities [e g , office equipment and furnishings,air conditioning equipment, reproduction and other equipment, motor vehicles, and automatic data processing equipment], having a useful life of more than two years and an acquisition cost of $500 or more per unit)

- Purchase of special purpose equipment, which is defined as an article of nonexpendable tangible personal property which is used only for research, medical, scientific, or other technical activities, and which has a useful life of more than two years and an acquisition cost of $1,000 or more per unit

- Other capital expenditures, which is defined as the cost of the asset, including the cost to put it in place

Applicants are encouraged to seek A I D 's assistance in utilizing government owned/warehoused equipment and furniture in lieu of purchasing new equipment To the extent that the applicant can foresee the need to incur the types of expenditures requiring the approval of the Agreement Officer, as described above, they should be identified in paragraph 12(c) of Appendix 18 of this RFA, so that A I D approval may be provided in the cooperative agreement This will eliminate the need for subsequent correspondence, and should facilitate the conduct of the activities under the cooperative agreement

C 3 (c)(3)(E)(iii) Regardless of whether paragraphs (b)(1) or (b)(2) of the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "AID Eligibility Rules for Goods and Services" will apply (see Section C 3 [c][3][E][i] above), paragraph (a)(3) of the same standard provision, and subparagraph 1G 2 in both choices of paragraph 1G of Section Appendix 1 of this RFA, require the approval of the Agreement Officer for purchases of the following restricted goods

- Agricultural Commodities
- Motor Vehicles
- Pharmaceuticals
- Pesticides
- Rubber Compounding Chemicals and Plasticizers
- Used Equipment
- U S Government-Owned Excess Property
- Fertilizer

Accordingly, to facilitate implementation of cooperative agreement activities and to ease the administrative burden of both the recipient and A I D during the cooperative agreement period, the applicant should, in paragraph 12(e) of Appendix 18 of this RFA, identify the need to purchase the foregoing restricted goods to the maximum possible extent Again, special provisions may be included in the cooperative agreement to permit purchase of these restricted goods (see paragraph 1I 5 of Appendix 1 of this RFA)

C.3.(c)(3)(E)(iv) In most cases, the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Title To and Use of Property (Grantee Title)" will apply This standard provision contains requirements pertaining to the use, accountability, and disposition of nonexpendable equipment purchased with cooperative agreement funds With respect to the disposition of equipment, please note the requirement of paragraph (d)(4) of the standard provision to request disposition instructions from the Agreement Officer (if the recipient does not wish to retain the equipment and make compensation to A I D) To the extent that the applicant can pre-plan the disposition of equipment which it does not wish to retain and make compensation to A I D , this should be so indicated in paragraph 12(g) of Appendix 18 of this RFA This will permit disposition instructions to be included in the cooperative agreement, thereby precluding the need for subsequent correspondence and facilitating cooperative agreement closeout Also, if both A I D and non-A I D funds are proposed to be used for purchase of a single item of equipment, the applicant should discuss how it will comply with A I D 's right to direct disposition in view of the co-funding (one option is for the recipient to retain the equipment and make compensation to A I D)

C 3.(c)(3)(E)(v) Please note that if the applicant plans to (a) incur equipment or other capital expenditures, (b) purchase non-U S goods or services when the Agreement Officer's approval is required for such purchases, or (c) purchase any of the restricted goods listed above, and the cooperative agreement does not provide such approval, the recipient must then subsequently obtain the Agreement Officer's approval before incurring the expenditure

C.3.(c)(3)(F) Authority to Negotiate on Behalf of, and to Bind, the Applicant

The applicant is to identify, in paragraph 8 of Appendix 18 of this RFA, the individual(s) having authority to negotiate on behalf of, and to bind, the applicant (see also Section C 3 [c][3][G][viii] below)

C.3 (c)(3)(G) Certifications, Assurances, and Other Statements of Applicant/Grantee

As an annex to the cost/management portion of the application, the applicant shall complete and submit Appendix 18 of this RFA It must be signed by a representative of the applicant authorized to act on behalf of, and to commit, the applicant The following information is included therein

C.3.(c)(3)(G)(i) Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs - This Assurance is self-explanatory A cooperative agreement cannot be awarded without this Assurance (see Section C 3 [c][3][D][i] above) Further discussion of this subject may be found in the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Nondiscrimination "

C 3 (c)(3)(G)(ii) Certification Regarding Drug-Free Work Place Requirements - This Certification is also self-explanatory A cooperative agreement cannot be awarded without this Certification (see Section C 3 [c][3][D][i] above)

C.3 (c)(3)(G)(iii) Certification Regarding Debarment, Suspension, and Other Responsibility Matters - This Certification will be used to determine the applicant's eligibility for a cooperative agreement, as well as to assist in determining the applicant's responsibility (as defined in paragraph 4F5b[3] of A I D Handbook 13, and as discussed in Section C 3 [c][3][D][i] above), which is a prerequisite to receiving a cooperative agreement (see also the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Debarment, Suspension, and Other Responsibility Matters")

C 3.(c)(3)(G)(iv) Certification Regarding Lobbying - This Certification is self-explanatory, and will be used to determine the applicant's eligibility for a cooperative agreement (see Section C 3 [c][3][D][i] above) See also the special provision set forth in Attachment 4 of Appendix 1 of this RFA entitled "Restrictions on Lobbying "

C 3.(c)(3)(G)(v) Certification Regarding Research Involving Human Subjects - This Certification is required in order for the recipient to commence the work being funded by the cooperative agreement if it involves research using human subjects Please note the additional information required by paragraph (b) of this Certification (see Section C 3 [b][7][I] above) Further discussion of this subject may be found in the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Protection of the Individual as a Research Subject "

C.3.(c)(3)(G)(vi) Certification Regarding Care of Laboratory Animals - This Certification is required in order for the recipient to commence the work being funded by the cooperative agreement if it involves research using laboratory animals Please note the additional information required by the second sentence of this Certification (see Section C 3 [b][7][H] above) Further discussion of this subject may be found in the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Care of Laboratory Animals "

C 3.(c)(3)(G)(vii) Certification Regarding Family Planning Activities - This Certification is required in order to determine whether the cooperative agreement will involve family planning activities, and if so, whether the applicant plans to subcontract or subgrant some family planning activities to a foreign nongovernmental organization If the applicant does plan to subcontract or subgrant any family planning activities to a foreign nongovernmental organization, please note the additional information required by paragraph (b) of this Certification (see Section C 3 [b][7][J] above) Further discussion of this subject may be found in the standard provision set forth in Attachment 3 of Appendix 1 of this RFA entitled "Voluntary Population Planning "

C.3.(c)(3)(G)(viii) Authorized Individuals - This Statement is self-explanatory (see Section C 3 [c][3][F] above)

C.3.(c)(3)(G)(ix) Taxpayer Identification Number - This Statement is also self-explanatory This information should be available from the applicant's contracts and grants or business or finance office

C.3 (c)(3)(G)(x) DUNS Number - This Statement is self-explanatory This information may be found in other A I D (and perhaps other U S Government agency) contracts, grants, cooperative agreements, etc , and may be available from the college's or university's contracts and grants or business or finance office

C.3.(c)(3)(G)(xi) A I D Letter of Credit (LOC) Number - This Statement is self-explanatory This information should be available from the college's or university's contracts and grants or business or finance office

C.3 (c)(3)(G)(xii) Procurement Information - This Statement is intended to facilitate the identification and approval of certain purchases of goods and services by the applicant, as discussed in more detail in Section C 3 (c)(3)(E) above

C 3 (c)(3)(G)(xiii) Past Performance References - This information is also self-explanatory, and should be available from the applicant's contracts and grants or business or finance office This information will be used to assist in determining the college's or university's responsibility (as defined in paragraph 4F5b[3] of A I D Handbook 13 and as discussed in Section C 3 [c][3][D][i] above), which is a prerequisite to receiving a cooperative agreement

C 3 (c)(3)(G)(xiv) Type of Organization - This information is self-explanatory, and is required in order to determine appropriate terms and conditions of the cooperative agreement

C 3 (c)(3)(G)(xv) Agreement on Cooperative Agreement Terms and Conditions - This Statement is self-explanatory, and is required before the cooperative agreement can be awarded A sample cooperative agreement format and the standard provisions applicable thereto are set forth as Appendix 1 of this RFA

C 4. INSTRUCTIONS FOR REVISED APPLICATIONS

Based on review and evaluation of the applications, revised applications may be requested Instructions for revised applications are as follows

C.4.(a) Technical Portion

Because the technical portion of the application will become the Program Description for the cooperative agreement, it may be necessary for the applicant to submit a written revision to the technical portion of the application, which will also become part of the Program Description of the cooperative agreement It is anticipated that any revision to the technical portion of the application will entail a written addendum thereto, responding to any questions, comments, or suggestions which the USAID overseas Mission and/or the external peer review panel may have regarding the technical portion of the application Specific instructions for the technical portion of the revised application will be provided by the Agreement Officer if and when a revised application is requested

C.4.(b) Cost/Management Portion

Because the cost/management portion of the application will not be incorporated as a part of the cooperative agreement, it is unlikely that the applicant will be required to submit a written revision thereto, unless additional information is required by the Agreement Officer, in his sole discretion, to be submitted in writing If a written revision is required, specific instructions for the cost/management portion of the revised application will be provided by the Agreement Officer if and when a revised application is requested

SECTION D

REVIEW AND EVALUATION CRITERIA

SECTION D

REVIEW AND EVALUATION CRITERIA

D 1 LETTERS OF INTENT

D 1 (a) Letters of intent will be reviewed by A I D for responsiveness to the requirements set forth in Section C 2 above and for general relevancy pursuant to Sections B 4 and A 7 above (see Appendix 11 of this RFA) Letters of intent found to be unresponsive will be eliminated from further consideration

D 1 (b) Responsive letters of intent will be reviewed by appropriate A I D personnel in applicable USAID overseas Missions to ensure the proposed linkage 1) is consistent with U S national interests, 2) is in keeping with the Foreign Assistance Act of 1961, as amended, and 3) does not include a DCIHE with unacceptable characteristics (see Appendix 12 of this RFA)

D 1.(c) For all letters of intent found to be acceptable based on the above reviews, applicants will be invited to submit an application

D 2. APPLICATIONS

D.2.(a) Technical Portion of the Application

D 2.(a)(1) The technical portion of the application will be reviewed by A I D for responsiveness to the requirements set forth in Section C 3 above (see Appendix 13 of this RFA) Applications found to be unresponsive will be eliminated from further consideration

D.2.(a)(2) The technical portion of responsive applications will be reviewed by appropriate A I D personnel in applicable USAID overseas Missions for any comments they may wish to make with regard to developmental relevance, harmony with Mission interests/strategies, sustainability, realism of linkage objectives, and evaluation of the DCIHE Characteristics and Capabilities Related to the Linkage portion of the application

D.2.(a)(3) For the first part of the two-tier peer review process, responsive applications will be sent to mail reviewers selected by the Board on Science and Technology for International Development (BOSTID) of the National Research Council or a similar organization which can mobilize disinterested international development expertise The mail reviewers will evaluate the applications according to the weighings set forth in Section D 2 (a)(4) below (see Appendix 14 of this RFA)

D.2.(a)(4) The relative importance of each criterion is indicated by approximate weighing Applicants should note that these criteria (A) serve as the standard against which all applications will be evaluated in the mail review, and (B) serve to identify the significant parts in the technical portion of the applications which applicants should address

Section I - The Linkage
(see Section C 3 [b][6][A] of this RFA) 60 percent

A	Rationale	10 Percent
B	Implementation and Management	20 Percent
C	Monitoring and Evaluation	10 Percent
D	Sustainability	20 Percent

Section II - USIHE Characteristics and Capabilities Related to the Linkage
(see Section C 3 [b][6][B] of this RFA) 20 Percent

Section III - DCIHE Characteristics and Capabilities Related to the Linkage
(see Section C 3 [b][6][C] of this RFA) 20 Percent

D 2 (a)(5) In the second part of the two-tier peer review process a panel of external peer reviewers will be selected and convened by BOSTID or a similar organization which can mobilize disinterested international development expertise This panel will select applications which merit funding taking into consideration a number of factors and their approximate weighing These factors include the mail reviewers scores and comments on the applications (50 percent), USAID Mission comments on the applications and the degree of harmony with Mission interests and strategies (25 percent), and the panelists own assessments of the applications (25 percent) The panelists will group the applications according to the degree which they merit funding

D 2 (b) Cost/Management Portion of the Application

D 2 (b)(1) Costs will be evaluated by the Agreement Officer for general reasonableness, realism, and allowability

D 2 (b)(2) Management information will be evaluated by the Agreement Officer to determine acceptability of institutional practices and policies, and recipient responsibility and eligibility

D.2.(c) "Shortlisting" and Negotiations

Based on the above evaluations, a "shortlist" will be compiled, consisting of all applicants whose application has a reasonable chance of being selected for award in FY 1992 To the extent that they are necessary, discussions and negotiations will then be conducted with all such applicants, and revised applications will be requested, as necessary

D.3 REVISED APPLICATIONS

D.3.(a) Technical Portion

The technical portion of the revised application, if requested, will be reviewed by A I D for the applicant's response to any questions, comments, or suggestions which USAID overseas Missions and/or the external peer review panel may have regarding the application The criteria set forth in Section D 2 (a)(4) above shall be used

D.3.(b) Cost/Management Portion

The cost/management portion of the revised application, if requested, will be reviewed by the Agreement Officer in accordance with Section D 2 (b) above

D.4. AWARD CRITERIA

D.4.(a) Award will be made in accordance with the terms and conditions of this RFA to those responsible and eligible applicants whose costs are fair and reasonable, allowable, and realistic, and whose applications are found to be most meritorious of funding based on the review process described in Section D 2 (a) above Within the pool of meritorious applications, A I D reserves the right to make judgements for award based on considerations of equity and diversity with regard to USIHE size, developing country and DCIHE need and relevance to the development mission of A I D

D.4 (b) A I D encourages the participation to the maximum extent possible of HBCUs and U S colleges and universities with at least 40 percent Hispanic American students For applications, other than those reserved for HBCUs (see Section B 6 [a][4] of this RFA), the participation of HBCUs and U S colleges and universities with at least 40 percent Hispanic American students may become a determining factor for selection, all other evaluation criteria being found equal

SECTION E

LIST OF RFA APPENDICES

LIST OF RFA APPENDICES

APPENDIX 1 COOPERATIVE AGREEMENT FORMAT

Appendix 1 is attached to provide a sample cooperative agreement similar to those which will be used to award funds to the successful applicants under this RFA

APPENDIX 2 LIST OF COUNTRIES WITH PRIOR UDLP AWARDS

Appendix 2 is attached to the RFA to show those countries for which prior awards affect the limitations described in Section B 2 (c) of this RFA

APPENDIX 3 LIST OF DEVELOPING COUNTRY INSTITUTIONS WITH PRIOR UDLP AWARDS

Appendix 3 is attached to the RFA to show those developing country institutions for which prior awards affect the limitations described in Section B 3 (b) of this RFA

APPENDIX 4 LIST OF U S INSTITUTIONS WITH PRIOR UDLP AWARDS

Appendix 4 is attached to the RFA to show those U S institutions for which prior awards affect the limitations described in Section B 2 (b) of this RFA

APPENDIX 5 LIST OF PRIORITY AREAS

Use of Appendix 5 is described in Section B 4 (a) of this RFA

APPENDIX 6 FACE SHEET - LETTER OF INTENT

Use of Appendix 6 is described in Section C 2 (f) of this RFA

APPENDIX 7 OUTLINE FOR THE TECHNICAL PORTION OF THE APPLICATION

Appendix 7 is attached to this RFA to give an overview of the order and labelling of sections of the application which must be followed pursuant to Section C 3 (b)(6) of this RFA

APPENDIX 8 FACE SHEET - APPLICATION

Use of Appendix 8 is described in Section C 3 (b)(3) of this RFA

APPENDIX 9 WORKPLAN OUTLINE

Use of Appendix 9 is described in Section C 3 (b)(7)(B) of this RFA

APPENDIX 10 IMPLEMENTATION PLAN OUTLINE

Use of Appendix 10 is described in Section C 3 (b)(7)(C) of this RFA

APPENDIX 11 INITIAL LETTER OF INTENT REVIEW INSTRUMENT

Use of Appendix 11 is described in Section D 1 (a) of this RFA

APPENDIX 12 USAID MISSION LETTER OF INTENT REVIEW INSTRUMENT

Use of Appendix 12 is described in Section D 1 (b) of this RFA

APPENDIX 13 INITIAL APPLICATION REVIEW INSTRUMENT

Use of Appendix 13 is described in Section D 2 (a)(1) of this RFA

APPENDIX 14 APPLICATION MAIL PEER REVIEW INSTRUMENT

Use of Appendix 14 is described in Section D 2 (a)(3) of this RFA

APPENDIX 15 EMPLOYEE BIOGRAPHICAL DATA SHEETS

Use of Appendix 15 is described in Section C 3 (c)(2)(A) of this RFA

APPENDIX 16 TRAINING COST ANALYSIS (TCA) PROPOSAL WORKSHEET

Use of Appendix 16 is described in Section C 3 (c)(2)(G) of this RFA

APPENDIX 17 STANDARD PROVISIONS FOR NON-U S , NONGOVERNMENTAL GRANTEES

The recipient may use the standard provisions set forth in Appendix 17, suitably altered to reflect the parties (and omitting the standard provision entitled "Disputes," for which a different disputes resolution provision needs to be substituted, since subrecipients cannot appeal directly to A I D , and omitting the payment provisions, for which a different payment provision needs to be substituted, since subrecipients cannot be paid directly by A I D), for its subagreements with developing country institution(s)

APPENDIX 18 CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE

Use of Appendix 18 is described in Section C 3 (c)(3)(G) of this RFA

APPENDIX 19 RFA MAILING LIST

Appendix 19 is a list of all individuals and institutions which had requested a copy of this RFA as of the date of printing

APPENDIX 20 LIST OF ELIGIBLE COUNTRIES

Appendix 20 lists the countries in which a Developing Country Institution of Higher Education must be located to be eligible as a linkage partner pursuant to Section B 3 of this RFA

Annex J

The UDLP Project Paper

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON D C 20523

ACTION MEMORANDUM FOR THE ASSISTANT ADMINISTRATOR FOR SCIENCE AND TECHNOLOGY

From: S&T/RUR Curtis R. Jackson

Subject: Authorization of the University Development Linkages Project (936-5063)

PROBLEM Your authorization is requested to initiate a new, centrally-funded project "University Development Linkages" in the amount of $40,840,000 to be funded from the Agriculture, Rural Development and Nutrition (ARDN) [Section 103], Health (HE) [Section 104] (c)(1), Private Sector, Environment and Energy (PSEE) [Section 106], Education (ED) [Section 105], Child Survival (CS) [Section 104 (c)(2)]; Population (POP) [Section 104 (b)], AIDS (DG) [Section 104], Economic Support Fund (ESF) [Section 531]; Development Fund for Africa (DFA) [Section 496], and Assistance for Eastern Europe (or comparable authorization/appropriation in the year in which assistance is provided) The initial obligation year is FY 1991, the final obligation year is 1999, the PACD is 9/30/00

DISCUSSION This project provides U.S universities with a method to use and expand their international development expertise by collaborating with developing country institutions to address specific, or shared, development problems Some illustrative topics for mutually beneficial collaboration include 1) identifying and solving specific country and regional research problems through host country and U S university collaboration, 2) improving curricula, organizational structures, and research and teaching methodologies; 3) improving faculty revitalization through wider contact among academic communities, 4) fostering collaborative development of training courses and extension programs, 5) initiating surveys and pilot programs, and 6) increasing interest and experience of U S. university faculty in developing country issues which relate both to A.I D 's development mandate and which complement the international programs of the U S universities Collaboration will include network approaches

The goal is for developing country colleges and universities to effectively meet the development needs of their societies The Purpose is to encourage sustainable collaboration between U S colleges and universities and developing country colleges and universities to 1) strengthen developing country institutions, and 2) further the internationalization objectives of U S universities Substantial project development and communication among U S and developing country universities, A.I D , and USAID's have created a doable, workable project to expand and to institutionalize university linkages To the maximum extent possible universities will be able to select the activities on which they wish to focus Coordination will be through the Center for University Cooperation in Development

Project Data

The initial obligation year is FY 1991, and it is planned that a total of $1,710,000 of central funds will be obligated the first year. Total LOP funding is $40,840,000. The final year of obligation is FY 1999, and the PACD is FY 2000. The linkage sub-projects to be funded will be varied in activities and multi-sectoral. For this reason, a large number of accounts are recommended to be authorized.

In addition to the amount authorized above, an estimated $5,500,000 may be contributed to this project by Missions, Regional Bureaus, and other offices of A.I D. Funding may be provided from the Economic Support Fund (ESF), the Development Fund for Africa (DFA), assistance for Eastern Europe, as well as the accounts authorized for S&T funding under this project.

Also, an estimated $43,000,000 will be contributed to this project in cost-sharing funds by universities and other participants

Project Issues

The design of this project incorporates suggestions and a consensus of ideas from representatives of over 150 U S public and private universities and colleges who met in a series of three regional workshops in the Fall of 1990 In addition, representatives of offices in the S&T, AFR, APRE, ENE, and LAC bureaus and SER/OP met three times to make suggestions for design issues Also, representatives of USIA, NSF, Peace Corps, and the Department of Education have had an opportunity to comment on the project design Through a series of public addresses, the membership of NASULGC, AASCU, NAFEO, and AACJC have been made aware of the project concept

Special Interest in the Project

This project has generated a large amount of interest in the U.S university and college community

SECTOR COUNCIL REVIEW. The Health Sector Council and the STAG have reviewed the early versions of the project paper Other Sector Councils have been invited to review the project All have had an opportunity to comment. The reservations of the AFR, APRE, and LAC members relating to the importance of involving developing country institutional collaborators in linkage design have been addressed as far as possible

CONGRESSIONAL JUSTIFICATION A substantive Congressional notification is being prepared

PROCUREMENT PLAN AND BUDGET The project will be implemented by competitively chosen Cooperative Agreements in FY 1991. Historically Black Colleges and Universities will be provided with a reserved portion of each year's total funds for competition among themselves. They will, in addition, be eligible for non-reserved funds. The FY 1991 OYB has $1,710,000 to initiate the project. The FY 1992 CP has programmed $3,295,000.

RECOMMENDATION: That you sign the attached project authorization and approve the project.

Approve _____

Disapprove _____

1/16/91
Date

Clearances
S&T/PO: DSheldon _____ Date 1/14/91
GC CStephenson CS Date 1/15/91

Attachments
Project Data Sheet
Project Authorization
Project Paper

PROJECT AUTHORIZATION

Country/Entity	Worldwide
Name of Project.	University Development Linkages
Number of Project:	936-5063

1 Pursuant to Sections Agriculture, Rural Development and Nutrition (ARDN) [Section 103], Health (HE) [Section 104] (c)(1); Private Sector, Environment and Energy (PSEE) [Section 106], Education (ED) [Section 105], Child Survival (CS) [Section 104 (c)(2)]; Population (POP) [Section 104 (b)]; AIDS, (DG) [Section 104], Economic Support Fund (ESF) [Section 531], Development Fund for Africa (DFA) [Section 496], and, Assistance for Eastern Europe (or comparable authorization/appropriation in the year in which assistance is provided) of the Foreign Assistance Act of 1961, as amended, I hereby authorize the University Development Linkages project involving planned obligations of not to exceed $40,840,000 in grant funds from the accounts listed above in this paragraph, subject to the availability of funds in accordance with the A I.D OYB/allotment process

The initial obligation year for the project is FY 1991, the final obligation year is FY 1999, and the PACD is 9/30/00

In addition to the amounts authorized above, an estimated $5,500,000 may be contributed to the project by Missions, Regional Bureaus, and other offices of A.I.D. Funding may be provided from the Economic Support Fund (ESF), the Development Fund for Africa (DFA), or Assistance for Eastern Europe, as well as from the accounts authorized for S&T funding under this project.

2 Project Purpose The project purpose is to encourage sustainable collaboration between and among U S colleges and universities and developing country colleges and universities to 1) strengthen developing country institutions, and 2) further the internationalization objectives of U S universities

The project will provide U S universities with a method to increase and broaden their international development expertise by collaborating with developing country institutions to address specific country or regional development problems

3. Agreements: The agreements which may be negotiated and executed by the officer(s) to whom such authority is delegated in accordance with A.I.D regulations and Delegations of Authority shall be subject to the following essential terms and covenants and major conditions, together with such other terms and conditions as A.I.D. may deem appropriate.

4. Source and Origin of Commodities, Nationality of Services: Commodities financed by A.I.D. under the project shall have their source and origin in the "cooperating country" or the United States, except as A.I.D may otherwise agree in writing. (Each country in which research, training, or technical or other assistance takes place under the project shall be considered a "cooperating country.") Except for ocean shipping, the suppliers of commodities or services shall have the cooperating country or the United States as their place or nationality, except as A.I.D may otherwise agree in writing

Ocean shipping financed by A.I.D under the project shall, except as A.I.D. may otherwise agree in writing, be financed only on flag vessels of the United States

Signature _____

Richard E Bissell

Assistant Administrator for
Science and Technology

Date 1/16/91

Clearances
S&T/PO DSheldon DS Date 1/14/91
GC. CStephenson CS Date 1/15/91

APPENDIX 3A, Attachment 1
Chapter 3, Handbook 3 (TM 3.43)

AGENCY FOR INTERNATIONAL DEVELOPMENT

PROJECT DATA SHEET

1. TRANSACTION CODE: A (A = Add, C = Change, D = Delete) — Amendment Number: — DOCUMENT CODE: 3

COUNTRY/ENTITY: Worldwide

3. PROJECT NUMBER: 936-5063

4. BUREAU/OFFICE: AID/S&T/RUR

5. PROJECT TITLE (maximum 40 characters): University Development Linkages

6. PROJECT ASSISTANCE COMPLETION DATE (PACD): MM 08 DD 31 YY 00

7. ESTIMATED DATE OF OBLIGATION (Under "B." below, enter 1, 2, 3, or 4): A. Initial FY 91 B. Quarter 3 C. Final FY 99

8. COSTS ($000 OR EQUIVALENT $1 =)

A. FUNDING SOURCE	FIRST FY B. FX	FIRST FY C. L/C	FIRST FY D. Total	LIFE OF PROJECT E. FX	LIFE OF PROJECT F. L/C	LIFE OF PROJECT G. Total
AID Appropriated Total						
(Grant)	( )	(1,710)	(1,170)	( )	(40,840)	(40,840)
(Loan)	( )	( )	( )	( )	( )	( )
Other U.S. 1 Other AID		+ 500	500		5,500	5,500
Other U.S. 2						
Host Country						
Other Donor(s) Universities		2,000	2,000		43,000	43,000
TOTALS		3,710	3,710		83,840	83,840

9. SCHEDULE OF AID FUNDING ($000)

A. APPROPRIATION	B. PRIMARY PURPOSE CODE	C. PRIMARY TECH. CODE 1. Grant	C. PRIMARY TECH. CODE 2. Loan	D. OBLIGATIONS TO DATE 1. Grant	D. OBLIGATIONS TO DATE 2. Loan	E. AMOUNT APPROVED THIS ACTION 1. Grant	E. AMOUNT APPROVED THIS ACTION 2. Loan	F. LIFE OF PROJECT 1. Grant	F. LIFE OF PROJECT 2. Loan
(1) ARDN	680	721				13,500		13,500	
(2) HE	660	721				10,200		10,200	
(3) PSEE	660	721				10,200		10,200	
(4) Other	660	721				6,940		6,940	
TOTALS						43,840		43,840	

10. SECONDARY TECHNICAL CODES (maximum 6 codes of 3 positions each): 561 978 563 631 870 973

11. SECONDARY PURPOSE CODE: 661, 662, 681, 682

12. SPECIAL CONCERNS CODES (maximum 7 codes of 4 positions each)

A. Code							
	INTR	PART	TECH	XII	TNG	RGEN	RDEV
B. Amount							

13. PROJECT PURPOSE (maximum 480 characters)

To support U.S. university collaboration with developing country research and education institutions to strengthen developing country institutions and further the internationalizing objectives of U.S. universities.

14. SCHEDULED EVALUATIONS: Interim MM 06 YY 93 — MM 06 YY 95 — Final MM 12 YY 99

15. SOURCE/ORIGIN OF GOODS AND SERVICES: [X] 000 [ ] 941 [X] XX Local [ ] Other (Specify) _____

16. AMENDMENTS/NATURE OF CHANGE PROPOSED (This is page 1 of a ____ page PP Amendment)

17. APPROVED BY — Signature: James R Jackson — Title: Director, Research and University Relations — Date Signed: MM 01 DD 14 YY 91

18. DATE DOCUMENT RECEIVED IN AID/W OR FOR AID/W DOCUMENTS, DATE OF DISTRIBUTION: MM __ DD __ YY __

PROJECT PAPER

UNIVERSITY DEVELOPMENT LINKAGES
936-5063

TABLE OF CONTENTS

I	Background	2
II	A I D Policy and Strategy	4
III	Project Description	6
IV	Financial Plan, Cost Estimates, Budget	8
V	Project Implementation	11
VI	Monitoring Plan	15
VII	Evaluation Plan	17
VIII	Administrative Plan	18
IX	Environmental Statement	18

Annex

1 Proposal Guidelines and Selection Criteria
1A Guidelines for Pre-Proposals
1B Facesheet
2 PID Approval Message
3 A I D Assistance-Eligible Countries

Project Title University Development Linkages (UDL)
(936-5063)

I Background Problem and Project Rationale

A Background and Problem

U S public and private Institutions of Higher Education (USIHE), (hereafter also collectively called "universities"), have demonstrated that they are among the most effective resources available to carry out the U S foreign assistance program They are a national asset which can make a significant contribution to international development A I D must participate with U S universities -- and their linkages with developing country universities -- to carry out a common purpose of productive collaboration in international development

Linkage, in the sense used in this project, is defined as a direct operational and collaborative tie between a U S degree-granting college or university and a developing country degree-granting institution, arrived at through mutual agreement, providing mutual benefit, and requiring mutual investment of resources in specified activities Cross-linkages, between U S universities and among developing country institutions, will also take place

As a group, U S universities have a large array of important institutional linkage agreements – and memoranda of understanding with a wide variety of developing country and industrialized country institutions In a recent survey of 183 U S universities and 29 university systems undertaken by Washington State University and the University of Maryland, 78 percent of the respondents said that they had or were in the process of undertaking new international activities, and 68 percent said that they expected the process of internationalization to increase in the future Internationalization is a major theme of many university association meetings A majority of these U S university international programs have resulted from their own initiatives and funds

In the past twenty-five years, U S universities have educated enormous numbers of developing country students, particularly at the graduate level American universities have carried out a significant part of A I D 's research and development agenda They have developed and expanded achievements in science and technology, administration and management, and information exchange and communications to developing countries across the gamut of A I D 's development strategies and A I D 's programs and projects

Developing country universities have also made important contributions to their national development plans, often in collaboration with U S universities Many developing country institutions have an increasing number of well-educated, competent professionals, but developing country educational institutions have not always achieved their full potential

According to a recent A I D report, developing country educational institutions need help in defining new roles, mobilizing public support and adequate financing, creating new organizational structures, improving their curricula, and strengthening their information systems Their faculties also need to work collaboratively on advanced research and development, extend appropriate technology, avoid academic isolation, improve communications, and institutionalize their achievements

A I D contracts and grants have in many cases been instrumental in initiating and supporting university linkages, and some strong institutional ties have evolved However, many linkages lack depth and breadth, are limited in number, and frequently relate to only one or a few faculties or departments

B Project Rationale

It is important that the U S university community continues to support foreign aid objectives, contribute to A I D programs, develop their own self-sustaining international development programs and foster linkages with developing country educational institutions

It is equally important that developing country institutions have collaborative linkages with U S educational institutions Effective public and private institutions of higher education in developing countries are essential to support to the education, research, and public service needs of their societies and to achieve sustainable economic growth in a rapidly changing global environment

Enhanced developing country institutions are more effective in marshalling a country's resources, expanding collaboration with international donor organizations and improving program and project design and implementation, expanding domestic and foreign investment opportunities, expanding the talent bank for local economic growth, creditable influence needed national policy reforms, etc , and specific to A I D , increasing the likelihood that the United States and the host country and its institutions will expand and sustain productive linkages beyond the limited scope of the UDL

The direct beneficiaries of the UDL are the participants and institutions in the project In a larger sense, however, the beneficiaries are the societies that both contribute to and reflect the values of the US and host country institutions UDL is not an "education" project nor an "institutional development" project, per se, but it is an activity and a funding mechanism in which A I D supports institutions of higher education in their varied activities in health, rural

development, agriculture, population and family planning, etc These sectors are also A I D 's priority sectors, and the complementarity of both US and developing country educational institutions must be an A I D priority

II A I D Policy and Strategy Relation to S&T/RUR Projects

A Center for University Cooperation in Development (CUCD)

A I D policy is to build, promote, and strengthen mutually beneficial development cooperation and partnerships between A I D , U S public and private institutions of higher education that are engaged in education, research, and public service programs relevant to the needs of developing countries, and comparable institutions in developing countries Sustained U S and developing country collaboration in international development is vital to achieving sustainable economic growth and open democratic political systems

At the same time, the participation of U S colleges and universities in international development efforts also supports the internationalization of U S educational institutions by strengthening their faculty and the programs available to their students, and enhancing the quality and relevance of their research and extension efforts

To give focus to these efforts to develop programs which optimize the contributions of U S colleges and universities and in turn foster their linkages with developing country institutions, A I D has established the Center for University Cooperation in Development (CUCD)

B Relationship to Other S&T/RUR Projects

The proposed project represents an evolution from five previous "strengthening" projects which A I D used to encourage the international development collaborative abilities of U S universities These projects are

1 Strengthening Grants (931-1282) - $27 million obligated over a 12-year period to 57 institutions The PACD was September 1990

2 Single MOU (936-5061) - $5 3 million obligated from 1985 to 1989 to five institutions The project began a new five-year cycle in FY 1988

3 JMOU Agriculture (936-5058) - $15 5 million obligated from 1985 to 1989 to 24 institutions The project continues, with a one-year extension, to 1992

4 JMOU Health (936-5057) - $5 6 million obligated from 1985 to 1989 to eight institutions This project ends after the FY 90 one-year funding extension

5 Matching Support Grant (936-5060) - $1 2 million obligated from 1987 to 1989 This project will continue in effect until 1992

The strengthening grant project was partially successful in encouraging the recipient universities to turn their attention to international development issues in a realistic, useful way

The SMOU, JMOU Agriculture and Matching Support Grant projects involved the more successful recipients of the prior strengthening grants The three projects are essentially similar to each other in purpose and have been successful in mobilizing the resources of the participants to work on development issues overseas with A I D The JMOU Health project was patterned after the Agriculture project

Successful features and lessons learned from the five similar projects have been considered and are carried forward into this new project's design and implementation Considered areas include 1) Funds and incentives for universities to develop their international programs have been highly successful, over half of the participating universities now have overseas development assistance capabilities, 2) There is an unmet demand, grant funds reached only a fairly small number of potential participating universities, 3) The projects fostered close cooperation among some universities, 4) The output expectations of such projects can be vastly improved by getting an A I D -university agreement as to objective criteria of progress, 5) Joint relationships among universities should not be compelled through a formal A I D - sponsored agreement but should develop through mutual agreement among universities, 6) Collaboration between A I D and universities (with comments from USAIDs on behalf of local institutions) on designing any follow-on "university linkages project" will greatly strengthen the project and confidence levels

Many of the participants in one or more of the five projects have received "strengthening" or "resource mobilizing" funds from A I D for ten years or more Many of the participants are now well qualified The proposed linkages project is a departure from prior projects It proposes to engage a broader range of universities, not just prior recipients, in a demand-driven, output-oriented project which uses the strengths already developed by experience overseas

III Project Description

A Goal

To assist public and private institutions of higher education in U S and developing countries to meet the education, research, and public service programs of their societies

B Purpose

To finance collaboration between U S and developing country universities which strengthen the institutions, their international programs, and their mutual efforts

C Outputs

The project will fund linkages between U S and developing countries educational institutions in order to initiate or strengthen a variety of long term collaborative university relationships Examples of anticipated products of these collaborative linkages include

1 Solution of specific research problems of interest to host and U S institutions through collaborative work with a host country institution

2 Improvement of curricula, organizational structure, research and teaching methodologies, linkages to wider academic communities, and faculty revitalization

3 Collaborative development of training courses (with extension purposes), surveys, and pilot programs for education and information delivery

4 Increased interest and experience of U S university faculty in developing country development issues which relate to A I D 's interest and to the development cooperation objectives of U S universities

The outputs can be measured by review of published research, surveys of student knowledge and post graduate performance, the number and kinds of training and extension programs, changes or improvements in institutions organization, management, and administration, long term impact of linkages on developing country economic and social development, viability and sustenance of linkages, etc

D Inputs

The project will make small amounts of grant funds available to U S universities to foster sustainable, long-term linkages with developing country institutions This UDL project replaces and uses the funds from several program support and strengthening grants for U S universities that are now in effect which are noted in Section III, Relation to S&T/RUR projects

Executed through Cooperative Agreements, and depending upon the terms of each individual Cooperative Agreements, the project will finance technical assistance, training, and a very small amount of commodity procurement It is expected that most funds will be used for linking activities such as faculty travel and transportation, faculty per diem, communications, and publications Faculty salary and consultants' fees will be borne by each institution

The project will require each recipient to provide matching resources to achieve the mutually beneficial outputs The project anticipates collaborative or correlative participation from USAID Missions projects, and the UDL will accept buy-ins Regional or international organizations, private foundations, individuals, and the private sector will be encouraged to cooperate with and complement this project with their own partnership activities

IV Financial Plan, Cost Estimates, Budget

A Assumptions

The financial plan is based on the assumptions that

1 S&T core funds for RUR will remain approximately the same and project funds will be derived from reprogramming funds from extant projects as they terminate, namely

936 - 5055 TASS (in part)
936 - 5058 JMOU/AGR
936 - 5060 MSG/AGR.
936 - 5060 SMOU/AGR
936 - 5057 JMOU/HE

2 U S Universities, developing country institutions, and other linked participants will contribute at least an amount equal to A I D funds in non-federal cost sharing through direct, indirect, and in-kind resources

3 Missions and other Bureaus and S&T offices may contribute funds to meet their special concerns through add-on funds for special emphases to parts of linkage agreements or through OYB transfers to the project for special purposes The amount coming from these sources is expected to be small and is estimated in the table below The project is not dependent on these fund supplements Cables received from missions in response to an S&T presentation of the PID indicate that a few missions are interested in exploring ways to use this project to contribute to their country goals Any mission buy-ins for specific country program related activities would, of course, be managed by the mission and fully under mission control from design through implementation, unless mission wished A I D /W to take on particular management responsibilities Mission could also buy-in to the project by direct contribution to the annual program solicitation in which case A I D RFP could specify interest in a linkage in a particular country and external peer panel will review all proposals received for that country and provide results to mission for its approval

B Fund Availability

The amount of S&T core funds available each year varies according to reprogramming schedules Cost-sharing funds will by definition always equal or exceed core funds

The total funding for the project is approximately equal to the amount being spent on the terminating activities The total is sufficient to support 60 to 75 linkages and to have a beneficial developmental effect on both the developing country and U S linked institutions over long-term relationships The $100,000 maximum award per annum over five years per single institutions linkage was arrived at through discussions with university faculty culminating in a series of formal meetings with representatives of 150 universities The amount of $100,000 was sustained by meeting participants

C Duration of Project

The funding authorization is for nine years The PACD of the project will be ten years after the starting date This will accommodate five-year linkage awards which are made in the fifth year

D Funding Accounts

The nature of the various activities which will form the basis for linkages cannot be foretold at this time Also, we anticipate that several accounts may be required for some individual sub-projects The project authorization therefore includes all major accounts used in S&T For OYB transfers and add-on/buy-in supplements, we anticipate and include DFA, ESF, and Eastern Europe funds in the future

E. Sources and Application of Funds by Years

Fiscal Year	1991	1992	1993	1994	1995	1996	1997	1998	1999	Total
Sources of Funds	$	$	$	$	$	$	$	$	$	$
1 S&T Bureau Core										
A Implementation	1 500 000	3 000 000	4 500 000	6 000 000	7 500 000	6 000 000	4 500,000	3 000 000	1 500 000	37 500 000
B Project Support										
(1) Peer Review	60 000	70 000	70 000	70 000	70 000	30 000	0	0	0	370 000
(2) Evaluation	0	25 000	100 000	100 000	100 000	100 000	100 000	150 000	100 000	775 000
(3) Support Services	150 000	200 000	275 000	285 000	295 000	295 000	295 000	200 000	200 000	2 195 000
SUB TOTAL S&T	**1 710,000**	**3 295 000**	**4,945,000**	**6 455,000**	**7,965 000**	**6,425,000**	**4 895 000**	**3,350 000**	**1,800 000**	**40 840,000**
2 Other AID	500 000	500 000	500 000	1 000 000	1 000 000	500 000	500 000	500 000	500 000	5 500 000
SUB TOTAL, AID	**2,210,000**	**3,795 000**	**5,445,000**	**7 455 000**	**8,965,000**	**6,925,000**	**5,395,000**	**3,850,000**	**2,300,000**	**46,340,000**
3 University etc Cost Sharing	2 000 000	3 500 000	5 000 000	7 000 000	8 500 000	6 500 000	5 000 000	3 500 000	2 000 000	43 000 000
TOTAL	**4,210,000**	**7,295,000**	**10,445,000**	**14,455,000**	**17,465,000**	**13 425,000**	**10,395,000**	**7,350,000**	**4,300,000**	**89,340 000**
Application of Funds*										
1 Cumulative Number of Linkage Cooperative Agreements	15	30	45	60	75	60	45	30	15	
2 New Starts in Each FY	15	15	15	15	15	0	0	0	0	
3 Mortgage from Previous Years	0	1 500 000	3 000 000	4 500 000	6 000 000	6 000 000	4 500 000	3 000 000	1 500 000	

Assumes each cooperative agreement is funded for $100 000 per year for 5 years

318

V Project Implementation

A Definitions

U S Institutions of Higher Education (post-secondary level) ("USIHE"), means U S public and private degree-granting institutions of higher education or associations thereof that are engaged in education, research, and public service programs

"Consortium" means two or more organizations or USIHEs The lead institution must be a USIHE A "Developing Country Institution of Higher Education" (equivalent to U S post-secondary level) or "Developing Country Institution" means a public or private degree-granting institution of higher education engaged in education, research and outreach activities

"Matching" or "Cost-Sharing" means non-Federal funds or quantifiable in kind contributions provided by USIHE and/or USIHE collaborators or by the Linked Institution and its collaborators and supporting internationalization objectives of the project (See also text on Award Funding)

"Pre-Proposal" means a short concept paper, up to four pages long, submitted by the USIHE "Proposal" means a fully described development activity submitted by a USIHE for A I D final decision and funding (See later text for description)

"Lead Institution" means the USIHE to which A I D will grant a cooperative agreement The lead institution is responsible and accountable for the linkage and participating linkage partner sub-agreements

B Recipient Eligibility

Eligible U S Recipients for A I D funds, made available through Cooperative Agreements, will be U S Institutions of Higher Education (USIHE)

A USIHE can receive up to two separate Recipient awards if the Recipient is the sole Recipient institution or the lead Recipient institution in a consortium award Any USIHE which is a non-lead institution in a consortium award can participate in cooperative agreement awards without any frequency limitation

No more than four linkage awards will be made in any developing country Any one developing country institution can participate in no more than two primary awards However, there is no limit on the number of consortia in which they may participate

USIHE recipients must have a linkage with a developing country institution(s) of higher education USIHE Recipients can also establish secondary or collaborative linkages with U S

or developing country private voluntary organizations, individuals, private businesses, foundations, regional or international organizations, in support of its primary linkage Any USIHE may submit as many proposals with as many developing country institutions as they wish, providing that each proposal relates to a discrete relationship that stands on its own merits Separate matching is required for each project

Developing country institutions of higher education in A I D -recipient countries (see list of eligible countries, Annex 3) are eligible for consideration as a primary linkage partner, subject

A USIHE will not be eligible to receive University Development Linkage grant funds during the same time that they are also receiving a Program Support Grant, a Matching Support Grant, or Strengthening Grant

C Award Criteria

A I D awards will be based on an external competitive proposal selection process and evaluated in accordance with published selection criteria

All fields of international development permitted under laws applicable to A I D shall qualify for awards under this Project These include, but are not limited to, health, population, basic education, agriculture, tropical forestry, environment and natural resources, energy, rural and urban development and, nutrition

Of the funds provided for the University Development Linkages program, a percentage of the total annual funds available will be reserved for funding linkage proposals from Historically Black Colleges and Universities (HBCUs) This reserve fund will be used for cooperative agreement awards made to single HBCUs or to a consortium in which an HBCU is the lead institution In the latter case, only the proportion of funds going to the HBCU(s) will come from the reserve fund

D Award Procedure

S&T/ CUCD will solicit Pre-Proposals, and invite full proposals that have potential, after Pre-proposal review Pre-proposals will be reviewed within A I D Proposals will be reviewed by an External Peer Review Panel

The proposal on which a cooperative agreement award is based and all subsequent monitoring, evaluation, and review documents relating to the implementation of the cooperative agreement will be available to the public subject to the Freedom of Information Act It is A I D 's intention to make these materials available to interested colleges and universities and to use them in public workshops, training sessions, and other programs which further internationalization

Proposals will be reviewed by A I D for consistency with U S national interests in the concerned country and applicable U S laws and regulations Full proposals will be reviewed and ranked by an external review panel As part of the panel process the Executive Summary and budget of the full proposal will be reviewed by the concerned field office or A I D /W office for its developmental importance These A I D comments will be forwarded to the peer review panel for its consideration in ranking the proposals These A I D comments will be part of the public record of the peer review

Proposals will be reviewed by relevant mission(s) and by the External Peer Reviews which will be conducted based on published selection criteria and the results will be public

The External Peer Review procedure will be independently organized and conducted by NAS/NRC/BOSTID or a similar organization which can mobilize disinterested international development expertise Every effort will be made to balance panel membership based on institution size, type, disciplines appropriate to the proposals, and international experience Where possible, developing country academic representatives will be included

The recommendations of the External Peer Review Panels will be submitted to the Assistant Administrator, Bureau for Science and Technology for final decision and award

E Award Funding

A I D funding will be limited to one-half or less of the funds required for the linkage activity and will not exceed $100,000 match per year when the award is to a sole USIHE Recipient For joint or consortia proposals involving more than one USIHE, the awards will be limited to $200,000 per year per award involving two USIHE, or USIHE and an Association, $300,000 per year for awards involving three or more universities or universities and associations A I D funds will be granted to the lead institution Cooperative agreements will be funded incrementally on an annual basis

Indirect costs or overhead will not be an allowable use of A I D funds However, they may be used to meet matching requirements (see below)

Participating U S and developing country institutions (the linkage partners considered together) will be required to match the cost of the relationship with A I D on at least a one-to-one basis using non-Federal funds dedicated, quantifiable, or in kind resources Such non-federal funds pledged for matching must be considered to be an integral part of the total resources dedicated to linkage activities

Institutions which offer two or more proposals for consideration must be prepared to provide discrete, unique, identifiable matching for each proposal in the event that more than one linkage cooperative agreement is awarded

University match (non-federal cost sharing) must include at a minimum, direct costs of at least 25% of the A I D contribution Other expenditure of non-federal money from the linked institutions which can be used for cost-sharing (matching) are

1 Indirect costs (overhead) up to the allowable audited level

2 In-kind contributions which can be designated, described, and quantified in terms of U S dollars Local currency should be converted at the market exchange rate NOTE REFER TO STANDARD PROVISIONS FOR IN-KIND CONTRIBUTIONS

3 The direct non-Federal contributions of participants other than the institutions of higher education, e g , foundations, private voluntary organizations, private businesses, etc , to the linkage resources may be counted as a part of the required cost-sharing

Payments to participating U S Colleges or Universities (to the lead institution in the case of a consortium) will be made in accordance with the University's preference and following discussions with OP and FM

The A I D and matching funds may be shared among the U S and non-U S institutions as the parties may mutually agree

A I D will manage the project through a project manager designated in S&T/CUCD

The sole Recipient or the Lead Recipient will be responsible for the financial and program management of the Cooperative Agreement including timely submission of all reports, sub-grantee Agreements, and other terms and conditions specified in the implementing cooperative agreement

F Linkage Proposals and Evaluation Criteria.

Based on Project implementation conditions given in VI, A-E above, universities which wish to propose linkage relationships will be required to comply with guidelines for proposal development and will be subject to selection criteria as detailed in Annex 1 Universities will be required also to submit a pre-proposal as outlined in Annex 1A The pre-proposal will be evaluated by A I D /W panels and by Missions

Linkage proposals must contain information on seven major areas which are to be evaluated These areas are

1 Institutional characteristics and capabilities

a U S Universities
b Developing Country Institutions

2 Rationale on which linkage is based

3 Implementation and Management

4 Monitoring and Evaluation

5 Sustainability

6 Budget and Cost Sharing

VI Monitoring Plan

A The sub-project grantees under this project will be required, as a condition of the award, to develop a plan for the monitoring of progress and problems resulting from implementation of the linkages In addition, the cooperative agreements/conditions will require periodic (quarterly) technical progress

48

reports and financial reports In the development of forward work plans by the grantee, the A I D project managers will insure that monitoring plans developed by the grantee conform to a level of information gathering and reporting which is fully appropriate to A I D needs

B Project managers will insure that A I D monitoring systems are developed which

1 Oversee grantee compliance with A I D policies, procedures and regulations

2 Support the grantee's efforts to effectively monitor utilization of resources and accurate forecasting of future problems

3 Identify implementation issues and linkages which are not performing satisfactorily

4 Collect, organize and report to all grantees data and information about the successful implementation of linkages and problems which have hindered successful implementation These data and information will form the basis for analyses and historical reviews of the project

C The monitoring methods which will form the principal basis of the systems to be employed will be

A Quarterly technical and financial reports including technical report information submitted by the developing country institution for inclusion in the report required from the lead or sole U S College/University Financial management reviews of each cooperative agreement recipient will be conducted between 6-12 months after the award

B Consultation with project participants through required formal meetings, informal visits, and workshops (to be held biennially, or more often, in which all linkage grantees will discuss problems and individual successes)

C Review of Annual Reports and Forward Work Plans will provide an additive recapitulation of quarterly reports

D Site visits by consultants or project managers will be employed to monitor progress of the linkages These visits will be largely concerned with the performance and implementation of the technical linkage elements In addition, A I D will remain alert to the need for formal

management reviews of the implementing universities at any time such reviews seem indicated

VII Evaluation Plan

This project will support a variety of sub-projects (linkages between and among institutions) The technical application requires that each objective of each proposed sub-project be specified separately followed by the desired outputs and proposed inputs The timetable for accomplishing the output/input actions will also be required together with the implementing university, i e , U S university, developing country institution, or both In these ways, the individual cooperative agreements contain within each an implementation plan which will facilitate evaluation of progress at any point during the sub-project implementation

Project managers will arrange for an evaluation of each sub-project during the third or fourth year of implementation One or more external evaluators will be used to review progress toward linkage objectives by the developing institution and by the U S institution

The overall project will be reviewed about two and one half years after initiation and every two and one half years thereafter by a team of external reviewers The first and alternate evaluations will be based on reports and documentation from all linkage participants, from mission, and from other A I D bureaus The fifth year (and possibly the tenth year) evaluation will include site visits to developing country institutions The primary purposes of the project evaluations will be to determine progress toward the goals and purposes of the project and unanticipated problems and opportunities and lessons learned from linkages implementation In all evaluations, special emphasis will be placed on the issue of the sustainability of the relationships which are being developed

Women in Development (W I D)

Since the project will consist of distinct sub activities to be solicited and approved for implementation over its life of the UDL project, it is not possible to ascertain in advance how women will participate in the project's implementation as participants However, gender issues are a factor in the evaluation of solicited proposals Secondly, gender disaggragated data will form a part of the evaluation and monitoring criteria of UDL activities to assess the gender dimension on project beneficiaries

VII Administrative Plan

The Center for University Cooperation in Development (CUCD) will manage the project For the first year, approximately one full-time direct hire project manager will be required For

405

years two through eight, approximately two full-time staff will be required for project management These staff requirements can be met with present staffing, particularly as management requirements for terminating projects diminish

The clerical staff and project management effort in CUCD will be supplemented by a supporting services contractor Supporting services will provide for part of the routine organizational business of grant documentation, data collection and data reporting

Review of pre-proposals will be accomplished by a combination of CUCD project managers, mission and regional bureau cooperators and an S&T bureau committee Review and selection recommendations for full proposals will be provided by disinterested peer review panels organized and managed by the National Research Council's Board on Science and Technology for International Development (BOSTID) through an extant and continuing contract with BOSTID

We have made the U S partner the grant recipient to simplify management and remove as much management load and particularly the financial accounting load from the missions as possible For the core linkage and any other buy-ins using non-mission funds, we would expect the only burden on the mission would be mission commentary on pre-proposals and proposals, routine coordination and collaboration between mission and linkage partners as serves mission interests, and mission input in the program evaluation

IX Environmental Statement

As outlined in A I D Handbook 3, Appendix 2D, the nature of the proposal projects and the sub-projects to be supported by it are properly characterized under 216 2 (C)(1) Categorical Exclusion (i) Action which does not have an effect on the natural or physical environment, and (iii) Research activities which may have an effect on the physical and natural environment but will not have a significant effect as a result of limited scope, carefully controlled nature and effective monitoring

The activities supported by the project will come within the following classes of actions described under 216 2 (C)(2) (i) Education, technical assistance, or training programs, (ii) controlled experimentation (iii) Analyses, studies, workshops, and meetings, (v) Document and information transfers, and (vii) Institutional building grants to U S education institutions Should any proposal involve greater environmental attention, it will be provided

ANNEX 1

PROPOSAL GUIDELINES AND SELECTION CRITERIA

I THE LINKAGE PROGRAM

The linkage program is designed to foster sustainable institutional relationships in education, research, and extension between U S colleges and universities and counterpart institutions in developing countries To be sustainable, such linkages must produce tangible benefits for all parties It must serve the internationalization needs of U S colleges and universities and the development needs of developing country institutions and the societies they serve Cross linkages, among U S and among developing institutions, will also be fostered

Criteria for selection of linkages are given in Selection Criteria Please refer to this section for additional information relating to content of proposals

Particularly desirable attributes of proposals are those that

- demonstrate over-matching or leveraging additional resources,
- emphasize outreach endeavors on the part of developing country institutions,
- enhance university support for internationalization of U S institution,
- demonstrate a unique fit or symmetry in the linkage,
- demonstrate that the Linkage is an instrument for accomplishing a sustainable relationship not an end in itself,
- show a significant portion of total resources expended in or for the benefit of the linked developing country

The Linkage Proposal

A The Pre-Proposal

Applicants to the Linkage program must submit a Pre-Proposal Please see Pre-Proposal instructions in Annex 1A

B The Proposal

1 The full Linkage proposals shall follow the outline given below and contain the following information

a Title of Linkage

407

b Executive Summary

The executive summary shall include the title of the linkage, information on item c below and information on the following items

- Institutional characteristics and capabilities (all participating parties)
- Rationale of linkage
- Summary Workplan of each linkage objective (see sample) Workplan attached (same as for pre-proposal)
- Monitoring and evaluation
- Sustainability
- Budget and cost-sharing

The executive summary may not exceed four single spaced pages, excluding the participant list, title, the summary workplans for each linkage objective and budget cost sharing

c Participants

- Who will be linked?
- Identify all the institutions that will be participants
- Identify the lead U S university/college
- Identify the principle contact person for each institution (name, address, phone, fax)

2 The Institutional Characteristics and Capabilities

a U S Universities/Colleges - Indicators of Internationalization Describe explicit and verifiable institutional characteristics of each U S institution relating to the following

(1) Administrative Policy Commitment
(2) Faculty Commitment
(3) Resource Commitment
(4) Public Support
(5) Academic Programs

b Developing Country Institutions - Indicators of Development Impact and Institutional Impact Describe the capacity and specific programs of developing country institution in meeting community/societal needs in terms of
(1) Administrative Policy Commitment
(2) Faculty Commitment

(3) Resource Commitment
(4) Public Support
(5) Academic Programs
(6) Societal Needs Assessment

3 The Linkage

a Rationale
Describe how this Linkage

(1) optimizes the strengths of each institution
(2) is structured so as to attract other participants and leverage other resources to improve opportunities for sustainability
(3) results in benefits that are greater than those that might be achieved by the institutions separately
(4) will add to the internationalization goals of the U S institution and to development impact goals of the developing country institution

b Implementation and Management

Please describe in detail what the linked institutions are proposing to do

(1) What are your objectives?
(2) What activities will you undertake to achieve these objectives?
(3) What are your anticipated outcomes from these activities?
(4) When do you anticipate achieving these outcomes?
(5) Who will undertake these activities and with what resources (both institutional and human) Describe fully the roles of each institution
(6) Where will these activities take place?
(7) Please complete the summary work plan for each objective (Annex 1A)

c Monitoring and Evaluation

What is your plan for monitoring and evaluating the anticipated accomplishments?

d Sustainability

How will you sustain these activities beyond AID funding?

e Budget and Cost Sharing
See Selection Criteria

II SELECTION CRITERIA

The Linkage Proposal

A The Pre-proposal (see Annex 1A)

B The Proposal

1 See Face Sheet (Annex 1B)

Total = 200 Points

2 The Institutional Characteristics and Capabilities

This part should present a current snap shot of the internationalization of your university, current status, plans and policies, and the status of their implementation The section addresses university wide internationalization activities out of the conviction that sustainable support for any particular linkage is dependent upon the degree to which a university, its leadership, its faculty, its students, and its support groups are committed to internationalization in general as well as how it relates to the particular link(s) being proposed

100 Pts a Indicators of Involvement by U S Institutions Describe explicit and verifiable internationalization characteristics of each U S institution relating to the following indicators

18 Pts (1) Administrative Commitment to include

(a) Institution mission statement about internationalization goals and international interests

(b) Strategic plans which show specific timetables for near- and long-term efforts

(c) Administrative structure which involves institution-wide coordination and visibility at a high level for international efforts

25 Pts (2) Faculty Commitment to Include

(a) Administrative and staff policies which encourage faculty and through them student involvement in international activities

(b) The degree to which faculty hiring, promotion and tenure policies give explicit weight to international involvement and experience

(c) The availability of internationalization experience for faculty and the incentives to encourage faculty participation

20 Pts (3) Resource Commitment to include

(a) Financial support to international programs, direct and indirect costs

(b) Major international grants and contracts and collaboration with international organizations and institutions of higher education

(c) Evidence of faculty commitment to international activities including faculty and staff time, course offering, and student exchanges

(d) Library holdings and communications systems and capabilities pertinent to international relationships

(e) Language requirements and offerings relevant to internationalization objectives

(f) Internationally oriented education and awareness programs for faculty, staff, alumni, Board of Trustees, etc

20 Pts (4) Public Support

(a) Degree of integration of internationalization strategies into campus life

(b) Community programs, building on constituency e g alumni associations, state legislature, and business groups

(c) Relations with K-12 and post-secondary schools in international activities

17 Pts (5) Academic Programs

(a) Range, levels, and enrollment in majors, minors, concentration, specializations, and area studies relevant to the linkage proposal

(b) Diversity, levels, enrollments and degree requirements for relevant languages

(c) Integration of international topics in general courses

(d) English as a Second Language offering

(e) Interdisciplinary approaches

100 Pts b Indicators of Capacity of Developing Country Institutions
Describe the developing country institution's programs that relate to its capacity to enter into a sustainable relationship with U S universities in furtherance of the development needs of its society This part parallels part B 2 a in that it should present a "snap shot" of the developing country institutions commitment to and resources for a sustainable international partnership However, it should also describe the developmental relevance of the developing country institutions, i e , the degree to which its policies and programs focus on the development need of its country or region and prepares its students for developmentally relevant career

9 Pts (1) Administrative Commitment to include

(a) Institution mission statement about societal and developmental goals and international interests

(b) Strategic plans which show specific timetables for near- and long-term efforts

(c) Administrative structure which involves institution-wide coordination and visibility at a high level for societal, developmental and international efforts

13 Pts (2) Faculty Commitment to include

(a) Administrative and staff policies which encourage faculty and through them student involvement in local, regional and international activities

(b) The degree to which faculty hiring, promotion and tenure policies give explicit weight to local, regional and international involvement and experience

(c) The availability of regional and internationalization experience for faculty and the incentives to encourage faculty participation

10 Pts (3) Resource Commitment to include

(a) Financial support (direct and indirect costs) for programs which help to achieve strategic plans, goals and mission statement

(b) Major country, regional and international grants and contracts and collaboration with international organizations and institutions of higher education

(c) Evidence of faculty commitment to local, regional and international activities including faculty and staff time, course offering and student program on-campus as well as exchange program

(d) Library holdings and communications systems and capabilities pertinent to local, regional and international relationships

(e) Language requirements and programs relevant to local, regional and internationalization objectives

(f) Internationally oriented education and awareness programs for faculty, staff, alumni, Board of Trustees, etc

10 Pts (4) Public Support

(a) Degree of integration of local, regional and internationalization strategies into campus life

(b) Community programs, building on constituency e g , alumni associations, state legislature, and business groups, private sectors, NGOs and P V O s

(c) Relations with primary vocational and post-secondary schools in local, regional and international activities

8 Pts (5) Academic Programs

(a) Range, levels, and enrollment in majors, minors, concentration, specializations, and area studies relevant to local, regional and internationalization objectives in general as well as to the linkage proposal

(b) Diversity, levels, enrollments and degree requirements for relevant languages

(c) Integration of local, regional and international topics in general courses

(d) English as a Second Language offering

(e) Interdisciplinary approaches

50 Pts (6) Needs Assessment

25 Pts (a) Describe the local, regional needs of the developing country in broadly defined terms

25 Pts (b) Describe the methodology for identifying those needs

Total = 200 Points

3 The Linkage

25 Points a Rationale This section should describe how the situations described in parts B 2 a and b will be changed as a result of the linkage It should describe the internationalization and developmental activities planned during the linkage period which are

generally relevant to achieving a sustainable linkage as well as the particular activities to be undertaken by or through the linkage

(1) The proposal clearly and adequately describes how the linkage capitalizes on the strengths of each institution involved

(2) The proposal has incorporated other participants and shows how resources have been leveraged to insure the endurance of the linkage

(3) The proposal is clear about the development issue(s) on which the applicant has decided to focus and how the linkage is going to tackle this issue(s)

(4) The proposal defines in realistic terms what the applicants expect to be able to accomplish through this linkage, and how this linkage will (a) further the U S university's internationalization endeavors and (b) increase the capacity of the developing country institution in meeting its community/societal needs

50 Points b Implementation and Management

(1) The proposal clearly describes the major objectives of the project and details a series of specific activities and outcomes which will lead to the accomplishment of these objectives

(2) The proposal outlines a management plan for effective implementation of the program and coordination processes It should identify outcomes or achievements expected, and exactly how the applicant will be able to measure them

(3) The proposal clearly delineates the timing and duration of project activities laying out in detail project activities versus time frame and indicating major milestones

(4) The proposal defines the nature and level of specific resources needed to carry out project activities, and explains where these inputs are expected to come from To the extent the linkage anticipates involving other institutions and organizations as participants and/or contributors, the plan for obtaining their participation and the nature of that participation should be outlined

(5) The proposal indicates which individuals and departments will be responsible for what functions, and the nature and **level** of staff support which will be available from other parts of the institution It sets out the division of responsibility among various parts of the linked institutions, as well as assuring a level of effort which seems sufficient to carry out the work described

(6) The proposal provides sufficient information concerning the person designated to head the project to verify that this person is qualified

(7) The proposal presents a well-developed, time-phased work plan for project implementation, articulating in calendar format the major linkage actions and anticipated accomplishments

(8) The proposal has the concurrence of all partners

25 Pts c Monitoring and Evaluation

(l) The indicators which the applicant has formulated to assess project performance are described in sufficiently measurable terms and seem appropriate and adequate to make determinations about progress toward attainment of project objectives

(2) The proposal adequately defines quantitative and qualitative criteria the applicant intends to use to judge the success of the project and these criteria seem to be appropriate in terms of project activities

(3) The proposal demonstrates that provision for monitoring and evaluation has been factored into the project design and the project calendar in a manner adequate to carry out those functions, that the methodology proposed is deemed appropriate for the type and level of activity involved in this project, and that the applicant has allocated sufficient resources to execute the evaluation plan

60 Pts d Sustainability

(l) The proposal demonstrates understanding for the need of sustainability beyond A I D funding by including specific plans for actions such as

(a) Planning for early involvement of multiple outside funding sources, e g, foundations,

(b) Forming collaborative projects with the private sector and NGOs,

(c) Leveraging and linking with other sources of funds including other grants,

(d) Stakeholders are involved from the beginning (with annual meetings) and outputs (benefits) are valued by both institutions,

(e) Networking with alumni associations, private sectors, and informal sectors, and,

(f) Gaining expertise in grantsmanship

40 Pts e Cost Evaluation Criteria

10 pts (l) Costs will be evaluated for general reasonableness, availability and the degree to which financial resources of the proposed linkage are directed to support the principal objectives and activities A significant proportion of funds will be used by the developing country institution in the implementation of joint plans Budget format and financial information are given in RFA

30 Pts Amount of Cost-Sharing (non-federal funds)

(2) The amount of cost-sharing will be evaluated by A I D and considered by the Peer Review panels The cost application among acceptable applicants, which has the highest amount of cost-sharing contributions, shall become the standard against which other cost application among all acceptable applicants will be judged For example The cost application among acceptable applicants with the highest amount of cost-sharing contributions contains $0 5 million in contributions A second cost application contains $0 2 million in contributions

Amount of Highest Contribution	$0 5 million	Score = 1 00
Amount of Contributions by Second Applicant Divided by Highest Contribution	$0 2 million / $0 5 million	= 0 40

Each applicant's score is then multiplied by 30 points Therefore, the applicant with the highest contribution would receive 30 points, the second applicant would receive 12 points

ANNEX 1A

AGENCY FOR INTERNATIONAL DEVELOPMENT
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM
GUIDELINES FOR PRE--PROPOSALS

You are required to submit a pre-proposal for consideration by A I D Pre-proposals found to be acceptable will qualify the proposer to submit a full proposal Please read carefully the grant conditions for eligibility and awards, and selection criteria for the full proposals

Pre-proposals should be indicative of concepts that will be more fully elaborated upon in full proposals and evaluated by selection criteria

All pre-proposals will be subject to review by appropriate U S A I D missions or regional office for consistency with U S national interests for that country

Pre-proposals should contain the following information and in the following format

1 Maximum length may not exceed 4 single-spaced pages, excluding Face Sheet, Summary Institutional Profiles, institution concurrences, and a Workplan (see below) Please do not append or attach other information

2 Lead institution must complete a Face Sheet (form attached).

3 For each participating institution, please submit written evidence of their commitment to proposed linkage

4 Complete a Summary Institutional Profile for each participating institution (form attached)

5 Describe the linkage relationship(s) that you are proposing In a workplan format, please outline your proposed objectives, activities, implementation plans and anticipated outcomes or accomplishments An example of a workplan is attached You may, in addition, wish to refer to sections on the Linkage and Selection Criteria for background

6 Please provide brief answers to the following questions (by topic reference)

A Benefit

How will the end products of the proposed linkage and identified area(s) of interest increase the U S institution's internationalization progress?

How will the proposed linkage increase the capacity of the developing country institution to meet its community/societal needs?

B Rationale

What will the developmental impact of this linkage be over time?

C Sustainability

How will the proposed linkage be sustained beyond five years?

AGENCY FOR INTERNATIONAL DEVELOPMENT
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM
FACE SHEET

Lead Institution

Address

Contact Person

Name _____

Title _____

Tel _____

Fax _____

Linkage Project/Title (one **sentence)**

Linkage Project Summary (Limit to 50 words)

Geographic Concentration
(of project activities)

421

Participating Institution(s)

Signature of university official authorized to commit university

_____

Position _____

4/22

SUMMARY
INSTITUTIONAL PROFILE*
UNIVERSITY DEVELOPMENT LINKAGES PROGRAM

(Please complete for each participating institutions)

Institution _____ Tel _____ Date _____

Fax _____

Address

Name of Contact Person

Number of Faculty _____

Number of Students _____ Full time _____ Part time _____

Graduate _____ Undergraduate _____

Number of Foreign Students Graduate _____ Undergraduate _____

Number of full-time Students Studying Abroad _____

Profile [Public, private, for-profit, not-for-profit]
[Organized relationships within governments, if any]
[Principal purposes of institution/organization]

Principal Colleges

423

Schools

Institutes

Approximate Amount of Grant/Contract Support Received for Last Year

Domestic Activities _____

Foreign Activities _____

*This information is being collected for statistical analysis and to develop institutional data bases and will not be used as a part of the proposal evaluation process

424

ANNEX 3

ELIGIBLE COUNTRIES
FOR THE UNIVERSITY DEVELOPMENT LINKAGES PROGRAM
JANUARY 1991

AFRICA	ASIA	NEAR EAST	LATIN AMERICAN/ CARIBBEAN
Botswana	Bangladesh	Morocco	Belize
Burkina Faso	Burma	Tunisia	Bolivia
Burundi	Fiji (S Pacific)	Turkey	Chile
Cameroon	Indonesia		Colombia
Cape Verde	India		Costa Rica
Gambia	Mongolia		Ecuador
Ghana	Nepal		Guatemala
Guinea	Sri Lanka		Haiti
Guinea-Bissau	Thailand		Honduras
Kenya			Jamaica
Lesotho			Mexico
Madagascar			
Malawi			
Mali			
Mauritania			
Mozambique			
Nigeria			
Rwanda			
Senegal			
Swaziland			
Tanzania			
Togo			
Uganda			
Zaire			
Zimbabwe			

425