

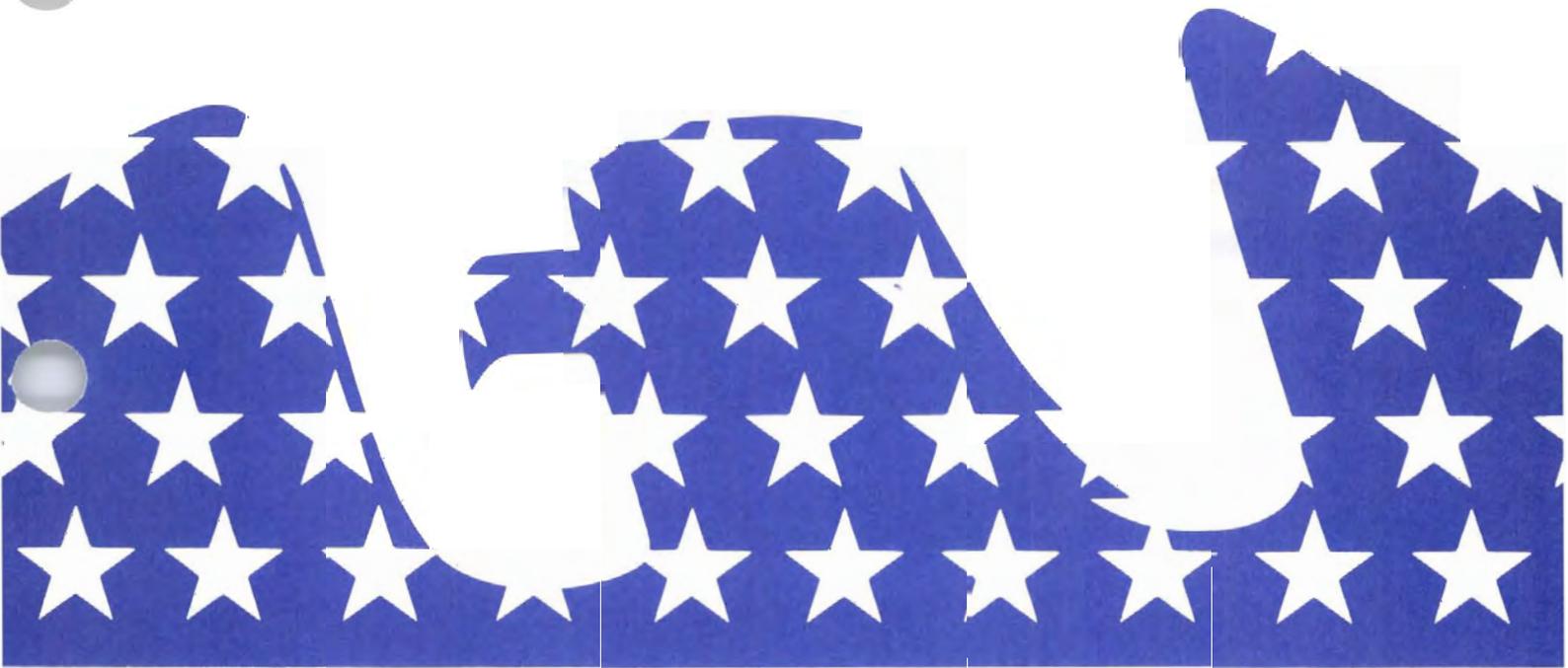
POLICY DETERMINATION

Agency for International Development

PD-4

October 5, 1982

TITLE XII



Policy Directive on Title XII

Summary

Over the past five years, the Agency has made much progress in facilitating the application of Title XII resources, assisted by BIFAD and its mechanism, in the planning and implementation of activities under the Title XII mandate. However, since becoming Administrator, I have felt that this legislation was not being implemented as fully as it could be. This feeling was reinforced by a GAO Report to the Congress dated October 16, 1981 which stated that there was a lack of clear policy direction on Title XII and poor communication and guidance between AID and its missions, contributing to uncertainty about how to implement Title XII within country programs. I am therefore issuing this Policy Directive to clarify and reaffirm the Agency's commitment to carrying out the mandate of the Title XII legislation and to provide guidance for its more effective implementation. It is my intention that the Agency take immediate and continuing steps to:

- Continue emphasis on Title XII-type activities in agriculture and food-related areas;
- identify each project or sub-project falling under Title XII definitions, as early as possible in project development; and
- mobilize the best and most appropriate Title XII resources for each project need, rapidly and effectively, either alone or together with non-Title XII resources, using all mechanisms at our disposal.

To recap, Title XII was enacted into law in December, 1975 to improve the participation of U.S. agricultural universities in the Agency's efforts to apply more effective agricultural sciences to the goal of increasing world food production, and to encourage the provision of increased and longer-term support to the application of science to solving food and nutrition problems of the developing countries.

1. Definitions - Projects or sub-projects which qualify as Title XII activities are those which have as a primary objective the development of the LDC capacity for research, education, and/or extension, the training of participants, the conduct of research, the building or strengthening of related institutional infrastructure, and/or the provision of university advisors to development projects, all in agriculture, aquaculture, nutrition, agriforestry or closely-related fields. Also included under the purview of Title XII are the

new initiatives of the Collaborative Research Support Program (CRSP) and the Strengthening Program, as well as such long-standing programs as support to the International Agricultural Research Centers whose work is integral to other Title XII resources.

A Title XII activity is implemented through a contract, cooperative agreement or grant; it may involve a single university, a cluster of universities or a mixture of universities and USDA or NOAA, and/or an agribusiness or non-profit firm, to the extent that their own personnel are required for the activity. There may be exceptional circumstances when a non-Title XII resource, with special capabilities, is chosen to implement what by subject-matter definition might otherwise be classified as a Title XII activity. However, normally, as the Title XII legislation indicates, the involvement of the U.S. agricultural universities in these types of projects is essential not only for their scientific expertise and professional backstopping, but also for their experience in building institutions, for feeding the development assistance experience back into teaching and research in a cumulative and systematic fashion, and for involving LDC colleagues in the continuing academic and scientific world-wide network.

For classification purposes, a Title XII activity may be a project in itself or a sub-project as a component of a larger project, in which case the remainder of the project (the non-Title XII components) might consist of commodities or construction, for example, and would not be included in the Title XII listing. For institution-building activities, where the costs for laboratory equipment and library materials (relatively modest) are part of the university contract, these costs are included for the purposes of reporting total Title XII expenditures to the Congress; however, capital costs (usually quite large) are excluded for general development projects such as those in irrigation or agricultural credit, and only the costs of the technical assistance of university advisors are included as a Title XII expenditure.

The following factors have no bearing on the definition of a Title XII activity:

- Funding Source - AID activities meeting the above substantive criteria are considered to be Title XII regardless of funding source. They may be financed from Section 103, other sections of DA funds (such as an agricultural education project under Section 105), ESF or the Sahel Development fund.
- Contracting Mode - The Collaborative Assistance Method of contracting obviously comes the closest to meeting Title XII objectives. However, since the Standard Uni-

versity Contract is appropriate for shorter-range, more highly specified activities, both modes are included in Title XII, as well as both direct AID contract and host country contract.

- Date of Authorization - A few projects meeting the substantive Title XII criteria may have been authorized prior to the enactment of the Title XII legislation in December 1975. Since they are not distinguishable, in any substantive way, and continue to benefit from Title XII mechanisms and resources, they are also included in Title XII.

2. Identification of Resources - It is intended that Title XII activities, as defined above, should be carried out, insofar as possible and appropriate, by Title XII institutions, with any additional non-Title XII resources as may be needed, under sub-agreements. It is therefore essential that missions identify Title XII activities at a very early stage in project development. If, for some reason, it is felt that the resources of Title XII institutions are inappropriate for a particular task, or if a non-Title XII resource is uniquely appropriate, the rationale for such resource selection must be documented. In such cases, the activity would subsequently be dropped from the list of Title XII activities. The Agriculture Sector Council can assist in the application of Title XII definitions. Projects or sub-projects thus determined to be Title XII activities will be flagged as such (by the notation "XII") in project descriptions, and will have the assistance of all Title XII mechanisms, as appropriate, throughout the development, design, implementation and evaluation of the project.

Particular attention will be placed on improving the process of matching the highest quality and the most appropriate U.S. institution, cluster of institutions, or existing consortium, to the task to be undertaken. In order to determine the nature and mix of the resources required for a proposed project, it is absolutely essential to have a well-thought-out statement of project needs in the PID. (This step is frequently deferred to the PP which, in the case of the Collaborative Assistance Method of contracting, means that the contractor is to be selected before there is adequate information on which to base such selection.) When a mix of resources is required (several universities, Title XII/non-Title XII entities, etc.), attention should be paid to an effective management arrangement, normally under the lead of the entity providing the bulk of the resources required. This entire matching process, in which the Title XII mechanisms are prepared to engage, may involve considerable interaction, even site visits, between the academic community and the mission, host country and/or AID/W. For Title XII activities so identified, we are committed to be both

expeditious and effective in mobilizing these resources, whether from within the academic community itself or combined with agribusiness, foundation or other federal agencies. We expect this process to be monitored for further refinements, or improvements.

3. BIFAD Mechanisms - To assist in the application of these resources to programs and activities under Title XII, the legislation established a Presidentially-appointed Board for International Food and Agricultural Development (BIFAD), with provisions for its support from subordinate committees and staff. The primary mission of BIFAD is to help the Agency mobilize and utilize the faculty and institutional resources of Title XII institutions, and to advise and assist AID to develop and implement activities. BIFAD's Joint Research Committee (JRC) and Joint Committee on Agricultural Development (JCAD) have recently been combined into the Joint Committee on Agricultural Research and Development (JCARD). While this body reports to the Board, it consists of members from Title XII institutions, USDA, NOAA, the private sector and agricultural officers from the four regional and three central bureaus.

The BIFAD Support Staff provides staff support to the Board and JCARD. It is located in the Office of the Administrator and is headed by an Executive Director who reports to the Board Chairman who, in turn, advises the Administrator on matters pertaining to Title XII. This Staff consists of IPAs from the university community and Agency people on detail assignments. It facilitates the effective application of Title XII resources to Agency needs, maintains the Registry of Institutional Resources, and serves as Secretariat to the Board. It will focus its efforts on the identification and recommendation of the best mix of university resources for individual Agency projects.

4. Joint AID/BIFAD Resolution - In May 1981, BIFAD Chairman Clifton Wharton and I signed a Joint Resolution (Attachment A) which agrees that:

- U.S. universities are a special resource to be utilized fully and completely under Title XII;
- BIFAD's primary mission is to help AID mobilize and utilize these resources and develop and implement Title XII program components; and
- both AID and BIFAD are committed to prompt action necessary to carry out this Title XII mandate.

In carrying out this Resolution, I expect greater emphasis and attention to be focused on Title XII-type projects in which human skills and knowledge, and institutional capabilities are

strengthened and applied to developing country food and nutrition problems. It is important to recognize, as the legislation states, that our efforts in these areas must be approached on a long-term basis, both in the planning stages and in our policies and procedures for implementation.

I expect the Missions to participate actively in the various CRSP efforts in preparing for effective host-country involvement in such research and in facilitating field activities to maximize the objectives of the program.

We are currently revising the Guidelines for Travel Under the Strengthening Program in which we will be asking the Missions to take a more active role (as some are already doing) in placing Strengthening Grantee personnel so that they might gain longer-term work experience more relevant to future contract assignments. I hope the Missions can also find ways to utilize the technical expertise of these personnel as they gain useful country experience.

5. Some New Initiatives - The effectiveness of Title XII, in the final analysis, will be measured by the effectiveness of the involvement of Title XII institutions in the development, design and implementation of specific Agency projects and programs. To this end, we are developing appropriate mechanisms for getting the universities involved more directly and effectively in the field where programs and projects are initiated and implemented. The Agency, with BIFAD's help, is dedicating itself to ensuring that needed new mechanisms are put in place by the end of this fiscal year. Concerted action is being taken on the following fronts:

- In light of the problems caused by utilizing host-country contracts for university projects, I have modified Agency policy to indicate that direct contracting may often be the better choice where universities are involved.
- We are negotiating Memoranda of Understanding (MOU) which among other things, will define the technical and geographic areas in which AID expects to utilize each university's expertise, and will identify a core of staff professionals who will be designated for long-term participation in Agency programs.
- We have drafted an Operations Manual and a model agreement for a Joint Career Corps (JCC) under which university professionals would agree to spend about 1/3 of their time with AID in 2-4 year tours, (mostly overseas) and 2/3 back at their university. We are attempting to identify 25 positions at present.

- We have drafted procedures for the Joint Enterprise Mode (JEM), designed primarily, but not exclusively, to involve specialized expertise at the smaller, less-LDC-experienced institutions in joint agreements with the more experienced institutions in Agency work. A pilot project is being developed to try out the new arrangement.

- As we are completing the analysis of the overall Strengthening Program, as planned for this third year, and as we are moving out of the initial phase of reorienting administration and faculty, we are revising the guidelines and procedures for these grants, increasing the focus and structure of individual activities, including subject and geographic concentration, to be more directly related to ongoing and anticipated projects with AID.

- We have awarded three TSMS (Technical Support to Missions) by which a university provides assistance to a Mission in designing, analyzing or evaluating its programs and projects. By working with institutions having significant in-country experience, Missions can have rapid access to current, readily-available expertise based on specialized, accumulated experience.

Similarly, the university community is recognizing its responsibilities in increasing university effectiveness in Agency programs. Discussions between AID and BIFAD led to an exercise which produced a "Statement of Principles for Effective Participation of Colleges and Universities in International Development Activities" (Attachment B) prepared by the National Association of State Universities and Land Grant Colleges (NASULGC).

Also, following a request from the Agency, BIFAD, through NASULGC, has set up a Task Force to establish a set of Standards of Performance for use in evaluating the work of universities in the implementation of AID-funded projects. This will be transmitted when completed. The Board and its Staff stand ready to assist in the resolution of issues arising in the implementation of Title XII projects. I strongly urge missions to bring any such issues or problems to the attention of AID/W early on so that it may work with BIFAD Staff on corrective action. Problems must not be allowed to fester.

6. AID/W Backstop - Questions on the general interpretation and application of this Policy Directive should be addressed to S&T/RUR (Research and University Relations, formerly S&T/XII). Questions regarding BIFAD mechanisms and responsibilities (paragraph 3) should be addressed to the BIFAD Staff. BIFAD

and its Staff and S&T/RUR have participated in the development of the policies on which this Directive is based and will continue to consult in responding to questions on policy and procedures.

2 Attachments:

Attachment A - A Joint Resolution

Attachment B - Statement of Principles

S&T/RUR:CHBarker:dma:9/9/82:58929:W3003A

A JOINT RESOLUTION OF AID AND THE BIFAD

Title XII of the Foreign Assistance Act in the 1980's:
Science and Technology in Support of AID's Programs

Whereas: U.S. Agricultural universities have assisted AID, and its predecessor agencies, to carry out U.S. assistance programs these past 30 years in developing countries around the globe; and

Whereas: U.S. agricultural university involvement resulted in training significant numbers of people in developing countries, and building and strengthening local institutional capacity which clearly contributed to the achievement of "graduate" status in some former AID Countries; and

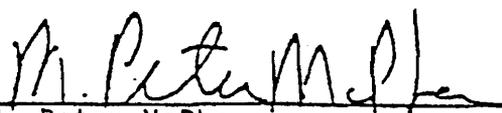
Whereas: The Title XII Amendment in late 1975 reaffirmed and enhanced the role of universities in AID's agricultural and rural development programs, and gave greater Congressional mandate to their involvement; and

Whereas: The Title XII Amendment changed the mode of university involvement in AID programs to one of greater collaboration and partnership, in a longer term setting; and

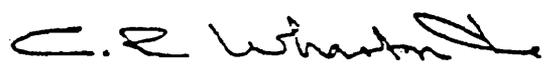
Whereas: The U.S. Agricultural universities provide a strong human and institutional resource to support, advise and assist developing countries in planning and executing selected elements of their agriculture and rural development programs.

Therefore, be it resolved and agreed by AID and BIFAD that:

1. AID recognizes that U.S. universities are a special resource and intends to make every effort to involve and utilize them fully and completely in accord with the provisions of the Title XII Amendment;
2. BIFAD recognizes that its primary mission is to help AID to mobilize and utilize the faculty and institutional resources of eligible universities, and to advise and assist AID to develop and implement the components of the Title XII program;
3. Both AID and BIFAD are committed to taking prompt action necessary to carry out fully the mandate of Title XII in terms of using the resources of U.S. universities in achieving developing country agricultural and rural development and nutrition goals.


M. Peter McPherson
Administrator, Agency for
International Development

May 20, 81
Date


Clifton R. Wharton, Jr.
Chairman, Board for International
Food and Agricultural Development

May 26, 1981
Date

STATEMENT OF PRINCIPLES
FOR EFFECTIVE PARTICIPATION OF COLLEGES AND UNIVERSITIES
IN INTERNATIONAL DEVELOPMENT ACTIVITIES*

There has been a growing awareness in the U.S. in recent years of global interdependence, and a recognition of the need for greater cooperation between the U.S. government and the American higher education community in international development work. This perspective is fully in keeping with the community's long standing sensitivity to the broad needs of society, and with a developed attitude of enlightened self interest which dictates that institutional sensitivity and commitment extend to the needs of societies of other nations, particularly the less developed.

Colleges and universities across the nation are seeking ways of strengthening their capacities to participate, particularly in international development assistance, and to do so with optimal effectiveness and accountability. The purpose of this statement is to set forth some basic principles of good practice for such participation.

Universities and colleges engaged in international development contracts should be expected to perform professionally in ways most likely to lead to success abroad, in keeping with the acknowledged importance as well as the difficulty and complexity of the task. International development contracting cannot be taken lightly. It calls for a special effort and attention to certain policies and practices which are in addition to those followed for successful domestic programs.

Recognizing the healthy diversity among U.S. colleges and universities and the considerable variation from one international contract project to another, there are certain basic principles of good practice which experience supports as being critically important. Each principle is important. Lack of attention to one or more would show lack of determination or seriousness of purpose, and would not auger well for the institution's performance in international project relations. Yet, each might be pursued differently on different campuses and in different contractual arrangements.

The following are considered necessary factors to provide a basis for effective institutional participation in international developmental activities:

1. Evidence that the administration and faculty of the institution are committed to international development work.
2. Adequate internal administrative and faculty review procedures to assure that the choice of overseas project opportunities is consistent with the institution's mission, commitment and competencies.
3. Availability of requisite personnel resources to assure effective, continuous institutional involvement in chosen projects.

4. Personnel policies and practices which assure that high quality, professionally active faculty members have incentives to become involved in developmental activities.
5. Appropriate administrative practices and policies to facilitate the provision of timely logistical support and professional services for individuals and groups abroad for varying time periods and in diverse locations.
6. Concerted effort, in the planning process, to gain a full understanding of the unique cultural variations applicable to each project, provisions for adequate cultural orientation for project personnel, including language when appropriate, and due consideration of the sensitivity of individuals to cultural variations in the selection of project personnel.
7. Established procedures within the institution for seriously evaluating its international work so that projects can be monitored on a continuous basis and performance corrected promptly when necessary.
8. Deliberate and sustained effort to assure that the benefits of international development experience are integrated into both ongoing campus programs (e.g. curriculum, research, individual courses) and relationships with institutions abroad.
9. Policies and practices recognizing not only the training component needs of development projects, but also the concomitant special requirements related to matriculation, advising, programming, and support services needed to provide appropriate training for foreign students, particularly participant trainees.

February, 1979