

I. PROJECT IDENTIFICATION

PROJECT TITLE
 US/LDC University Relations - Study Grant to the National Association of State Universities and Land Grant Colleges (NASULGC)

3. RECIPIENT (agency) <input type="checkbox"/> COUNTRY _____ <input type="checkbox"/> REGIONAL _____ <input checked="" type="checkbox"/> INTERREGIONAL <u>Worldwide</u>	4. LIFE OF PROJECT BEGINS FY <u>1975</u> ENDS FY <u>1976</u>	5. SUBMISSION <input type="checkbox"/> ORIGINAL <u>2/12/75</u> DATE <input type="checkbox"/> REV. NO. _____ DATE CONTR./PASS NO. _____
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II. FUNDING (\$000) AND MAN MONTHS (MM) REQUIREMENTS

A FUNDING BY FISCAL YEAR	B. TOTAL \$	C. PERSONNEL		D. PARTICIPANTS		E. COMMODITIES \$	F. OTHER COSTS \$	G. PASA/CONTR.		H. LOCAL EXCHANGE CURRENCY RATE: \$ US _____ (U.S. OWNED)			
		(1) \$	(2) MM	(1) \$	(2) MM			(1) \$	(2) MM	(1) U.S. GRANT LOAN		(2) COOP COUNTRY	
										(A) JOINT	(B) BUDGET		
1. PRIOR THRU ACTUAL FY													
2. OTHN. FY 1975	175							175					
3. BUDGET FY													
4. BUDGET -1 FY													
5. BUDGET -2 FY													
6. BUDGET -3 FY													
7. ACT. ENDS FY													
8. GRAND TOTAL	175							175					

9. OTHER DONOR CONTRIBUTIONS

(A) NAME OF DONOR	(B) KIND OF GOODS/SERVICES	(C) AMOUNT

III. ORIGINATING OFFICE CLEARANCE

1. DRAFTER Clifford S. Liddle	TITLE Project Manager	DATE 4/13/75
2. CLEARANCE OFFICER James B. Chandler	TITLE Director, TA/EHR	DATE 4/3/75

IV. PROJECT AUTHORIZATION

1. CONDITIONS OF APPROVAL

Note: this proposal was presented to the Research Development Committee on December 3, 1974 and subsequently was circulated to all committee member for further review/comments. Substantive comments have been incorporated and concurrences received.

DATE	SIGNATURE	DATE	OFF. TITLE	SIGNATURE	DATE
	R. Kitchell <i>RK</i>	3/5/75	PPC	Arthur M. Handly	
	G.R. Fritz <i>GFR</i>	3/16/75			

2. APPROVAL BY AID (S.A. M.O. 2025.1) (100) _____ Acting Assistant Administrator, TAB	3. APPROVAL BY AID (S.A. M.O. 2025.1) (100) _____ ADMINISTRATOR, AGENCY FOR INTERNATIONAL DEVELOPMENT
DATE 4/1/75	DATE 4/3/75

AID 1350-1X (9-70)	DEPARTMENT OF STATE AGENCY FOR INTERNATIONAL DEVELOPMENT	1. Cooperating Country Interregional	Page 1 of 1 Pages
PIO/T	PROJECT IMPLEMENTATION ORDER/TECHNICAL SERVICES	2. PIO/T No.	3. <input checked="" type="checkbox"/> Original or Amendment No. _____
		4. Project/Activity No. and Title US/LDC University Relations - Study Grant to the National Association of State Universities and Land Grant Colleges (NASULGC)	

DISTRIBUTION	5. Appropriation Symbol	6.A. Allotment Symbol and Charge	6.B. Funds Allotted to: <input checked="" type="checkbox"/> A.I.D./W <input type="checkbox"/> Mission	
	7. Obligation Status <input checked="" type="checkbox"/> Administrative Reservation <input type="checkbox"/> Implementing Document		8. Funding Period (Mo., Day, Yr.) From <u>5/1/75</u> To <u>12/31/76</u>	
	9.A. Services to Start (Mo., Day, Yr.) Between <u>5/1/75</u> and <u>6/30/75</u>		9.B. Completion date of Services (Mo., Day, Yr.) <u>12/31/76</u>	
	10.A. Type of Action <input type="checkbox"/> A.I.D. Contract <input type="checkbox"/> Cooperating Country Contract <input type="checkbox"/> Participating Agency Service Agreement <input type="checkbox"/> Other Grant			
	10.B. Authorized Agent <u>ATD/W</u>			

Estimated Financing		(1) Previous Total	(2) Increase	(3) Decrease	(4) Total to Date
	\$1.00=				
11. Maximum A.I.D. Financing	A. Dollars		175,000		175,000
	B. U.S.-Owned Local Currency				
12. Cooperating Country Contributions	A. Counterpart				
	B. Other				

13. Mission References	14. Instructions to Authorized Agent -This PIO/T requests the execution of a grant agreement in conformity with the Statement of Assurance of Compliance which is to be signed by the Executive Director of NASULGC. -The grantee is to be the National Association of State Universities and Land Grant Colleges (NASULGC). -Comprehensive presentation of the nature and scope of study to be carried out is set forth in the attached Study Grant Program Description.
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15. Clearances - Show Off to Symbol, Signature and Date for all Necessary Clearances.

A. The specifications in the scope of work are technically adequate TA/EHR	D. Funds for the services requested are available TA/PM
C. The scope of work lies within the purview of the initiating and approved Agency Programs TA/EHR	D.
E. TA/PM	F.

16. For the cooperating country: The terms and conditions set forth herein are hereby agreed to Signature and date: _____ Title: _____	17. For the Agency for International Development Signature: _____ Title: Director, TA/PM	18. Date of Signature: _____
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ACTION MEMORANDUM FOR THE ADMINISTRATOR

THRU: ES

FROM: AA/PPC, *Asi...*
Philip Birnbaum

Problem: The attached project paper provides for a grant to study alternative arrangements for the longer term cooperation among U.S. and LDC universities. If feasibility of a particular arrangement is determined, A.I.D. follow on funding may be required. For this reason this PROP is being sent to you for your decision.

Discussion: The purpose of this study grant is to enable American higher education interests officially represented by the National Association of State Universities and Land Grant Colleges (NASULGC) to explore and assess alternative ways and means of helping LDC higher education institutions to become more effectively involved in national development with attention to LDC/AID priorities. The field testing and analysis relating to alternate courses of action will be done in cooperation with LDCs and AID, including field missions.

The discussions with American university authorities relating to new approaches to US/LDC relations have extended over a period of three years. The six major American higher education associations in 1974 submitted to AID a proposal for the establishment of an Association for International Cooperation in Higher Education and Research (AICHER). After very thorough and extensive reviews within the Agency, a consensus has been reached to support a study grant to the NASULGC to explore and analyze alternative institutional arrangements, including an AICHER.

The study grant approach has the concurrence of the Research and Development Committee, which includes representatives of all of the Assistant Administrators. Further it is our conviction that a rigorous field study at this time will yield very useful findings for LDCs, higher education and A.I.D.

Recommendation: That you approve this proposal by signing the attached PROP.

Attachment:
PROP

TA/PM:RMills:bms:3/1/75

Clearance:

TA/PM:CRFritz *CR* Date 3-5-75

AA/TA:CFarrar *CF* Date 3-5-75

TA/PM:REKitchell *RE* Date 3-5-75

PPC/DPRE:AMHandly Date _____

GC:C.Gladson *CG* Date 3-5-75

GC/TF&HA:ARRichstein *AR* Date _____

APR 3 11 23 AM '75

April 1, 1975

NOTE FOR: A/AID, Mr. Daniel Parker

While the attached memo does not so indicate, the AICHER proposal has been an extremely controversial subject since it first surfaced several years ago. The current proposal for a study represents a hard fought compromise of widely varying views within the Agency.

The PROP itself outlines with care the need for deep involvement of people from LDC universities and various AID bureaus in the study; it also requires that alternative arrangements to the specific AICHER proposal be considered. And, perhaps most importantly, it stresses that AID's support for any follow-on activity will be based on "convincing evidence that LDCs and AID field missions perceive strong need for [it]." These all represent considerable modifications from the original, more far-reaching proposal for establishment of a new institution.

These aspects of the proposal should also help balance the fact that the organization responsible for the study (NASULGC) is a member of the group of U.S. higher education associations which proposed AICHER in the first place. This problem has been examined at length and another appropriate grantee for the study could not be found.

While there is not universal satisfaction with the proposal in all its aspects, so many improvements have been made in the long history of this project (in response to regional bureau and PPC concerns) that I think this PROP should now be approved.

AA/PPC, Alexander Shakow

Attachments: a/s

Clearance: AA/TA:KLevick (phone 4/1)

STUDY GRANT PROJECT STATEMENT FOR THE NATIONAL ASSOCIATION
OF STATE UNIVERSITIES AND LAND GRANT COLLEGES (NASULGC)

I. BACKGROUND

During the past twenty-five years AID and its predecessor agencies in company with other aid donors and LDCs themselves have invested extensively in the development of higher education in the LDCs. Higher education institutions have been established with buildings, laboratories, libraries, trained faculties and the roots of relevant curricula. However, with the withdrawal of assistance at the conclusion of the basic internal institution building stage, the continued growth of these institutions is jeopardized unless two important developments follow: (1) they must become increasingly effective institutions in their own nations' growth and development; and (2) they must become linked into the world wide network of scholarship which embraces research, teaching and public service.

Much has been learned from this sustained experience of building institutions, by AID, by LDCs and by American universities. There is a predictable determination on the part of LDCs, American higher education institutions, and AID to capitalize on their investment and experience by engaging LDC higher education institutions more effectively in the important, demanding and continuous process of national development. This involves extending teaching, problem-solving and knowledge delivery on the broadest possible geographic and economic scale to reach the poorest majority in the rural as well as urban areas. This is a complex and challenging but feasible goal. For such a goal to be reached, AID believes that new patterns and different styles of collaboration between LDC and American higher education institutions must be designed and tested in order to take full advantage of the application of the extensive experience of American colleges and universities

to national development problem-solving efforts of the IDC institutions. During the period of this growing recognition by concerned IDC and U. S. elements of the need to involve IDC higher education resources more effectively in development, there has also been growing recognition by U. S. university leaders that important domestic interests of the U. S. and its universities would be served by changing the concepts of U. S. university involvement in IDC development activities. The change is from viewing involvements as temporary, "do-it-and-leave" extraordinary activities, to seeking establishment of continuing relationships that are mutually productive and satisfying. This becomes increasingly necessary if U. S. universities are to perform effectively for our country their function of building and disseminating the knowledge base on which we operate, in a world in which our ability to cope at home and abroad depends increasingly on what happens in the IDCs and on our understanding of events there. Performing this function well requires strong first hand experience in IDC's by university personnel. Moreover, there are increasing direct dividends to U. S. problem solving work from the technical and problem solving experiences gained by U. S. professionals in the course of their involvement with IDC problem solving.

At the same time, there is a growing need and desire in IDCs to have access to opportunities for joint problem solving types of relationships and for other involvements that help them to tap the experience and skills in U.-S. universities, to serve their own development purposes. They often find it difficult to arrange such relationships readily and with parties and under auspices that they find fully satisfactory. From the IDC perspective, approaching the vast, highly diverse, and very uncoordinated U. S. university community can be a discouragingly formidable undertaking.

This growth of congruent interests in finding better means for continuing collaboration provides fertile ground for effective project activity. It is the basis for a new program proposal: It arose from some perceptions of U.S. university leaders long active in international development programs and has since evolved through many shapings and refinements over the past three years. Since the proposed activities are intended to further major USG development program interests, funding is being sought from AID to supplement self financing by the participating U.S. and LDC institutions and other sources of support.

The American academic community is proposing the establishment of an Association for International Cooperation in Higher Education and Research (AICHER), a corporate entity which can receive and disburse AID (and other) grant funds, under appropriate criteria, to provide critical support to facilitate US/LDC university collaborative activities generated by and primarily funded by the cooperating institutions. This proposal is sponsored by the following associations representing all the accredited higher education institutions in the United States:

- The American Council on Education (ACE)
- American Association of State Colleges and Universities (AASCU)
- National Association of State Universities and Land Grant Colleges (NASULGC)
- Association of American Universities (AAU)
- Association of American Colleges (AAC)
- American Association of Community and Junior Colleges (AACJC)

One year ago, after extensive discussion sessions involving staff members from AID and members of the Inter-Association task force, the Administrator

the Inter-Association task force, taking into account AID's interests and style of operations; the general maturation of the LDC universities and their potential role in national development; and the evolving international dimension of the U.S. academic community.

The proposal provides one way of focussing US/LDC university continuing interaction on problems of development through carefully selected cooperative efforts, jointly initiated by US and LDC institutions, through the media of analysis, planning, basic and operational research, evaluation, training and faculty and student exchange. The proposal offers an institutional arrangement for maximizing the effectiveness of investment of limited AID resources in the development of national problem-solving capabilities of LDC higher education institutions.

On Tuesday, December 3, 1974 the Research and Development Committee of the Technical Assistance Bureau met to discuss, modify and improve the proposal for a study grant to field test the feasibility of the proposal. A consensus was reached in the R&D Committee review covering the following major matters:

1. That it would be appropriate and useful for A.I.D. to provide grant funding for a study of:
 - a. how LDC higher education institutions can become more directly and effectively involved in country specific problems of development;
 - b. how A.I.D. can improve its effectiveness in promoting LDC university involvement in development;
 - c. how American higher education, through the establishment of enduring linkages, can strengthen the development role of LDC universities.

2. That the above designated study be undertaken in a partnership frame consisting of:

- a. a task force representing American higher education;
- b. senior LDC representatives experienced in working with university and national development problems in their respective countries;
- c. an A.I.D. task force including senior representatives from each Regional Bureau, PPC, TAB and other interested Agency divisions (e.g., agriculture, health/nutrition/population, engineering, science and technology, development administration, and OIT).

3. That the study:

a. be structured, in a field testing format for operating within LDC environments, to include relevant components such as the following:

(Each regional area has an existing set of national and regional institutions which must be given major attention in the study structured to include an analysis of alternative approaches available to encourage LDC universities to become more involved in development problems.)

- (1) What are the priority needs which stimulate LDCs to involve their universities more effectively in development problems?
And what are the constraints?
- (2) To what degree do the above referenced needs and constraints relate to U.S. university interests, resources and operational styles?
- (3) What are the commonalities of needs and interests of LDC and U.S. university communities that will serve as a firm foundation on which to plan, implement and achieve via the development process?

- (4-a) What are the strengths as well as the weaknesses and inefficiencies of existing institutions, agencies, linkages and networks with respect to the promotion of LDC development?
- (4-b) What appear to be the most effective forms or modes of meeting the needs - e.g., institutional linkages, professional associations, problem oriented organizations?
- (4-c) How do the alternative approaches compare in effectiveness, acceptability to LDCs, financial requirements, and management arrangements for implementation and evaluation?

Lines of inquiry such as those listed above should provide essential resource data to answer the key question - "Is there a demonstrable need for a new inter-association institution to serve LDC, A.I.D. and U.S. university interests?"

- b. be launched and guided on the basis of complementary and compatible sets of criteria jointly developed and agreed upon by A.I.D. and the appropriate American higher education agency i.e., NASULGC).

In shaping the criteria the following major concerns will be addressed within the context of an understanding that alternative means of meeting the basic goals will be analyzed:

- (1) How can institutional arrangements be organized and managed to maximize the emphasis on priority development problems and stay on target?
- (2) What safeguards are essential to insure programming that truly focuses on LDC and A.I.D. fundamental development goals?

- (3) What incentives should be provided to promote a true LDC/US collaborative style in developing interdisciplinary resources useful in programming in a multi-sector context-e.g., integrated rural development?
- (4) Can the projected minimum costs for A.I.D.'s support to an association be kept in balance with the relative priority of the key problem area to A.I.D.? If so, how? What are the safeguards?
- (5) Will the institutional arrangements under study (the proposed AICHER or other alternatives) representing primarily the administrative levels of higher education, effectively marshal and support top quality faculty expertise and other university resources relevant to LDC needs? And will the quality services be maintained as the direct university-to-university linkages continue over time?
- (6) How can those limitations that any institutional arrangement might suffer from as a U.S. Government supported intermediary be reduced?
- (7) What arrangements will be made to provide for periodic evaluations coupled with a policy that permits any institutional arrangement to operate with a minimum or continuing supervision?
- (8) What assurance can be provided concerning the continuing maintenance of quality and strength in the management of any institutional arrangement?

Further, that the study:

8.

- c. be conducted with a continuing sensitivity to the necessity of planning activities which are complementary to and compatible with ongoing programs.
 - d. include the preparation of plans related directly to helping LDCs bring their higher education institutions more completely into the main streams of development.
4. That a Grant Project Statement proposing the funding of a 12-15 month study (see item 1 above) be prepared promptly, circulated to the Bureaus for clearance and then presented to the Administrator for approval.
5. Administrative Matters:
- a. that an existing U.S. university association be the recipient of the grant. (e.g., NASULGC);
 - b. that the recommendations from the study form the basis for A.I.D.'s decision whether to support an association as proposed, or some alternative institutional arrangement.
 - c. that the timing of the creation of such an association is a subject outside the range of A.I.D.'s authority. However, if an association is created before or during the period of the study, it will not itself be the grant recipient.

Informal discussions were held during the week of 9 December 1974 with proponents of the proposal. It appears that the American higher education interests represented in the six major professional associations, sponsoring the proposal will welcome the opportunity to play the leading role in the study. Further, NASULGC will serve as the official organization

representing the several American higher education associations that support the establishment of an association. Thus, an AID study grant will be made to NASULGC.

II. RELEVANCE OF THE PROPOSAL TO AID PRIORITIES

In recent policy and program guidance, AID has directed that Agency assistance in higher education should be concentrated on improving the linkage of LDC universities to development problems, particularly those relating to joint LDC-AID program priorities. Further, the Education Sector Statement counsels AID to move away from assisting the "internal development" of higher education institutions in the LDCs and move toward helping these institutions provide "effective, problem-oriented service to their societies. Since the proposal, which is sponsored by national organizations representing all of the accredited American higher education institutions, is designed to channel continuing US/LDC university linkages and interaction in support of these objectives, it merits AID's serious consideration.

U.S. assistance programs and U.S. universities have played a very important role in helping LDC universities build their capabilities to do research and analysis, to store and communicate knowledge, and to train national manpower for professional work. Many LDC institutions have come a long way in building these capabilities. They have sizable staffs and budgets. Thus, a large part of the potential that LDCs have for development problem solving work and services now resides in their universities. Not enough,

of this potential is applied effectively to the most important actual development problems of LDCs such as increasing output and income of the mass of small farmers; adapting relevant types of technologies to the

practical needs of the bulk of potential LDC users; and achieving effective access by the majority of the LDC populations to the most useful health and education services.

U.S. influence on the development of higher education in LDCs generally has induced increased interest and capabilities in practical problem solving and in external service type functions. A more significant influence in this direction is a growing awareness among development leaders and some educational leaders in LDCs, as well as among the development assistance agencies, that LDC universities could and must use their considerable resources to do more for national development. This struggling trend needs much stronger reinforcement.

One potentially powerful means of doing this is by establishing continuing working contact over the long term, in a genuinely collaborative mode, between components of LDC universities and elements in U.S. universities that are strongly attuned to and highly skilled at types of problem solving and public service functions that are important in LDCs and in the U.S. and that stand, therefore, to gain much for their own program capabilities from the experience of working in and with LDCs. This could build progressively into a largely self-sustaining source of improvement, based on mutually reinforcing self interest on both sides.

Modern universities through teaching, research and extension services that reach outward to the boundaries of a nation and downward to the masses are

among the most powerful institutional forces for development in the world. In most LDCs, the single most essential ingredient for development, namely, specialized professional talent, is located on university faculties. Powered by specialized talent, the outreach and downreach of a modern university carries a cutting edge of exploration and the expertise required for problem solving. AID invested tens of millions of dollars in LDC university institution building in the hope and trust that these LDC institutions would become effective change agents in their own lands. American higher education leaders are now saying to the Agency in the proposal, let us work out together the ways and means of providing some modest inputs to help LDCs make their universities function more effectively in the development arena on a continuing basis.

The critical test of need for services rendered by a network relationship of the type proposed that firmly support AID program purposes will be in the actual LDC responses once such services are envisioned through conjoint analysis and planning with LDCs. The exploratory activities must be structured with appropriate LDC authorities to provide vigorous field testing of the true needs coupled with a commitment to action.

III. BASIC ASSUMPTIONS

There are some basic assumptions in connection with the AICHER proposal that should be held firmly in mind, and which will be thoroughly explored and tested during the study period. These assumptions, which are arranged

in three clusters, provide a guide for structuring the nature and scope of work to be accomplished during the study period. The first group of assumptions relates to LDCs; the second to American higher education; and the third to AID.

Group One (relating to LDCs) - It is assumed:

- (a) that many LDC governments really want their higher education institutions deeply involved in development. (There is already substantial evidence to support the assumption.)
- (b) that significant numbers of LDC governments are prepared to make substantial financial investments in their universities to permit important development oriented activities.
- (c) that a significant number of LDC universities possess the capabilities and determination to engage vigorously in national development in spheres corresponding to AID's goals (e.g., income distribution, equity, reduction of rural poverty, involvement of women in development, and the like.)
- (d) that LDC governments and higher education institutions will accept an association of the type proposed as an important resource in their national planning and development on a continuing basis.
- (e) that an intermediary association is needed for this purpose.
- (f) that an association will not be viewed as an attempt to exert -- U.S. political/economic influence over LDC universities.

In terms of the study, this cluster of assumptions is extremely important and will require a thorough exploration of a balanced sampling of LDC university/government interest and/or involvement in problem solving on the development front. This will involve the participation of the AID Regional Bureaus and country Missions in carefully planned cooperation with LDC and American university representatives. Evidence of sound bases for developing productive partnerships should be described in terms of specific inputs which an association would be invited to arrange for and/or provide in the context of LDC university participation in national development.

Group Two (relating to American higher education) - It is assumed:

- (a) that American higher education has entered into a new era of higher education interaction and cooperation across national boundaries which is characterized by a spirit of partnership in exploring mutual interests and in achieving mutually determined goals. (The association proposal is one concrete sign.)
- (b) that American higher education institutions are genuinely interested in and capable of establishing and/or strengthening relationships that will help LDC higher education engage in problem solving and national development on an enduring basis, and that they are willing to do this through such an association.
- (c) that such an association can lead American institutions to increase the investment of their own institutional resources and can

obtain significant and growing support from both the public and private sectors to strengthen the linkages between American and LDC higher education institutions.

- (d) that American higher education, through its wide variety of institutions with extensive experience in development at home and abroad, is well qualified to engage in enduring partnerships with LDC higher education institutions in the major challenge of strengthening the role of higher education in development.
- (e) that such an association as the one proposed will build support during the first five years of its existence from a variety of sponsors in the public and private sectors.

Declarations of interest from associations and individual institutions concerning the new era of international higher education cooperation are encouraging but are only a beginning. Descriptions of specific projects now underway and firm proposals under consideration are essential. It is important to sample-test the new cooperative style of working and the readiness of American higher education to invest its own quality institutional resources. The proposal indicates that the association will be concerned "with the design and testing of new systems for carrying out development." The AID Regional Bureaus and Missions will be interested in the degree to which such experiments complement ongoing major AID-sponsored projects and the potential transferability of the findings from such action oriented research.

Perhaps the most revealing factor concerning an educational institution's interest in a program is the extent to which it permits that program to secure a significant and stable position in the institution's own annual budget. Hard evidence is needed on this subject from AICHER's sponsoring associations. Further, there should be proper promotional elements built into the planning that will insure ever increasing campaigns for support from a wide range of sources once such an association is successfully launched.

Group Three (relating to AID) - It is assumed:

- (a) that AID is clearly committed to helping LDCs strengthen the relationships of their universities to national development with a specific focus on those sector problems relating to joint LDC-AID program priorities.
- (b) that AID, including the field missions, will work cooperatively with an association such as the one proposed to facilitate its working directly with LDC institutions.
- (c) that AID assistance to such an association is an economical way of achieving the purposes stated and is worth the cost as an essential and timely follow-up of the institution building era.
- (d) that an association such as the one proposed will be effective as a partner with LDC higher education institutions in problem solving within the key sector areas including education, agriculture/rural development, and health/population/nutrition.
- (e) that an association's cooperative work with LDC institutions will complement the major grant and loan supported projects sponsored by AID in the higher education spectrum.

IV. CRITERIA TO GUIDE THE STUDY OPERATIONS

At the outset of the study period AID and the proponents of such an association will develop complementary and compatible sets of criteria to guide the nature and scope of the study and planning activities with LDC representatives. Following are illustrative sets of criteria:

1 - Suggested criteria for AID;

- (1) sense of cost/benefit balance of activities as contributions to IDC development, compared to other types of program investments;
- (2) quality and significance of program involvements in IDCs in which the association is likely to become engaged;
- (3) strength and nature of apparent IDC participation interest;
- (4) management strength;
- (5) likely extent and quality of the association's responsiveness to specific project service needs, within the association's activity scope, on which AID seeks association involvement.

2 - Suggested criteria submitted by the proponents of the association:

- (1) relative contribution to economic development and social progress and the increase of mutual understanding between people of the United States and other nations and cultures;
- (2) priority problem orientation;
- (3) probable excellence of program and personnel performance;

- (4) potential for multiplier effects;
- (5) complementarity to other developmental efforts;
- (6) reciprocal capacity among cooperating scholars, scientists, institutions and nations;
- (7) contributions to expansion of the overall capacity of the world's network of educational and research institutions;
- (8) degree of institutional interest in the project by the involved parties as demonstrated by commitment of internal resources in support of the activity.

V. PROJECT DESIGN

The purpose of this study grant is to enable American higher education interests officially represented by NASULGC, to seek answers via field study to the questions posed in Section I and to field test the assumptions set forth in Section III above. The field testing and analysis relating to alternate courses of action will be done in cooperation with LDCs and AID, including field missions. Major attention will be placed on ways and means of helping LDC higher education institutions to become more effectively involved in problem solving within the development areas representing LDC/AID priority goals.

At the outset of the study period, as a condition for moving into the field work with the LDCs, AID and NASULGC will each prepare, exchange, review and approve counterpart sets of criteria to guide the nature and

scope of the study and analysis with LDCs. (see illustrative listing of criteria in Section IV above).

Approximately three months prior to the end of the study period which will not exceed fifteen months, the inter-university association task force, constituted by and responsible to NASULGC, will submit a preliminary report via NASULGC to AID. (see Section VI for final reporting and review schedules). The report will include:

- (a) clear, concise and carefully documented findings related to the key questions presented in Section I pp 4-7 and the three sets of assumptions in Section III above that pertain to LDCs, American higher education and AID.
- (b) a thorough analysis of alternative institutional arrangements, including the AICHER proposal. The analysis will cover such elements as effectiveness, acceptability to LDCs, financial requirements and management arrangements for implementation and evaluation.
- (c) a list of criteria to guide the growth and development of the type of association proposed by the six American higher education associations.
- (d) detailed plans comprised of alternative courses or levels of action presented in terms of proposed activities that relate directly to helping LDCs bring their higher education institutions more effectively into the mainstreams of

development. These illustrative LDC-AID Mission endorsed activities will be placed on a five year time line. From two to four such activities will be presented for each geographical region of the world. The plan for each activity will be structured to include (1) purpose; (2) relevance to LDC university and national development with attention to LDC/AID priorities; (3) inputs by the LDC and foreign donors with descriptions of the proposed American universities inputs, including carefully designed and justified budgets and proposed follow-up evaluation.

- (e) Descriptions of how the American/LDC institutional cooperation will actually work - e.g., (1) institutional planning strengthened through an exchange of ideas and experiences across national boundaries; (2) curriculum development which is responsive to country specific needs; (3) research focused on problems of development carried on by multi-disciplinary international teams; (4) evaluation, both program and institution-wide; (5) training and exchange of staff members within an institution-to-institution framework.
- (f) a scheme for periodic evaluation of operations in the event an association is established with AID support. Such an evaluation should cover the roles of LDCs, American higher education and AID.
- (g) the proposed growth and development of the association within and beyond the period of AID support and the range of activities and support it hopes to receive outside of the area of AID's interests.

- (h-1) A thorough review of the current professional literature on the role of higher education for development will be undertaken covering both the LDCs and the more highly developed nations throughout the world.
- (h-2) a careful sounding out and summarization of the judgments of selected experts will be secured on the role of higher education for development, e.g., leaders in the university associations in Africa, Asia, Latin America, the Middle East and Europe as well as with the World Bank, UNDP, UNESCO, ICED and OECD.

VI. How the NASULGC/Inter-Association Task Force Will Work in Cooperation with AID and LDCs During the Study Period

The study will be executed within a partnership complex wherein the NASULGC Inter-Association task forces will assume the major responsibility for carrying on a thorough field study and preparing a comprehensive report (see outline in Section V above) in the collaborative style with AID and LDC representatives. LDC involvement in-depth will be essential and of great importance. Members of the AID task force will participate on a continuing basis both in the field activities and in periodic progress review sessions. Other donor agencies will be contacted as appropriate.

The NASULGC inter-association task force members will:

- (a) draft a plan of operation for the comprehensive field study to be implemented conjointly with AID/W, LDCs and AID field missions. (The AID task force will make available resource material

useful in drafting the plan of operation including (1) AID's set of criteria to guide the study and (2) guidelines for LDC eligibility and recommendations on LDC higher education institutions to be considered in the field study.)

- (b) participate in a two-day pre-field study seminar to be scheduled in Washington with the AID task force. Purpose - to present the draft plan for the field study, review it in detail and agree upon arrangements for implementation.
- (c) assume major responsibility for implementing the field study and for preparing the comprehensive report to be submitted to AID.
- (d) encourage and arrange for members of the AID task force to participate in various phases of the field study in cooperation with LDC and AID field mission representatives.
- (e) meet with the AID task force for periodic reviews during the study operations.
- (f) participate in a one day post-field study seminar to be held in Washington three months prior to the end of the study period with members of the AID task force. Purpose - to present the preliminary report of the field study for in-depth discussion. The final report will be presented within one month following the seminar, and approximately two months before the end of the study period.

AID will establish a task force consisting of senior level representatives from each Regional Bureau, PPC, TAB and other interested Agency offices.

AID task force members will:

- (a) prepare AID's set of criteria to guide the study operations.
- (b) secure concisely documented recommendations from each Regional Bureau on LDC higher education institutions to be considered for participation in the field study. (The data required for items (a) and (b) above will be made available to the NASULGC inter-association task force, immediately following approval of the grant, to be utilized in preparing the draft plan of operation for the field study.)
- (c) participate in a two-day pre-field study seminar to be scheduled in Washington with members of the NASULGC inter-association task force. Purpose - to review the draft plan as prepared by the NASULGC task force and finalize plans for the field work, including approval of the criteria to guide the study operations and the list of LDC higher education institutions to be included in the study.
- (d) prepare and transmit to AID field missions an airgram setting forth the nature, scope and purpose of the field study and urging mission cooperation. Field mission understanding and cooperation is essential and will facilitate effective communication with LDC authorities.
- (e) meet for periodic reviews with the NASULGC inter-association task force during the study period.
- (f) accompany NASULGC inter-association task force members on field trips from time to time to participate in joint planning sessions with LDC and AID field mission personnel on unique and particularly promising proposals.

- (g) Participate in a one day post-field study seminar to be convened in Washington with members of the NASULGC inter-association task force. Purpose - to receive and discuss in-depth the NASULGC inter association task force preliminary report. The final report will be presented to AID within one month following the seminar and approximately two months before the termination of the study period.
- (h) Evaluate the NASULGC inter-association task force report in cooperation with the R and DC and submit recommendations to the Administrator for action.

VII. What Will Follow the Field Study Phase?

The AID task force will receive the report from the NASULGC task force, will evaluate the report in cooperation with the R and DC, and submit recommendations to the Administrator for action. It is assumed that the members of the AID task force will be well prepared to evaluate the report as a result of their exposure to and participation in various phases of the field study.

At this time, speculations concerning AID involvement in the establishment of an association of the type proposed, its range of activities, and levels of AID's financial support are premature. However, it is important to re-emphasize that any decision relating to AID's support of an association as proposed, will be made by AID on the basis of convincing evidence that LDCs and AID field missions

perceive strong needs for assistance via such an institutional arrangement relative to other possible arrangements. Further, based on the findings from the field study, that LDCs, American higher education interests and AID conjointly envision such an association as a positive and enduring institutional resource, complementary to existing institutional arrangements, to be focused primarily on priority problem solving in the LDC development arena. And finally, the proponents of an association are advised to take no action assuming approval by AID until approval has been granted formally. AID will make its final decision prior to the termination of the study grant.

VIII. MANAGERIAL CONSIDERATIONS AND ILLUSTRATIVE BUDGET

The AID grant to finance the study activities will be made to the National Association of State Universities and Land Grant Colleges (NASULGC). This association will serve as the official agency representing all six of the American higher education associations sponsoring the proposal. NASULGC will establish an inter-university association task force that will be responsible for all phases of the study from the universities side and will report to AID (grantor) through NASULGC (grantee).

The AID task force will consist of representatives from the Regional Bureaus, PPC, TAB and other interested agency offices. The grant,

project manager will be the Higher Education Advisor, TA/EHR. He will serve as executive officer for the AID task force and be responsible for liaison with the NASULGC inter-universities association task force. The AID Regional Bureau representatives on the AID task force, with the assistance of the grant project manager, will be responsible for liaison with AID Missions in their respective regions.

It is important to insure the timely availability of adequate financial support for the participation of AID task force members and their alternates in the field activities of the study operation. Funds for this purpose are not made available in the project budget, because in accordance with AID regulations, travel and expenses of government employees must be paid for from the Agency operating expense budget. (see illustrative budget p.26).

DRAFT
25 March 75

US/LDC UNIVERSITY RELATIONS-A STUDY GRANT TO THE NATIONAL
ASSOCIATION OF STATE UNIVERSITIES AND LAND GRANT COLLEGES (NASULGC)

AID's set of criteria to guide the Study

Recognizing the potential and the timeliness of the Study, AID presents the following criteria in the hope that these guidelines will strengthen both the product and the process as the LDCs, American higher education and AID work in the collaborative style during the months ahead. NASULGC will also prepare a set of criteria. Assuming that the two sets of criteria can be developed and interrelated so that they are compatible, they will form a sound basis for working effectively with the LDCs in the collaborative style.

(DEVELOPMENT ORIENTATION)

1. The study will be focused directly on exploring ways and means of helping LDC higher education institutions to become more effectively involved in national development with attention to LDC/AID priorities.

(ALTERNATIVE APPROACHES)

2. Alternative arrangements for helping LDCs, including an AICHER, will be explored and assessed. The several most promising arrangements will be

2.

presented in a comparative format in NASUGC's final report to AID.

(LDC CENTEREDNESS)

3. Although mutuality of interests and the collaborative style must characterize the partnership/linkage to be developed on an enduring basis between LDC and American institutions, it is essential at this point in planning that LDC interests be highlighted.

(MINIMUM INVESTMENT-MAXIMUM DIVIDEND)

4. The cost/benefit balance of proposed activities as contributions to LDC development for the next decade will be compared with the more traditional institution building activities of the past quarter century.

(THE MASSES IN THE HINTERLAND)

5. The strengthening of the outreach and downreach of the LDC higher education institutions will be emphasized. This relates directly to the planning of activities and to the dissemination and utilization of knowledge to and by the masses in the LDCs.

3.

(NEW FENCES VS OLD ONES)

6. The existing institutional arrangements in the various geographical regions will be reviewed carefully for implications concerning LDC/American University linkages and efforts to strengthen them.

(DEPTH OF GENUINE INTERESTS)

7. Every effort will be made to capture and record objective evidence of true interests in enduring partnerships on the part of LDC and American higher education.

(MULTIPLIER POWER)

8. Attention will be directed to the identification of those priority activities which do or can have built in survival power plus multiplier power.

(COMPLEMENTARITY)

9. Planning for the future will be based upon an understanding of the major achievements and shortfalls of the past and thorough assessment of the present scene. This relates directly to the major investments in institution building during the past quarter century and to the target of helping LDC higher education institutions function effectively in national development.

(REGIONAL AND INTERNATIONAL OUTREACH)

10. Although the primary focus will be on individual LDCs, thoughtful attention will be given to effective regional and international linkages, e.g., the International Agricultural Research Institutes and the SEAMES Institutions.

(CRITICAL TOP-QUALITY INPUTS FOR PRIORITY PROGRAMS)

11. In working with LDC university and country leaders to identify appropriate critical imports from the U.S. side, every effort will be made to insure that such inputs will be geared to a quality level that will make a significant positive difference in high priority program and institutional developments.

(COOPERATION WITH DONORS)

12. Every effort will be made to cooperate with other foreign donors, both bilateral and multilateral, in concert with LDCs. This may enhance complementarity of programming and should avoid costly duplication, both national and regional.

Resource Data That Each Regional Bureau
Might Provide For Field Study Operation

1. Summary statement on nature and scope of higher education in the region with special attention to involvement in and impact on development.
2. Regional associations for higher education
 - a - purposes
 - b - impact
 - c - influential leaders
3. Priority listing of countries and higher education institutions recommended for inclusion in the study with carefully drawn summary statements supporting the priorities.
4. Projects in higher education in the region with summary documentation.
 - 1 - completed
 - 2 - current
 - 3 - planned